CDS Toolkit "version 2.0"

Institute for Housing and Urban Development Studies (IHS)
and FLMH (Labor für Politik und Kommunikation)

Prepared for Cities Alliance
Final version – 5 October 2016

Principal author: Carley Pennink

Editing team (IHS): Forbes Davidson, Nigel Browne, and Paul Rabé

Contributing authors (IHS): Alexander Jachnow, Aloys Bongwa, Els Keunen, Forbes Davidson, Hana Yoosuf, Maureen Babu, Nicolae Taralunga, Paul Rabé, Saskia Ruijsink, Sorina Racoviceanu, Stelios Grafakos, and Veronica Olivotto

Note on sources:

Contents

Tables and Figures

Tables

Figures

List of key abbreviations and terms

CA	Cities Alliance
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 (UN-HABITAT)
VNG	Association of Dutch Municipalities

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. It is an action-oriented process, developed and sustained through participation, 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 is not only concerned with developing a strategy but also with its implementation and the sustainability of initiatives through 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 now also 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, thus compounding their political challenges.

The more 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 very 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

---

[1] http://www.citiesalliance.org/about-cds (Accessed 30 March 2016).

by delivering results on the ground in areas that matter to these residents and local private actors (improving 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 programs supporting city development and planning. These include: 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 which partnered with UNEP and UNDP's Public Private Partnership for the Urban Environment (PPPUE).

After almost two decades of experience with CDS, Cities Alliance (in collaboration with the Future Cities Africa initiative) has decided to introduce innovations in the existing CDS approach in order 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 is aimed 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 in order 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 program or scheme for a definite purpose. A plan is very concrete in nature and does not allow for deviation[2].

Strategic planning is a process that involves the development of 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

---

[2] VNG 2010: 10.

the future, but which also incorporates the flexibility to adapt the vision as time passes, and as needs require[3].

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 there[4]?

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 and/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 heads[5]. The political will needs to be strong enough to mobilise 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 they also 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 governments[6].

---

[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.

The benefits of a City Development Strategy

There are several reasons why cities can benefit from strategic planning in the form of a CDS. The most important may include the following[7]:

- Helping cities visualise 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 that for investment planning and budgeting. It deals with both capital investments and operations.

- Strategic planning yields 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.

- Strategic planning is adaptable 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.

- Strategic planning is responsive to citizens' needs: A successful strategic plan includes priorities that are important to the citizens.

- 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.

- 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.

- Adaptability: Elements contained within a strategic plan represent an on-going process that is designed to be refined based on changing internal and external conditions.

- 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

---

[7] Adapted from DiNapoli 2002, 8-9.

actors (government, the private sector, academia and civil society)—as well as their international partners (development agencies, international investors, and non-governmental organizations).

Through a CDS process, 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 process[8]. 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 take into account 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 situations[9]. 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 programmes[10].

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 is focused 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.

---

[8] VNG 2010: 13.
[9] UN-Habitat 2015a: 10-11.
[10] OECD 2014: 7.
[11] UN-Habitat 2015b: 40.

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. To cover all possible themes would make this toolkit very long.

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 is a computer-based platform and an analysis and decision-support tool, that 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. It is a tool that allows 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

How to use this toolkit

Is your city "ready" for CDS?

The toolkit distinguishes two different 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

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

---

[12] UN-Habitat 2015b: 39.

planning have the political will, staff capacities, expertise and resources (i.e. 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

This toolkit recognises that cities vary in capacity. We highlight the overall objectives of phases, sub-phases steps and tools. It is recognised that the tools used and the thoroughness of research will vary depending of capacity. In all cases we explain the objective. 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.

> **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

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.

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 organised around four strategic planning phases:

Phase	Main question and stage in process
Phase 1	*Where are we now?* Getting organized and situation analysis
Phase 2	*Where do we want to go?* Visioning and strategic objectives
Phase 3	*How do we get there?* Strategy formulation
Phase 4	*How to implement and know if we are on track?* 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 sub-phases that are needed at any given moment in time.

Figure 1: The cycle of CDS
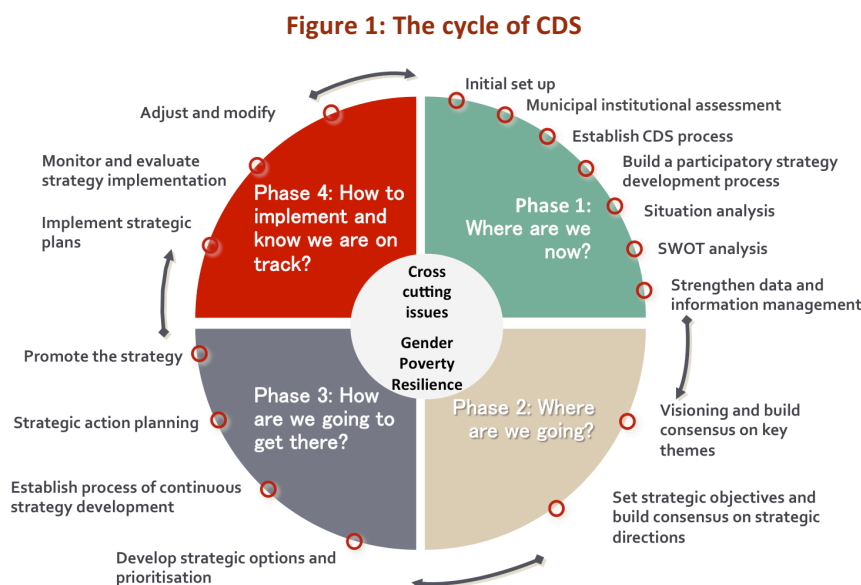
In each phase there will be links to tools and instruments that will help cities to carry out a given planning phase. Some of these tools are phase-specific whereas others transcend the phases and can be utilized at any given moment, depending on requirements.

Links to tools and further information, and further comments are provided in boxes in the right margin. These also give hyperlinks when the references are

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

used electronically. There are four forms of margin notes: **notes, tools, cross-references**, and **references**.

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 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.

Table 1: Stages in CDS preparation and delivery

Phase	Steps	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**

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

Figure 2 Toolkit key diagram

4 How to implement and know we are on track? Sub-phase/ Steps	Tools
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	
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
4.3 Adjust and modify 1.Make changes 2. Refine stakeholder/ institutional roles in monitoring periodically	

1 Where are we? Getting organised / situation analysis 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 2,3 4,5
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	
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 stratey 5 .Agree on operational rules and work plan	6 7
1.4 Establish Participatory Strategy Process (external) 1 Decide on inputs and strategic decisions to be made with stakeholders 2 Build awareness	3 6
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
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
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	

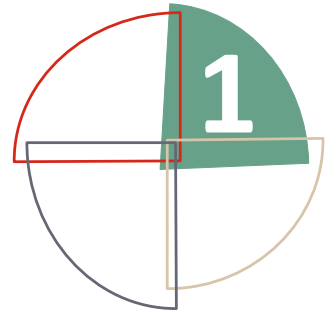| 3 How are we going to get there? Strategy formulation	Tools
3.1 Develop strategic options and prioritisation 1. Transform the vision and objectives into strategic options 2. Clarify the political and legal framework 3 Assess the financing framework and make outline budgets 4. Locate all projects on plans 5. Prioritise project options 6 Confirm consensus on prioritization of projects	9,11 15,16,18 17, 17,12,`18,19
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
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
3.4 Promote the strategy 1 Finalise the CDS document 2 Further develop marketing and communication campaign	

2 Where are we going? Vision and strategic objectives Sub-phase/ Steps	Tools
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
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. Phase 1: Getting organised 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 organized and making sure that there is as good information as possible available.

1.1. Getting organised

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.

Steps in this sub-phase

Phase 1.1, Step 1: Engage politicians and municipal staff to ensure commitment to and leadership during the CDS process.

Phase 1.1, 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).

Phase 1.1, Step 3: Appoint a strategic coordinator (internal public champion that will lead the process), set up the organisational structure (including core team to work on the CDS, steering group and working groups).

Phase 1.1, Step 4: Plan out the process and its management.

Phase 1.1, Step 5: Develop preliminary communication strategy and design publicity campaign.

Sub-phase 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, we suggest spending the initial weeks discussing the goals, and particularly 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 which have had a successful experience with proactive strategic planning processes such as a City Development Strategy.

Box 1: Cases of development strategies: inspiration and sources of lessons

Many cities in different parts of the world have had success with applying active development planning processes such as 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 in the case of Curitiba a YouTube talk by the former mayor of Curitiba, Jaime Lerner, and in the case of Medellin a speech by the former mayor of Medellin. The videos give a good idea of the commitment of the mayors.

City of Cape Town
City Development Strategy

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

In successful cases there are important common elements. These include a strong commitment from the mayor, providing leadership. The wider the ownership of the process the more sustainable the commitment to the strategy there 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. Examples of 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 City Development Strategy [overview].
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].

Initial discussions with the mayor and the city council[13]

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 sub-ordinate committees will provide important inputs into discussions on thematic issues.

Kick off discussions with them should result in:

- 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.

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

The Figure below presents a number of key readiness questions.

> **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.

---

[13] VNG 2010

Figure 3: Readiness assessment questions

<table>
<tr><td colspan="2" align="center">**"Is your city ready for a CDS?"**</td></tr>
<tr>
<td valign="top">

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.)

</td>
<td valign="top">

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?

</td>
</tr>
</table>

Output of this sub-phase: readiness assessment

What to do if you are not ready?

The assessment may reveal that, related to some aspects, the city is not 'ready' to undertake a CDS. Taking a bit more time to prepare when there may be shortcomings increases the chance of success substantially. The Mayor and core group may want to ask themselves, for instance, '*What do we want to do about:*

- The lack of capacity in the municipal departments to undertake the CDS and to 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. Perhaps, it is more advisable to take the time to prepare on a number of different fronts.

Sub-phase 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 organisational 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.

> **Note**
> We refer from now on 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 organisational set up to manage the CDS
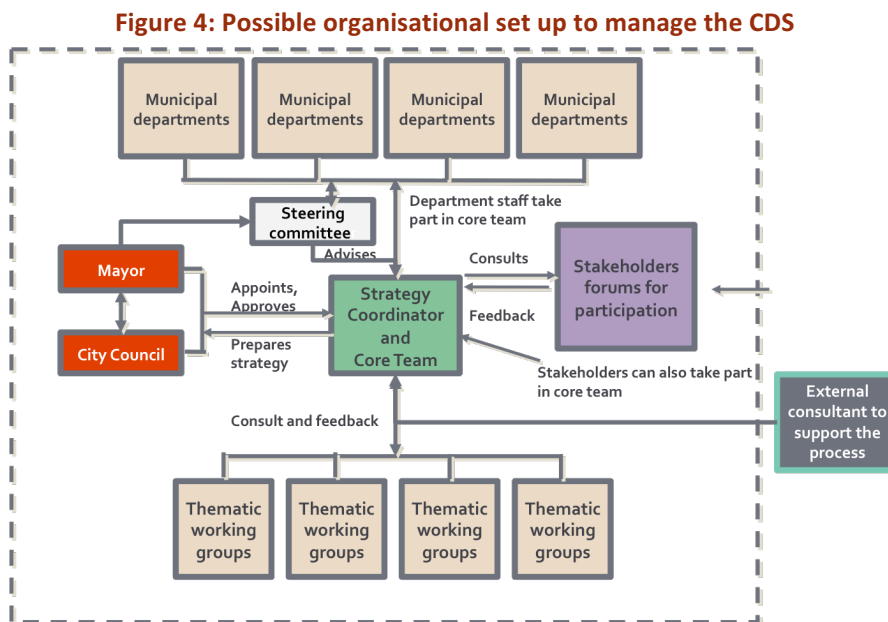
The strategic coordinator (SC) is an important figure in the CDS preparation process and requires a blend of management skills and experience. The SC will:

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

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

In doing the work, there will be different levels of commitment[15]. For one, there will be those that 'own the process', and those that are involved in the

---

[14] ibid
[15] IDEA and NIMD, 2013.

process. One is related to the commitment to support the process (politicians, political parties and institutions), the other is related to the actual implementation of the process (the SC and the CDS team).

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

The size of the CDS team should ideally be between 6 and 9 people, so that negotiations and decision-making can take place relatively easily, but that 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 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 so that:

- 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 of 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 (the different phases of the CDS) of the process 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.

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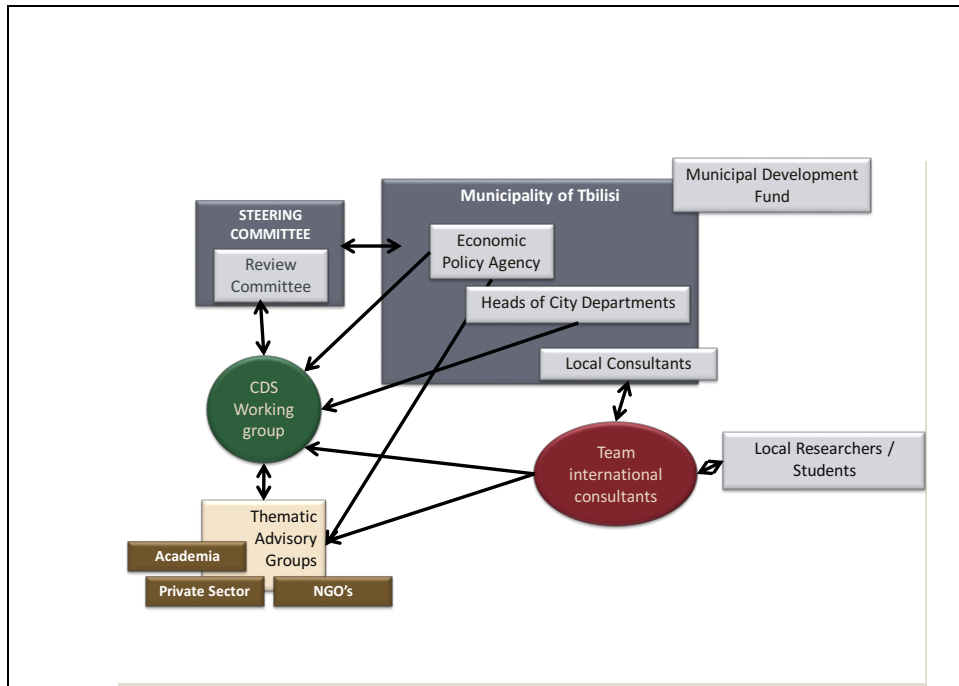
Issues faced: During the process, the department staff and members of the council were overburdened and had little time to take part in the working group and the steering group. There was less than optimal presence from the government in these groups. This hampered the consistency of the work, with the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

Positive aspects: On the other hand, the team designed and held a number of 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 organise meetings and consult with stakeholder's groups, incorporating this feedback into decision-making.

Sub-phase 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[16]. It is important to do this at the beginning, during the preparatory stage, to ensure that all stakeholders are taken into account, and that 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;

Note
There are different opinions about the moment at which it makes sense to identify stakeholders. In our 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).**

- Control or can influence the implementation of the process; and
- Have an interest in the successful or unsuccessful outcome of the process (source: authors, Mind Tools).

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, other than the partners involved in the development and execution of a project, stakeholders from *vulnerable groups*, and their interests, are included/represented, such as those representing the *urban poor, women, the elders, children and youth, all ethnic minorities, disabled people*, etc.

Analysing who key stakeholders are and coming to understand them is important when looking for ways 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 organisations that might have something to win or lose from a project, or that may support, or worse, 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.

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 that 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

Actor group	Examples
Community based organization (CBO)	Neighbourhood association, local co-operative
Non-Governmental Organization (NGO)	Can be supportive of communities, provide professional services, provide information, act as intermediary. May also be activist.
International:	Multilateral donors e.g. World Bank ADB, IADB, UNCHS, Bilateral donors e.g. GTZ, DGIS, ODA
People (not organised)	People, families not organised

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, though 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, it 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, namely[18]:

- 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 are partners that 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: these are actors that the city will consult during the process and who will give important feedback
- Networks: networks that the city will need to activate and with whom it will cooperate (ministries, donors, international partners).

---

[17] ADB 2016: Guidelines for preparing a design and monitoring framework, pg. 12, accessed 31 August 2016
[18] Adapted from VNG 2010.

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

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

Sub-phase 1.1, Step 5: Plan out the process and its management

The SC 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 Sub-phase 1.3: Establish the CDS process.

Sub-phase 1.1, Step 6: Develop preliminary communication strategy and design publicity campaign

The stakeholder analysis will provide important information the city can use to design a communication strategy and publicity campaign. A communication strategy 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 sub-phase 1.3, step 4.

Outputs of this step: Preliminary communication strategy; design of a publicity campaign.

1.2. Municipal institutional assessment (capacity and resource assessment)

The objective of this sub-phase is for the city to achieve clarity on the institutional and organisational 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.

Steps in this sub-phase:

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

Phase 1.2, 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

Phase 1.2, Step 3: Analyse the government structures, processes and capacities

Phase 1.2, Step 4: Assess local government reforms and their potential impact

Phase 1.2, Step 5: Assess local resource mobilisation, budgeting mechanisms and funding systems

---

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 sub-phase 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 organisations are staffed) and *their competencies* to do the work.

Sub-phase 1.2, Step 1: Take stock of existing planning processes in government

The SC, 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.

Sub-phase 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 policies that exist and will influence the CDS preparation and execution process. In addition, they 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.

Sub-phase 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:

1. Whether the current structures can accommodate new ways of working required during the preparation and implementation of the CDS;
2. What kind of organisational 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. A 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.

> *Tools*
> 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.

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, the development of policy to support the process.
- *Organisational change*: consultants aided in drafting of an organisational 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 by 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 ensure that where funding was lacking, that the Ministry started early with a resource mobilisation strategy. UNHABITAT funded the support provided by the consultant team. In between funding streams, the Ministry provided bridge funding. This 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 Project Documentation, 2003-2006

Sub-phase 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:

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?
3. Or looking at it in another way, 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: 1) the departments and their staff; and 2) 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.

Sub-phase 1.2, Step 5: Assess local resource mobilisation, budgeting and funding

Knowing what kinds of resources are available is an important part of preparing for the CDS. Once again, this is an extension of the readiness assessment. This will include, for instance, looking at the funding streams of the national government, and donor programmes. The team will assess local budgeting mechanisms and funding systems, as well as the powers the local government has to mobilise resources. This assessment will be the basis for a resource mobilisation strategy (to take place in Phase 3), looking at different sources of funding.

Output of this sub-phase: Municipal institutional assessment and organisational change / indicative capacity building strategy, with special focus, at this moment, on capacity needs for the *CDS preparation phases.*

> *Reference*
> Capacity Building is an important concept. It refers to developing staff ability to work in the required areas but also to the ability of the organisation 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)

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

Steps in this sub-phase:

Sub-phase 1.3, Step 1: Clarify organisational roles and plan inputs of key government actors for the development of the CDS

Sub-phase 1.3, Step 2: Identify government budgets and other financing for CDS activities

Sub-phase 1.3, Step 3: Coordinate the planning of the CDS with existing statutory planning systems

Sub-phase 1.3, Step 4: Update the communication strategy

Sub-phase 1.3, Step 5: Agree on operational rules and work plan, get approval from the Council (CDS time frames, activity calendars, resources and person-power planning)

Sub-phase 1.3, Step 1: Clarify roles and plan inputs

In this step, using the results of the **municipal institutional assessment** as input (sub-phase 1.2), the CDS team will clarify the responsibilities of the government staff that will be working on the development of 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 maximise 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, etc.). 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 on as a body involved in implementation and that engages different groups in the city. The Forums have 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; act as a bridge between the municipality and her urban citizens; provide a platform for the urban poor and other marginalized people to be empowered to have a say on urban development issues, programs and projects, etc. MDFs in Uganda are now formalised in law.

The Jinja MDF is headed by an Executive Committee who are elected representatives from the various groups or sectors mentioned above, 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. In addition, 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 2-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)

Sub-phase 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 to 12 months of the CDS preparation process.

Sub-phase 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 will have to 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 to feed capital investment plans.

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.

Sub-phase 1.3, Step 4 Update the communication strategy

The work carried out in sub-phase 1.1 step 6 should be reviewed and updated on the basis of the work on development of the planning process. This will help to support the work on the external participatory processes.

Sub-phase 1.3, Step 5. Agree on operational rules and work plan

Finally, the team will finalise 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 finalise the agreement and commitment to go forward and will make explicit the investment the local government is making.

Output of this sub-phase: Work plan, operational rules, updated communication strategy, budget for the CDS development period.

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

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

> **Steps in this sub-phase:**
>
> Sub-phase 1.4, Step 1: Decide on inputs to be made by and strategic decisions to be made with stakeholders
>
> Sub-phase 1.4, Step 2: Build awareness to support the strategy development process

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

Sub-phase 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 different stakeholder groups will have to make, the type of participation expected, and the strategic decisions to be made with stakeholders.

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

Tools
See **Tool 2 (Stakeholder Analysis).** This is an important tool to help analyse who are important groups to work with and what their potential capacities are.

Figure 6: The participatory process set up in eThekwini, South Africa

The *Imagine Durban* (now eThekwini) 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:

- 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; and
- Celebrating the city's cultural diversity, history and heritage.

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

They organised demonstration projects to achieve 'quick wins' and to prove the feasibility of their proposed programs or projects. The projects provided the basis for reassessment, revision and scaling up. They 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 on referred to as Durban Ambassadors), for the preparation of the strategy and for implementation as well. They partnered with the City of Calgary in Canada to gain support and ideas. This was based on the premise that most cities from all over the world who were at different stages in their planning cycle, looked to their international planning colleagues from around the world who were at similar or even 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 Team.

The Durban Project Team held weekly meetings or field trips to evaluate their Imagine Durban Project. The Team were encouraged to be introspective and to identify key lessons that they could share with other members within the Municipality, as well as with their citizens. As a rule, the Team also tried to build in time for evaluation and reflection into the planning process, in order to make sure that they 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: Moodley, S. (2009)

Sub-phase 1.4, Step 2: Build awareness

To prepare key stakeholders and to discuss inputs in depth, the team should organise consultations and awareness-building activities to support the strategy development process.

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

The objective of this sub-phase 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 different for each city, as issues are context specific.

Steps in this sub-phase:

Sub-phase 1.5, Step 1: Assemble the team

Sub-phase 1.5, Step 2: Review local issues and data sources, and set up the research process

> Sub-phase 1.5, Step 3: Analyse strategic context: the external environment which influences the municipality, general trends (input to the SWOT)
>
> Sub-phase 1.5, Step 4: Analyse locally chosen priority topics
>
> Sub-phase 1.5, Step 5: Consult with thematic groups on outcome of the situation analysis to gain feedback

It is important for the team to have reliable information on issues in the city so that these can be discussed in participatory forums. The situation analysis acts as basis for the steps that follow (SWOT and Visioning) and data collected is essential for **monitoring and evaluation** performed during the implementation of the strategy.

Sub-phase 1.5, Step 1: Assemble the team

The SC and the CDS team will need to put together a team to execute the situation analysis. They will most 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 1) learn from the experts with whom they are working 2) 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 can make use of university students and researchers to provide support in gathering information.

Sub-phase 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 be different in specific needs, availability of information and collection ability.

Prior to getting started on the review of resources, it will be necessary for the experts and local government team to review local data sources (including maps) and assess the availability (and the value) of information. It is essential to know if there is information available, and the reliability of this data, or if there are severe constraints to obtaining data. The team will look at statistics, existing publications and documentations, existing studies and evaluations reports (made by universities, consultants and donors). It is good also 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 1) the quantity of data to be gathered as well as 2) the quality, accuracy and reliability of the data collected. Attention should be paid to being judicious about the amount of data collected. Where possible, it is advisable to focus on existing documentation and statistics

> **Reference**
> Cities Alliance is developing a Data Toolkit under the FCA programme which is a companion to the CDS Toolkit. This 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.
> At the time of writing this is not yet available. Please visit the Cities Alliance website for current information.
> http://www.citiesalliance.org/

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 of the strategy and, in the future, in the implementation of the strategy.

Sub-phase 1.5, Step 3: Analyse strategic context

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

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

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. It is of importance to focus on the factors over which the city has control and is able to influence. In some instance, the city may be able to execute indirect influence, by lobbying for change (e.g. requests for the allocation of grants from Central Government to be done on time).

Reference
Cities Alliance are involved in 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

Sub-phase 1.5, Step 4: Analyse locally chosen priority topics

As mentioned in Step 2, above, the team will have to 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 – which organizations -public and private 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.

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

- An assessment of other locally chosen priority topics / sectors (such as infrastructure, basic services, housing, health, education, safety, heritage and cultural assets, etc.).

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

Figure 7: An example of the structure of a situation analysis

The Figure above provides one example of how themes can be organised 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 sub-phase. Whatever framework is chosen, it is important for the city to be clear how to use it and to be comfortable with working with the framework. It is also important that the information generated is relevant and reflects the 'real' situation in the city. The results of the analysis have to be 'recognisable' for the inhabitants of the city.

Note:
The results of the Municipal Institutional Analysis executed in sub-phase 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'.

Sub-phase 1.5, Step 5:

The experts and the CDS team will organise events to discuss the situation analysis with the thematic working groups, made up of different stakeholders. They will also organise, on completion of the situation analysis, 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 perception of (the severity of) problems in the city. They should also identify the opportunities.

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 have a tendency to face inequalities in political power (access to decision-making, representation, etc.), 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, and in particular at the inequalities in the domestic/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) also addresses directly 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".

Output of this sub-phase: Situation analysis

1.6. SWOT analysis

SWOT stands for "Strengths, Weaknesses, Opportunities and Threats". The objective of this sub-phase is for the city to take the data from the situation analysis and to organise it in a framework that can be used to discuss with stakeholder groups. The output of this is an important bridge to the development of strategies and actions.

Steps in this sub-phase:

Sub-phase 1.6, Step 1: Perform SWOT analysis with CDS team

Sub-phase 1.6, Step 2: Consult with wider stakeholder groups on SWOT to get feedback, prioritize issues

Sub-phase 1.6, Step 3: Obtain broad consensus on the final SWOT from stakeholders

Sub-phase 1.6, Step 4: Get Council to approve and the mayor to endorse the SWOT

---

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

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

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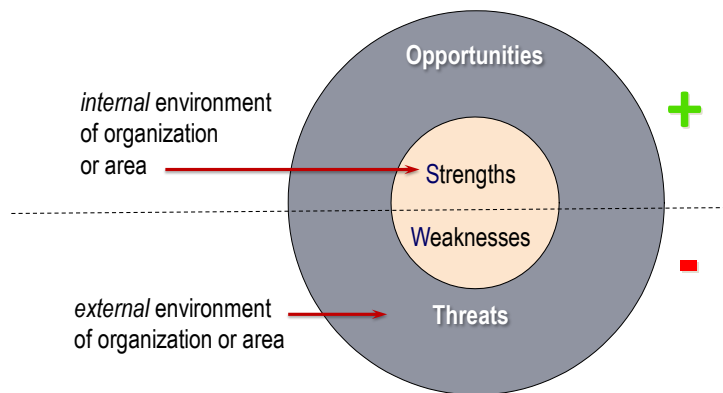
SWOT stands for:

- **S**trengths of the organization or city (internal)
- **W**eaknesses of the organization or city (internal)
- **O**pportunities external to the organization or the city, but influencing it (external)
- **T**hreats external to the organization or the city but influencing it (external)

> **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 which can be more directly influenced by those within the stakeholder group. *External* factors cannot be controlled, but some may be able to be influenced, e.g. by lobbying and advocacy.

Figure 8: SWOT analysis

internal environment
of organization
or area → Strengths

Weaknesses

external environment
of organization or area → Threats

Opportunities

+

-

> **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

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 through to setting objectives. A 'problem tree' focuses in on core problems and their causes and effects. Please also 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 (i.e. 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*.*

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

Sub-phase 1.6, Step 1

Conducting a SWOT analysis
The SC and CDS teams, after careful analysis of the diagnostics information, will perform the SWOT analysis. This 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 it is very important to define your point of view. For example, if a nation state is taken as starting point, government and private sector economy would be internal. If city government is starting point, private sector and national government would be external.

The Table below provides some guidance on the types of questions that stimulate discussion:

Questions on strengths:
- What are your city's advantages?
- What does your city do well?
- What relevant resources do you have in your city?
- What do other people see as strengths of your city?

Questions related to weaknesses
- What do you do badly?
- What could you improve?
- What should you avoid?

Questions related to threats:
- What obstacles do you face?
- Are there threats to the resilience of the city from climate change?
- What is happening around you, 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?

Questions to ask when discussing opportunities:
- What are the good prospects in front of you?
- What are the interesting trends you are aware of (changes in government policy, in social patterns, population profiles, lifestyles, economic development etc.)

Please note: opportunities and threats are often factors over which a city has no or limited control, but have to be taken into account.

Sub-phase 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.

Sub-phase 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 make use of a publicity campaign to communicate (see also communications strategy in the Getting Organised sub-phase 1.1).

Sub-phase 1.6, Step 4 Approval of the Council, and endorsement of the mayor

The SWOT, in fact, 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 sub-phase: SWOT analysis

1.7. Strengthen data and information management

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

Steps in this sub-phase:

Sub-phase 1.7, Step 1: Analyse local data gathering, information management, and mapping procedures and capacities

Sub-phase 1.7, Step 2: Provide leadership on sharing data

Sub-phase 1.7, Step 3: Assess future data acquisition needs and potential, develop proposal to strengthen capacities

Sub-phase 1.7, Step 4: Update CDS relevant indicators and measures, together with monitoring systems

Sub-phase 1.7, Step 5: Integrate data management systems into activities of local planning institutions

---

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 is kept up to date. This sub-phase focuses specifically on improving data collection and management over the longer term. This will allow for adjustments to the CDS over time, aid in future decision-making and in the sustainability of CDS initiatives.

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

Sub-phase 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.

Sub-phase 1.7, Step 2: Provide leadership on sharing data

Sharing data is essential for the success of a CDS. The SC 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. This will help when budgets are minimal, and will help in integration of activities.

Data is also important for the different stakeholder groups in the city. With reliable information, local businesses, potential investors, families, etc. can make educated and informed decisions. 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 also to share.   Both sides need to see this as beneficial or sharing will not work. To ensure the availability of the data, the local government will have to build the capacity of a variety of institutions to collect and to analyse the data[19].

Sub-phase 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 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 organisational scenarios for collection and management of data, (i.e. working with internal teams or with a combination of internal and external support) and the costs of these.

Sub-phase 1.7, Step 4: Update CDS indictors 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

Note
A sound base of information and good analysis is very important to develop a strategy and also to encourage agreement between 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 (sub-phase 1.2)

---

[19] VNG 2010

measure of change over time. These indicators will be linked to the local monitoring system.

Sub-phase 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 in linking the 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.

2. 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 in general and the SWOT analysis, and the participation in that process to form the basis of looking to the future. This is done first at a broad level with *visioning* and then in more detail with the development of strategic objectives.
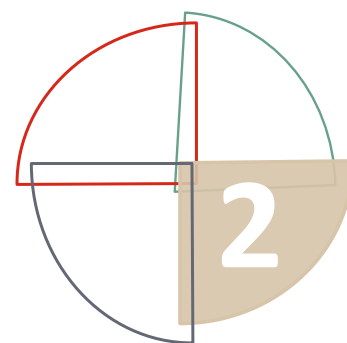
2.1. Visioning and building consensus on key themes

The objective of this sub-phase 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/assets of the city and generating added value)
- It requires participation, consultation, sharing, fine-tuning, consolidation, implementation and reviewing
- The vision may lead to a shorter version, i.e. a slogan, which can be the basis for a marketing strategy.

A vision is an output, and 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 sub phase, as a tool it ensures that all vulnerable groups, the poor and women and children are included in this exercise.

> **Steps in this sub-phase**
>
> Sub-phase 2.1, Step 1: Conduct iterative visioning exercise
>
> Sub-phase 2.1, Step 2: Build support for the focus and themes in 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.

---

[20] UN-Habitat, 2012: 19.

Sub-phase 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.

Sub-phase 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.

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:

Tools
*See **Tool 13** on **brainstorming***

> **Audacious**: A dream that is beyond what you think is possible; take it beyond your 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 sub-phase: a city vision agreed upon by the local government and all key stakeholders.

2.2. Set strategic objectives and build consensus on strategic directions

The objective of this sub-phase 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 and/or opportunities) with the programmes and projects to be formulated in the next steps.

> **Steps in this sub-phase**
>
> <u>Sub-phase 2.2, Step 1</u>: Develop strategic objectives and prioritise these
>
> <u>Sub-phase 2.2, Step 2</u>: Build consensus on strategic directions and choices
>
> <u>Sub-phase 2.2, Step 3</u>: Create a framework for a multi-sector strategy and multi-year budget
>
> <u>Sub-phase 2.2, Step 4</u>: Design a user friendly CDS strategy document

Sub-phase 2.2, Step 1: Develop strategic objectives and prioritise these

The team, working closely with municipal departments and the thematic groups will develop series of 'SMART' strategic objectives and prioritise these. The process of setting objectives is often done using brainstorming techniques, which can result in a number of different options. Having a number of options allows for comparison, and the ability to choose the best objectives to achieve the vision. Each objective will be accompanied by indicators to measure performance. The data collected as part of *the situation analysis* (1.4) and in the *data and information management* (1.7) sub-phases, provide good baseline information for developing the indicators.

Sub-phase 2.2, Step 2: Build consensus on strategic directions and choices

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

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 round 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.

Sub-phase 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.

A key input for this step is the **resource assessment** undertaken as part of the *municipal institutional assessment* (sub-phase 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 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 opening up discussions with the national government and donors.

> *Cross-reference*
> Please refer to the Kaganova 2011, **Guidebook on Capital Investment Planning for Local Governments** of the World Bank.

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 and:
- Developing synergies which make better use of investment to meet objectives.

This is the moment to start thinking about resource mobilisation strategies. There are a number of different ways to mobilise resources, also including looking at ways to work more effectively with limited funds.

Resources can include many different things, not just money. Resource mobilisation is actually a process of raising different types of support for the departments of the municipality. It can include 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 get in-kind contribution 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 with a well-conceived project.
- Volunteer support where volunteers provide their time and resources to support the work of a project or a 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 NYC, for 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 or 2) request small amounts of money from the public (i.e. 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 HR benchmarking toolkit* that are part of the CDS is that finding better ways of working are a priority.
- Reviewing design options – 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:
- 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.

Sub-phase 2.2, Step 4: Designing a user-friendly CDS strategy document

The team will, at this point, 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 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 different situations. Often cities also design webpages that contain the different chapters of the document.

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 real 'voice'.

Taking part in discussions, coming 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. Often problems are more immediate (shelter, water and food are priorities), than problems perceived by municipal staff, who think at a more structural level (strategic objectives, service provision). It is important to provide women and the poor a 'safe' place and the time to talk, a place where staff will listen. 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.

Output of this sub-phase: prioritised strategic objectives

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

3.1. Develop strategic options and prioritisation

The objective of this sub-phase is to focus on 'operationalising' the vision and objectives, turning these into concrete programmes and projects, with budgets, and with spatial location identified related to the spatial plan.
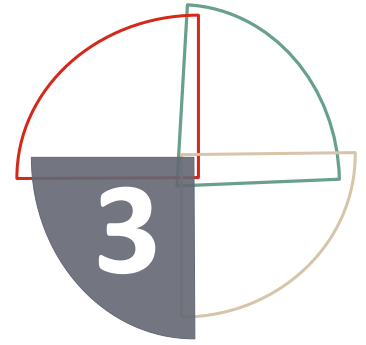
Steps in this sub-phase

<u>Sub-phase 3.1, Step 1</u>: Transform the vision and objectives into strategic options (programmes and projects)

<u>Sub-phase 3.1, Step 2</u>: Clarify the legal and political framework governing the projects

<u>Sub-phase 3.1, Step 3</u>: Assess the financing framework and make outline budgets

<u>Sub-phase 3.1, Step 4</u>: Locate the projects on plans

<u>Sub-phase 3.1, Step 5</u>: Prioritise project options

<u>Sub-phase 3.1, Step 6</u>: Confirm consensus on prioritisation of projects

---

Sub-phase 3.1, Step 1: Transforming the vision and objectives into strategic options (programmes and projects)

The team now have to take the vision and objectives and transform these into strategic options or, as they are often called, programmes and projects.

Figure 9: A programme vs. 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. A project is on the other hand a fixed time frame undertaking to create a unique product or service. A project has a defined start and end point and specific objectives that, when attained, signify completion. Programmes are normally wider in scope and more long term in nature than 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 minimised.

There is not a "magic button" that allows a strategy to be developed, rather alternative strategies emerge from the process of analysing problems and opportunities and also from reviewing existing programs 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, for example in location 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 which will allow later testing using tools such as Goals Achievement Matrix (see 3.1 step 5 and the discussion in sub-phase 3.3).

There is an overlap between the broader work done on the overall strategy in this sub-phase and the more detailed work carried out in the action plans of sub-phase 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 allows the broad scope to be assessed. This helps avoid going into too much detail in developing action plans which 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 organise 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 proposals[21].

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

Another tool that can be used in project formulation is a tool called the Logical Framework Approach. The Logical Framework Approach (LFA) 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).

> **Tools**
> Please refer to **Tool 12 (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
>
> **Tool 17, Goals Achievement Matrix** is used to test alternative strategies

> **Tools**
> Please refer to **Tool 11, Problem Tree Analysis and Tool 9, Force-field analysis.**
>
> A useful combination is:
> ➤ 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.

> **Tools**
> Please refer to **Tool 16 (Log frame)**

> **Cross-reference**
> There are a number of guides on the internet, including How to write a logframe : a beginner's guide:

---

[21] VNG 2010

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

Sub-phase 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 has to be done to eliminate them.

The *political and legal assessment* executed during the **municipal institutional assessment** (sub-phase 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.

Sub-phase 3.1, Step 3: Assessing the financing framework and making outline budgets

Programmes and projects will be accompanied by outline budgets. The team, working with the departments, will assess the financing framework (assets, 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 the expenditure and revenue streams for the entire project portfolio. This is done initially at a broad level.

This implies collecting information on existing project proposals at the level of main features, preliminary budget and location (see step 4), and of obtaining very rough initial budget estimates of potential projects.

 The investment plan will look at the life cycle costing of the projects, including the capital investments needed and as well 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 will be detailed as described below in sub-phase 3.3, step 3

Cross-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

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

The team will now work closely with the departments and with the planning department to locate the projects chosen on the statutory plans. This will help to coordinate projects spatially, to connect to existing plans and to look at possible influences of projects on each other – providing either synergies or conflicts.

Sub-phase 3.1, Step 5: Prioritise project options

The team will be faced with a long 'wish' list of projects, not all of which can be executed. They will now have to prioritise and choose the options. This 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. In other words, the criteria used to choose projects should be discussed in a transparent manner, so that there is no feeling on the part of stakeholders 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.

The criteria developed will rate the feasibility as well as the potential positive and negative impacts of the projects. There are a number of additional tools that 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, taking into account inter-related socio-economic, cultural and human-health impacts, both beneficial and adverse**.**

- **Social impact assessment** (SIA) is 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.

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** , [accessed 10 July 2016], developed by the World Bank. CURB is an interactive tool that is designed specifically to help cities take action on climate by allowing them to map out different action plans and evaluate their cost, feasibility, and impact.

Sub-phase 3.1, Step 6: Confirm consensus on prioritisation of projects

The team will now have a short list of projects, and corresponding budgets. They will confirm with the thematic groups and in a wider forum that there is consensus on the prioritisation of activities and options. This will be the final step prior to working out the projects in detail. It is therefore best for there to exist clear support for the choices made, to avoid potential opposition.

Strategy formulation, gender and poverty[22]

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 that also allows women and the poor to generate project ideas that reflect their priorities.

When outlining project ideas, it is essential to think from the start about what the differences in priorities are, as well as about the potential effect of an initiative might have on women and the poor. The UN has produced a series of checklists that check 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 projects[23].

The following is an example of thinking in gender terms during the making of the strategy, 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 or not 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 or not 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)"*

With regard to allowing for the generation of ideas on projects by women and the poor, it is essential that the design of the participatory process incorporates an

---

[22] There are number of 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.

approach that allows for this. 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 also whether a product is inadvertently harming them.

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

Output of this sub-phase: wish list of projects with outline budgets (programmed in simple terms), a short list of agreed and prioritised projects.

3.2. Establish process for continuous strategy development

The objective of this sub-phase 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 take a 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** (sub-phase 1.2).

Steps in this sub-phase

Sub-phase 3.2, Step 1: Finalise the organisational (change) strategy for continuous strategy refinement

Sub-phase 3.2, Step 2: Select and agree an institution for monitoring and feedback for the strategy process

Sub-phase 3.2, Step 3: Establish participatory systems for monitoring execution of the CDS

Sub-phase 3.2, Step 1: Finalise the organisational (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 may be executing more than one project, staff will have to think through the staffing and the capacities necessary to do this.

The CDS team will work with the mayor's office, the human resource department and other departments to finalise an organisational (change) strategy that will define the modalities of the work to be done. The strategy will define the need for any change necessary, involving for instance, departmental restructuring, re-engineering or retrenching. Whatever change necessary will be supported by capacity building activities. This is an ongoing process requiring detailing and refinement over time.

The Technical examples section contains an example of a matrix organisation and task teams as applied to the Kosovo strategic spatial planning initiative.

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

Box 1: Organisational 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 organisation called the Institute for Spatial Planning (ISP), which was tasked within the ministry with preparation of the strategic spatial plan for Kosovo, as well as provision of support to the municipalities in the preparation of their plans. The consultant hired by UN-Habitat to develop the organisation 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, also in areas in which the ISP did not yet have the capacity.
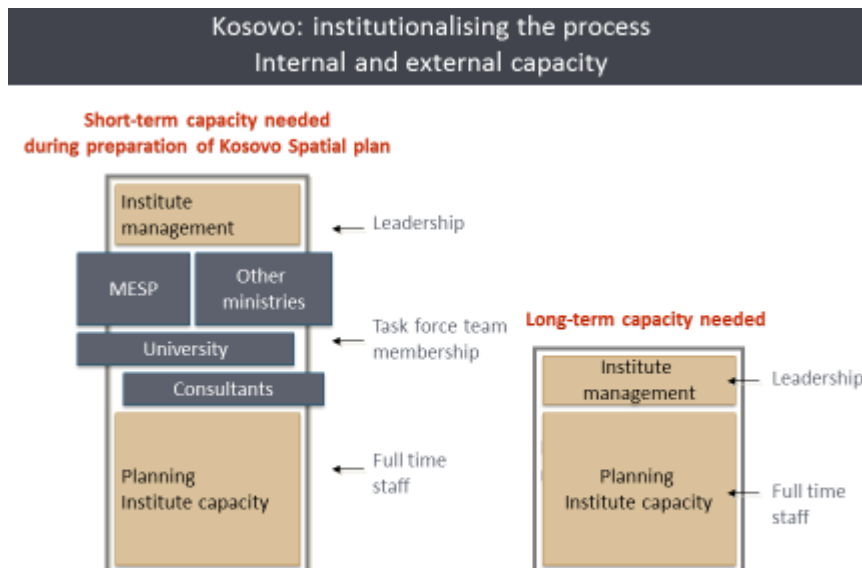
The consultant also aided in writing the job descriptions for the ISP, and developed a long-term capacity building strategy to aid the new staff in preparing the plan.

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

Sub-phase 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.

This might require, for instance, the set up a monitoring body or committee (MC), whose responsibility is to monitor project activities in a transparent manner.

One option is that the SC 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 M & E process. This can be overcome by commissioning an external evaluation.

Sub-phase 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 MC will set up a participatory system for monitoring the implementation of the CDS. This will maintain (and formalise) the engagement of stakeholders in the execution phases and ensure that they have a voice. This will also provide the opportunity for these stakeholders to engage in a critical discussion on strategy implementation. See sub-phase 4.2 for more on **community based M & E**.

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

Output of this sub-phase: an organisational development and/ or change strategy worked out in detail, including capacity building activities, and an institution assigned to be responsible for monitoring and evaluation.

3.3. Strategic action planning

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

Steps in this sub-phase

<u>Sub-phase 3.3, Step 1</u>: Develop strategies into strategic action planning (work out the projects in detail)

<u>Sub-phase 3.3, Step 2</u>: Establish timelines and clarify actor responsibilities

<u>Sub-phase 3.3, Step 3</u>: Develop final multi-sector investment plan for strategic priorities

<u>Sub-phase 3.3, Step 4</u>: Negotiate with national government on embedding local investments in national and donor budgets

---

Sub-phase 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. This will involve setting specific project objectives that are ´SMART´, as well as the identifying the key components and activities of the projects. They will conclude on the range of institutional options for implementation: government only, or public private partnership, public community partnership, to name a few.

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

Sub-phase 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 finalise discussions with the relevant stakeholders and obtain agreements on steps forward. They will work out timelines and agree the allocation of actor responsibilities.

> **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 *prioritisation* of projects.

Sub-phase 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 finalise 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 any potential further resource mobilisation efforts necessary.

> **Tools**
> Use **Tool 17 (Goals Achievement Matrix)** to test and prioritise projects related to objectives. Benefit – cost analysis is a more sophisticated tool but useful when competing investments are being considered.

The CDS team and departments will start working on the detailing of the multi sector investment plan which was outlined in 3.1 step 3. This 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 and as well 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

> **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.

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

61

resources from within the local government and other actors involved in the projects.

This investment plan will have to be discussed in detail with and approved by the Council.

Sub-phase 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 finalise discussions and negotiations with national government on embedding local investment programmes in national budgets, and with funding agencies on inclusion in programmes.

Negotiations will also continue with financing organisations and/or donors to ensure that that programmes and projects being implemented are in line with agreements made and that the funding continues to be allocated to local priorities.

Output of this sub-phase: projects detailed, with timelines and responsibilities assigned, and budgets incorporated into a multi-sector investment plan.

3.4. Promote the Strategy

The objective here is to make sure that there is broad-based knowledge and understanding of the strategy among relevant stakeholders, both at the local level and nationally.   This is important to build support for cooperation and funding. A good document can help to facilitate further support.

Steps in this sub-phase

Sub-phase 3.4, Step 1: Finalise the CDS document

Sub-phase 3.4, Step 2: Further develop marketing – communication campaign to systematically promote the strategy locally and nationally

---

Sub-phase 3.4, Step 1: Finalise the CDS document

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

Sub-phase 3.4, Step 2: Further develop marketing and communications campaign

Communication of ongoing activities has been a key element of the CDS since the beginning, and will have to continue into implementation. The city may want to consider institutional options for the taking the marketing and communications of the CDS forward. One option is to hire expertise to take care of this. Another option is to set up of a body internally that takes over the marketing and communications of the CDS to a wider audience. Communication is also about means of feedback and listening to ideas. This can link also to monitoring and evaluation.

The organisation taking this over will have to 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. This is to ensure that the CDS does not end up on a shelf, and that momentum is maintained. Communication will create interest, also from the private sector to invest.

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

- **Public relations and lobbying**[24]: This comprises going outside of the municipality to communicate with a wider audience on the progress of strategy implementation, communicating with different parties on the value of getting involved or investing in projects. This will also require continued communication with the national government, financing organisations 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 sub-phase: CDS promotional material, including the final CDS document, marketing campaign.

The table on the following page provides an example of the contents of a typical CDS document.

---

[24] VNG 2010: pg. 48

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	Introduction to the process by the mayor and key messages on the importance of the CDS
Executive summary	The need for long term and strategic planning, short summary of the CDS process and outcomes
The purpose of the strategy	Description of the role of strategy in the development of the city
Introduction and background to the CDS	Need for long term and strategic planning, justification and benefits of the CDS, nature of the process
The CDS process (steps, key stakeholders)	Steps that were taken to develop the CDS, the key stakeholders and partners involved
The situation analysis: key issues	The situation analysis in summary, covering all the central themes chosen by the city. A conclusion on the issues defined and prioritized (note: full analysis is in the annexes)
The SWOT analysis	The results of the SWOT
The vision and strategic objectives	Description of the city's vision in detail, and the strategic objectives set
Key elements of the strategy	A description of the key elements of the strategy: the programmes chosen.
Cross cutting issues	▪ Description of how horizontal issues are considered across all elements of the strategy. ▪ These will include: - Focus on reduction of 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	The project prioritized during the consultation process, described in some detail and located on the plan.
Organisational change	Key aspects of the changes taking place in the government to manage the CDS
Implementation of the strategy	▪ CDS implementation approach: key principles guiding implementation ▪ Action interventions: priority activities in the first 5 years ▪ Implementation mechanisms: governance of implementation ▪ CDS monitoring and evaluation: focus of the monitoring and evaluation, responsibilities
Financial plan	Overview of the budget and sources of funding
Conclusion	Concluding words
Annexes	Annexes could include: the situation analysis in full, copies of surveys or questionnaires used, and examples of other CDS processes that were considered as examples.

4. 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 commitment to the continued operation and maintenance of the investments. There are two main components:

- 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 – i.e. *operation and maintenance*. This requires a strong capacity in local government and key partners.

4.1. Manage strategy implementation and operation and maintenance

The objective of this sub-phase 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 take into account. The sub-phases in the preparation phases have been working to ensure that this implementation sub-phase is well conceived.

Steps in this sub-phase

Sub-phase 4.1, Step 1: Approve and execute institutional reforms to support strategy implementation and communication

Sub-phase 4.1, Step 2: Develop legal and regulatory instruments to support the strategy

Sub-phase 4.1, Step 3: Prepare procurement procedures

Sub-phase 4.1, Step 4: Plan for budgeting and improved operation and maintenance of ongoing services

Sub-phase 4.1, Step 5: Prepare and tender partnership projects and negotiate contracts

Sub-phase 4.1, Step 6: Build capacity to manage contracts and consultants

Sub-phase 4.1, Step 7: Commit public financial resources for implementation

Sub-phase 4.1, Step 8: Take resource mobilization forward

Sub-phase 4.1, Step 9: Develop inter-departmental project team for oversight of projects

Sub-phase 4.1, Step 10: Manage internal services and projects and external contracts
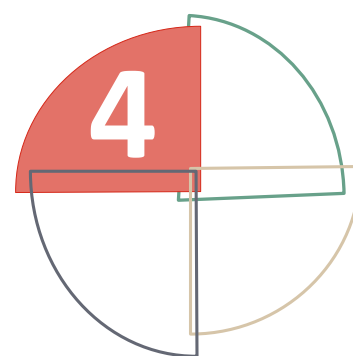
Sub-phase 4.1, Step 1: Approve and execute institutional reforms to support strategy implementation and communication

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 now starting implementing key aspects of the institutional reforms defined in the change strategy. Outside expertise and capacity building activities should provide support in carrying this out.

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

Sub-phase 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** (sub-phase 1.2) and during the legal stocktaking in the **Develop strategic options and prioritisation** sub-phase (3.1).

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

Sub-phase 4.1, Step 3: Prepare procurement procedures

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

Sub-phase 4.1, Step 4: Plan for budgeting and improved operation and maintenance (O & M) of ongoing services

The departments should invest time in improving on the operation and maintenance of ongoing services and thinking through the O & M of new projects. This involves 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).

This may also imply the need for department heads to work on changing the culture of maintenance, namely instilling in staff a consciousness of the maintenance problems and a determination that they should be dealt with. It is better to institute a process of planned and preventative maintenance, than dealing with problems when they become urgent.

> *Cross-reference*
> Please refer to the following free O & M manual templates:
> Ecodocuments (no date), Building & construction industry online document : templates and also in Hunt, G. (no date), Comprehensive Facility O&M Manual.

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 O & M manual, which is a set of instructions on the requirements and procedures for the effective operation and maintenance of the infrastructure facility /service. The manual will plan out routine, urgent, recurrent and periodic maintenance activities.

Sub-phase 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 PPP, often requires hiring a transaction advisor.

Sub-phase 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 the support of 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.

Sub-phase 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.

Sub-phase 4.1, Step 8: Take resource mobilisation forward

City departments will, at this juncture, have to implement the resource mobilisation strategy/ capital investment plan developed during the preparation phase and adjust this as necessary.

Sub-phase 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 on a monthly basis. Project managers will have to prepare project reports and budgets for these meetings.

Sub-phase 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

The objective of this sub-phase is that the city monitors the implementation of the strategy and is able to adjust and modify aspects that need changing.

Steps in this sub-phase

Sub-phase 4.2, Step 1: Monitor progress—collect monitoring data and report progress

Sub-phase 4.2, Step 2: Execute analytical studies where necessary

---

Sub-phase 4.2, Step 1: Monitor and evaluate project implementation and service provision

Monitoring should be done internally by city departments and externally, via the participatory monitoring processes (set up in sub-phase 3.2) and community based monitoring activities or independent consultants hired in 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 departments issues faced and potential solutions.

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

The MC will have to establish good working relationships with the departments. They are a body that oversees progress, but they should also work with departments to improve project implementation.

The city should continue to monitor progress, to collect monitoring data, and to report on progress. These reports should be issued regularly by department heads, and should be instrumental in making adjustments to priorities and to the strategy.

For *evaluation,* it is important that this has credibility 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 also have an independent evaluation. This will be valuable because of unbiased feedback, building of external credibility, and as an input to ongoing review and adjustment.

> *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 them also when developing indicators and using them for monitoring

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	▪ 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	▪ 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
Access to land and natural resources	
Gender disparities in the access to resources by youth and the urban poor reduced	▪ 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, scaleable land tools	▪ 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	▪ 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	▪ 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	▪ 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/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	▪ 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	▪ 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]

Sub-phase 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 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 to integrate the information into their strategies and projects.

4.3. Adjust and modify

The objective of this sub-phase 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 re-thinking of the strategy.

Steps in this sub-phase Sub-phase 4.3, Step 1: Make any adaptations necessary Sub-phase 4.2, Step 2: Refine stakeholder/institutional roles in monitoring

---

[25] UN-Habitat 2015: 41-49.

Sub-phase 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 make adjustments and adapt project implementation.

Sub-phase 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 MC and any participatory approach to monitoring, and to refine stakeholder and institutional roles in monitoring.

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

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; this is another way of bringing the community together for equitable, collective decision-making.

Wherever possible, stakeholders, the poor and both women and men, should be involved in identifying results and indicators, and in collecting and analysing information. 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 M & E 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 will need to track key indicators over time and space. This will help to determine 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 in outside expertise, but also to build domestic capacity to do this as well.

Source: Prennushi, 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.

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 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 & Homabay (Kenya) and Bukoba, Musoma & 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 and builds on the previous related programs. The program is expected to run through 2016/2017. Through this initiative, Cities Alliance, Uganda Country office is currently supporting 14 municipalities, including Jinja, to adopt CDS as a planning tool.

Secondary cities like 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 of an art than a science. It is important to be clear at all times on 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 does not provide a rigid blueprint where "one size fits all".

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 to 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 8 cities in 4 countries to become future proofed to climate, environment and natural resource challenges, so that they are inclusive and resilient, and have growing economies.

1.

It is currently developing a normative/ analytic framework that could provide one approach to structure the situation analysis. This framework defines the five core dimensions of resilience; these are then further broken down into sub-dimensions and variables. These are the further detailed into indicators.
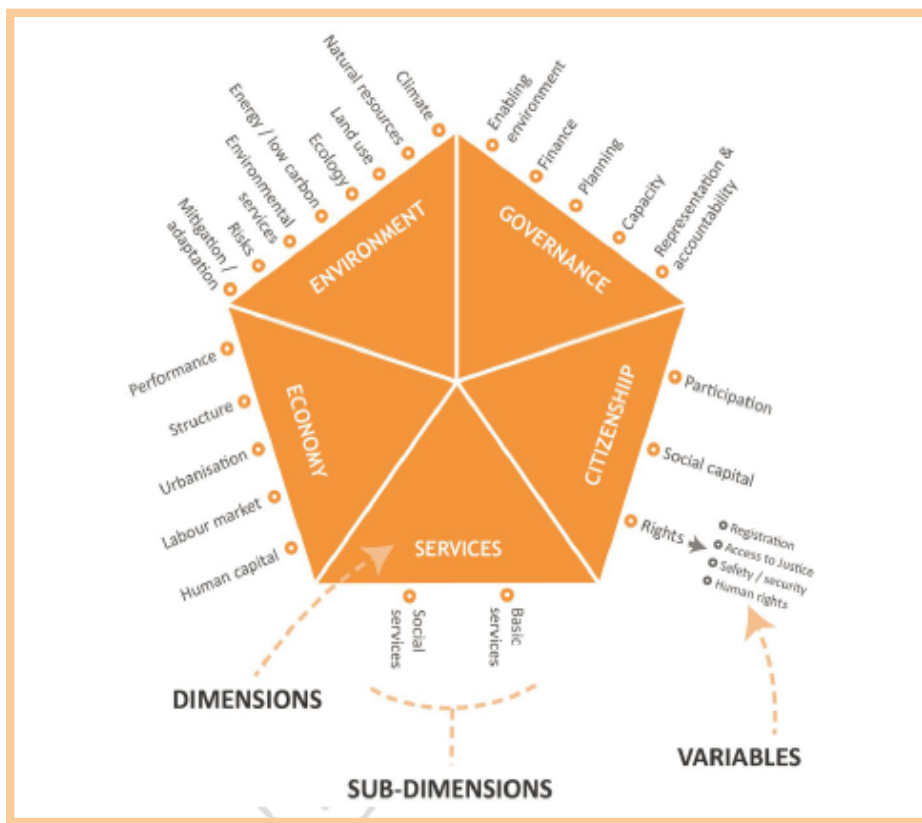
Another approach that provides an analytic framework for the situation analysis is the City Resilience Framework of the Rockefeller Foundation (see figure below). The framework attempts to provide a lens through which to capture the complexity of the cities and the factors that contribute to resilience.

The framework defines what makes up a resilient city. The 12 goals defined (also called outcomes) fall within 4 broad categories; these then are broken down into 12 'qualities'. These are further detailed into variables and indicators.

Both approaches provide a framework of analysis for resilient cities, with a series of indicators, which can be used in monitoring and evaluation.
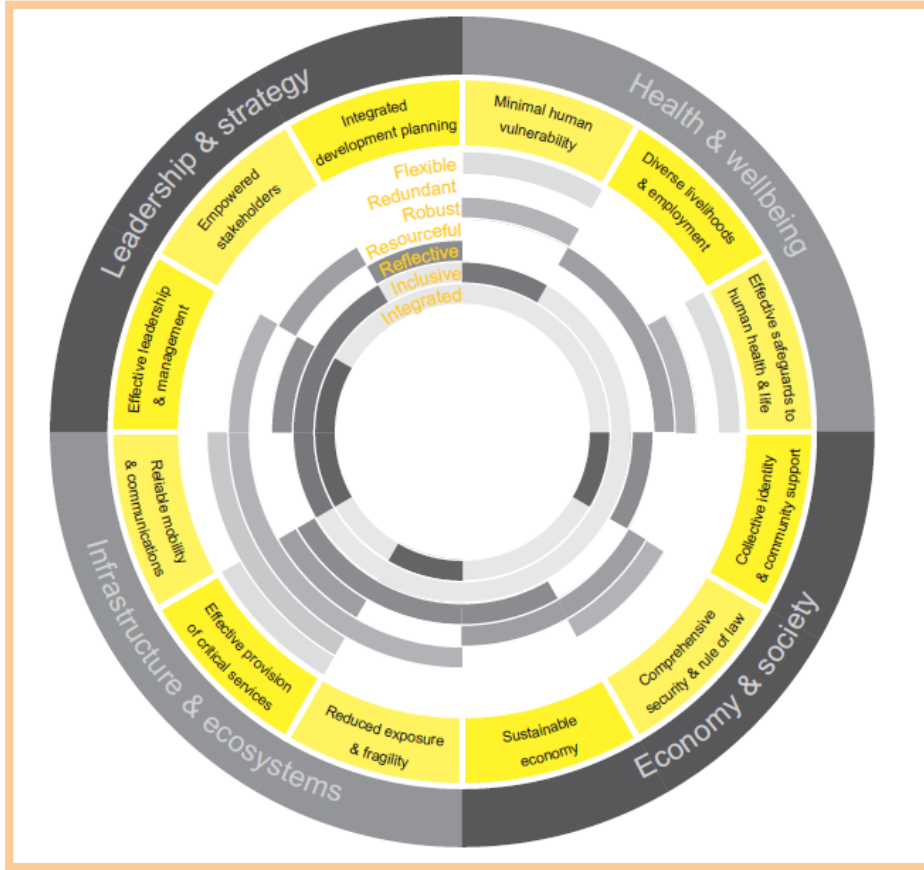
Please refer to Arup 2015, City resilience framework for more information.

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, 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 was able to benchmark different cites to allow for comparison across different factors and indicators.

Please refer to europeansmartcities for more information. The fourth version of the analysis is now available.
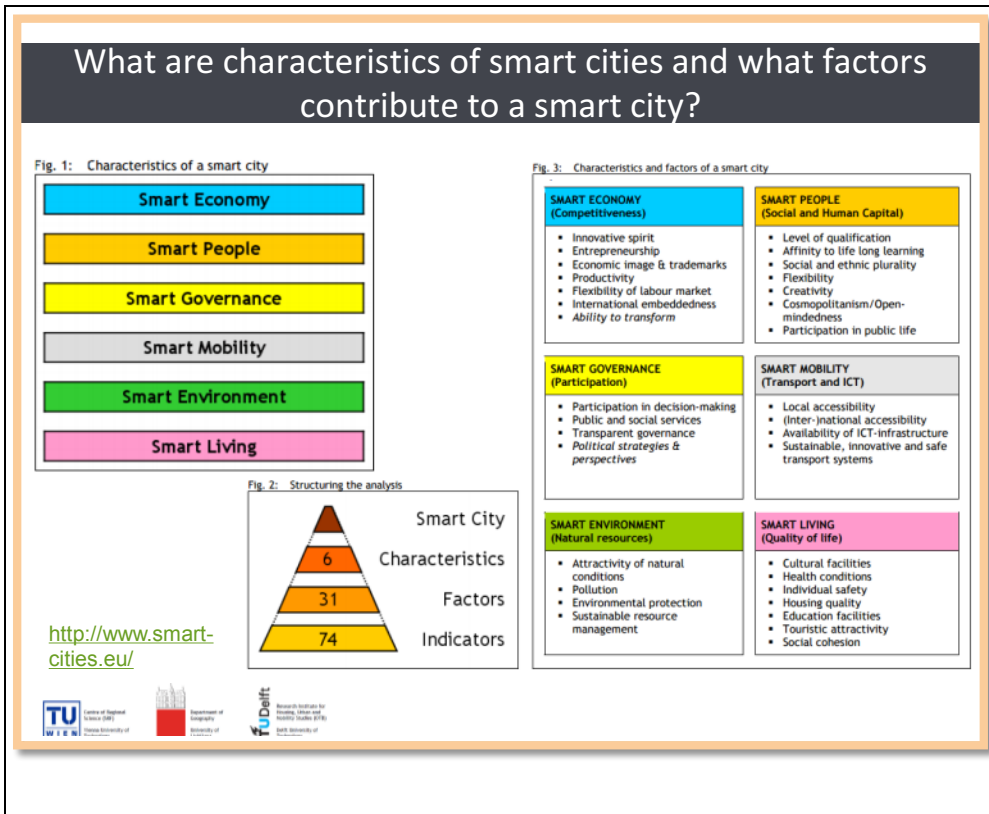
Sources: The Normative framework: Arup Review and Recommendations pg. 5[26], City Resilience Framework website, and the European Smart Cities Model.

Example of a SWOT analysis

The figure below is reproduced from the Edmonton economic development strategy, *The Way We Prosper,* developed in 2012[27]**.**

---

[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).
[27] The Way We Prosper : Edmonton SWOT analysis summary, accessed 4 July 2016.

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

THE CITY OF Edmonton

www.edmonton.ca/TheWayWeProsper

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 is a city in the east of the Netherlands. In the 1990's it was suffering from problems of economic decline. It had, however, real local and regional potential, positioned at key crossroads to Germany. The national government of the Netherlands also considered its location strategic. The local government decided to organise 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, with a key influence on how the government staff planned and managed the interaction with inhabitants.

The city was interested to create, during the preparation of the strategy, an understanding of the benefits of programme for the citizens and, in implementation, a coordinated effort between parties, with commitment of manpower and resources. Namely, they focused on building long term partnerships. Developing trust and building relations were central to their approach.

The city organised a visioning process with the following steps

- Brief profile of the city: a rapid appraisal of the issues faced in the city, written up and widely distributed.
- Consultations, an inventory of / discussion on views of the community and businesses. This involved a series of round table discussions, followed by 4 public debates. All events were lively and highly interactive, with a chance for all to get involved.
- Formulation of four scenarios: the development of four distinct views of the potential future of the city.
- Consultations on and discussion of 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 to comment.
- Concept vision: the development of a concept vision
- Consultations: followed by final feedback on the vision, prior to making the final choice.
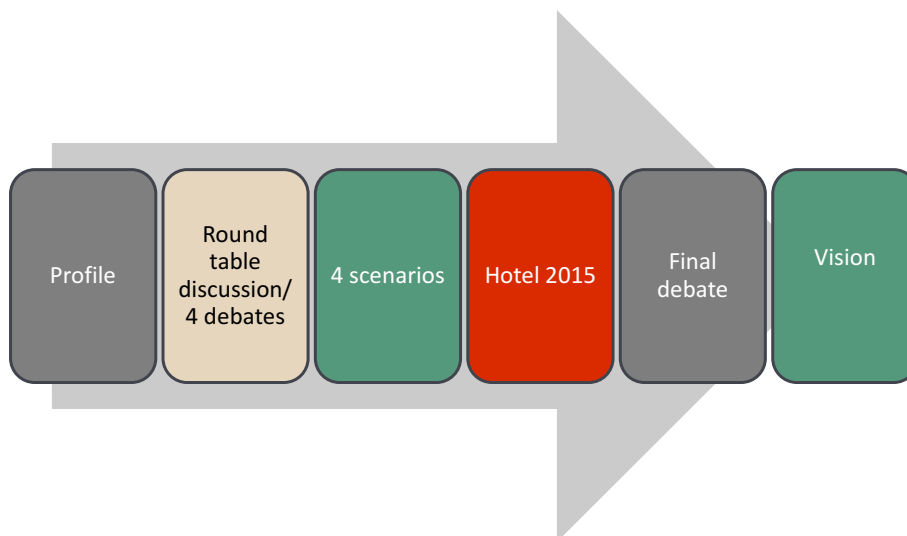
The city concluded that the visioning process was instrumental in gaining ownership and commitment to the process internally in government and from key stakeholders. Taking the time in preparation of the vision implied that relationships were well formed when it came to implementation.

Project programming and formulation

The Figure below 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

(Note: the table's left vertical band reads "Livable City")

Figure 14 provides a simple representation of a log frame. It allows the city to organise clearly its objectives (long 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				

Organisational change strategy

The figure below presents an example of how task teams were set up as part of an organisational change strategy, as applied in the Kosovo strategic spatial planning project (see sub-phase 3.2, step 1).

Set up of matrix organization and task teams in Kosovo
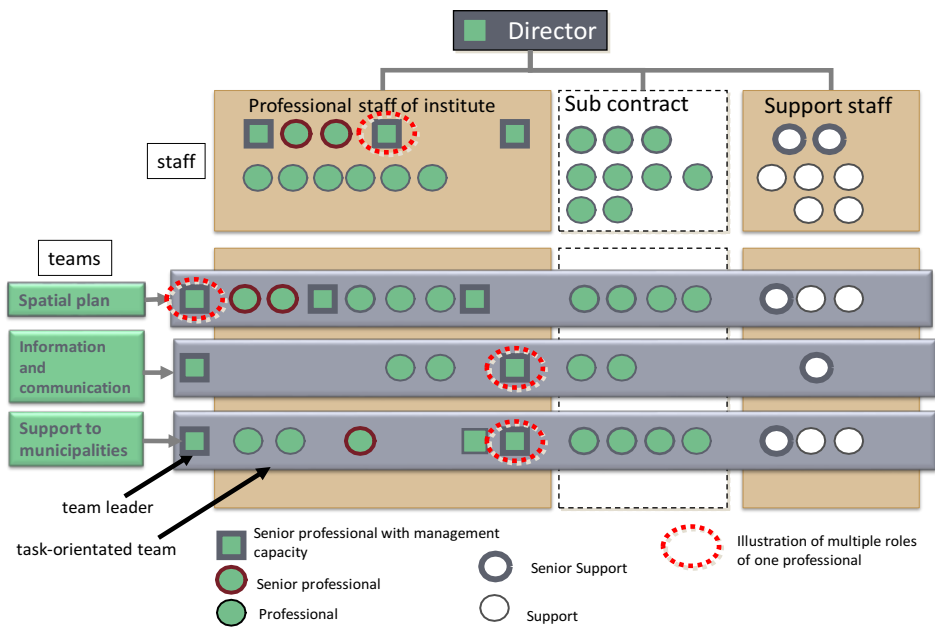
Tools

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 sub-phase.

Table 5: List of tools described in this toolkit

Tool no.	Name of tool	Page
Tool 1	Checklist of competencies and skills required of a strategic coordinator	75
Tool 2	Stakeholder analysis	78
Tool 3	Stakeholder coincident and conflict analysis	81
Tool 4	Process planning tool	85
Tool 5	Venn diagram tool	89
Tool 6	Communication strategy tool	91
Tool 7	Mind mapping tool	97
Tool 8	PESTL analysis tool	101
Tool 9	Force field analysis tool	104
Tool 10	SWOT analysis	107
Tool 11	Problem tree tool	111
Tool 12	Linkage analysis tool	115
Tool 13	Brainstorming	118
Tool 14	SMART objectives	120
Tool 15	Project programming sheet	122
Tool 16	Logical framework	125
Tool 17	Goal Achievement Matrix (GAM)	129
Tool 18	Impact assessment matrices	134
Tool 19	CLIMACT Prio	137
Tool 20	Organisational change checklist	141
Tool 21	Project fiches	146
Tool 22	Gantt chart tool	150
Tool 23	Swim lane diagrams	153
Tool 24	DAC/OECD evaluation questions	156

Tool 1: Checklist of competencies and skills required of a strategic coordinator

Phase	Phase 1: Getting organised and initial set-up
Sub-phases	Sub-phase 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 organise 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 co-ordinate the CDS process. It a difficult, almost impossible task to find the perfect person. It is also not possible to standardise 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 we have consulted research on the subject and also linked that in with our own practical experience. The reason that this tool is placed at the start of the list of tools 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.

Competencies[28]

Being competent in an area means not only that the person has knowledge but also is able to 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 is able to learn quickly, then lacking areas of knowledge can be overcome.

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
  - 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 goals. Politics is about directing resources. There is a close connection and it requires special competence to be be able to work in this difficult area

Knowledge management including communication

---

[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 author's experience. Notes are by the author.

	▪ Knowledge is often used as a gate to power and influence – so encouraging sharing 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 has to 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 in order to obtain and coordinate the use of the human and financial resources that are essential *Urban development management* ▪ Last but not least it is important that the person has 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. Finally, it is about finding a person who is widely trusted and is able to get people to work towards common goals and to 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	4.4. 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 organised and initial set-up
Sub-phase	Sub-phase 1.1: Getting organised
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 2-4 hours as a participative process but needs to be well prepared, which takes more time *Note: For time spent on each sub-phase, 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 in particular 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 in order to find out those representing those directly interested. This will include local and central government departments, political representatives, organizations responsible for infrastructure, CBOs, NGOs, residents' organizations and chamber of commerce. Note that stakeholders are defined related to the issues likely to be addressed and their location. Issues themselves will depend also on the stakeholders selected.

	Step 2 A number of techniques can be used. Here we describe writing on cards, which can be faster and more participative. 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 list is reviewed with the group 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 and highlights those that may need support if their voice is to be heard. This is important if marginalized groups are be empowered to fully participate + Identifies actions necessary to ensure wide participation + Simple tool which triggers good questions + 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 (200) Stakeholder analysis : a review, *Health Policy and Planning*, vol. 15, no. 3, pp. 239-246.
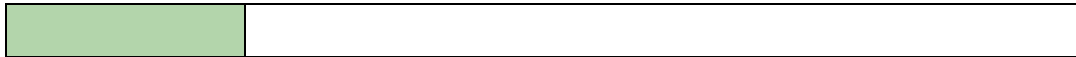
Diagrams and tools

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 which looks also 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 organised and initial set-up
Sub-phase	Sub-phase 1.1: Getting organised
Name of tool	**Stakeholder coincident and conflict analysis**
Objective	The tool aims at assessing the stakeholders' interest in the city development, in order to identify areas (sectoral fields of urban development and/or spatial areas) where these interests coincide or conflict.
Total time spent on this tool	Approximately 3 weeks (according to the number of stakeholders and the feedback to the questionnaire) *Note: For time spent on each sub-phase, 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, SMEs) ▪ Academic institutions ▪ Donor agencies, etc.
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 (4 hours) The planning team will discuss and revise the questionnaire attached, adapting the content to the local situation and specific needs. Step 2. Distribution of the questionnaire (1 day) The questionnaire will be sent along to the list of stakeholders (developed during the stakeholders' analysis) while introducing the CDS activities and will invite them to send the questionnaire back as a registration form for the further involvement in the CDS

	process. A response deadline should be mentioned too (e.g. two-week time).
	A separate e-mail account can be opened to receive the returned questionnaires. A tracking system is to be established electronically that can determine to send a reminder after e.g. a one-week period.
	Step 3. Collection of questionnaires and reporting (2 weeks to fill out the form and 1 week for reporting))
	The team will collect the questionnaires according to the deadline and will record the answers. The rating will be done on the basis of 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 since the beginning of the CDS process, an overall image on the stakeholders you can count on, and those who might be more resilient to change. + It also provides incipient information on critical issues in the city, where closer attention might be needed. + It builds the stakeholders confidence that their voice is important, and that CDS 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 have a tendency 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 Etc.							

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, etc.)					
3	Can you name other important actors that are active in this field? (in the order of importance, where A is the most important)	A				
		B				
		C				
		D				
		E				
4	How would you rate their 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 (player) to 5 (very important player)?					
6	Who or what are, in your view, determining factors/persons 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 organised and initial set-up
Sub-phases	Sub-phase 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 visualise 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 preparation for 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 makes clear the process visually + 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 15: Process activity planning
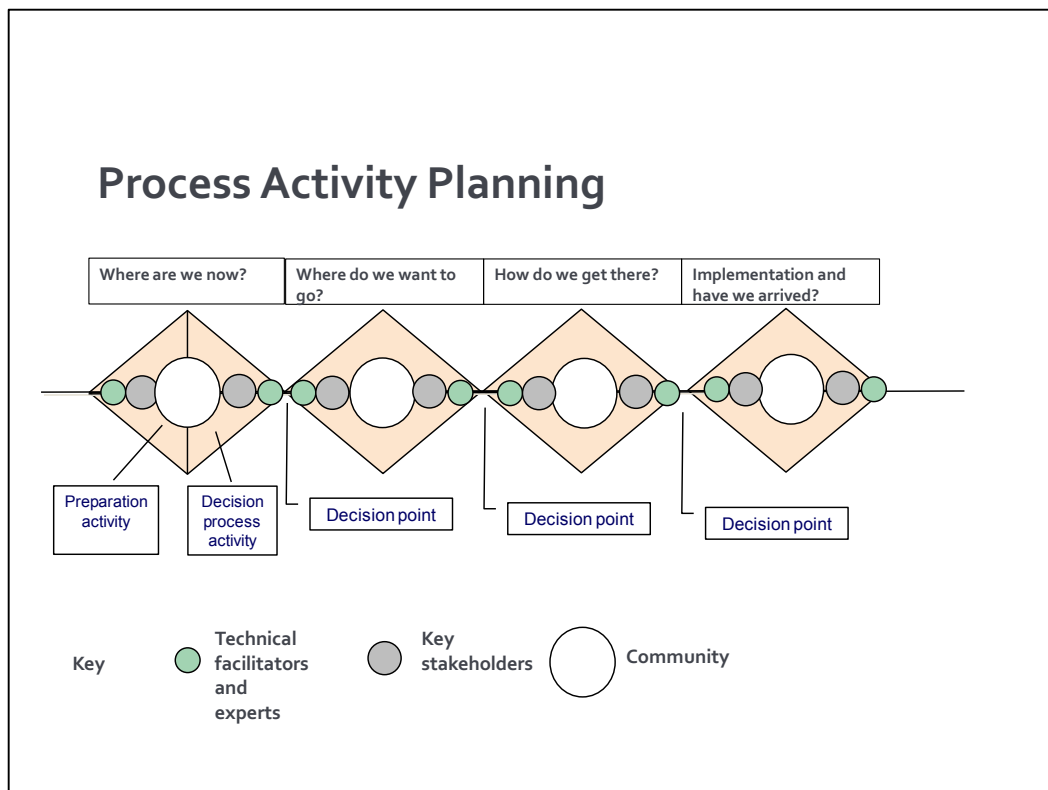
The diagram is used to help in visualising the timing of efforts in the process.

The figure is adapted from two sources[29]. 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 organised and initial set-up
Sub-phase	Sub-phase 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: ▪ Focusses attention on the areas of overlap between interests ▪ Allows common interest areas to be identified ▪ Facilitates discussion about relationships between 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 and also even numbers. 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 15-20 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 a useful tool 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 minimised
References and further resources	**Generally accessible documents** World Bank (n.d.) Tool name : institutional mapping/Venn diagramming, Washington, World Bank.

Diagrams and tools

Figure 16: Venn diagram showing capacity building relationships

Capacity building concept

human resource
development

key
intervention
points

organizational
development

institutional and
legal framework

external
environment

Key
areas of
capacity
building
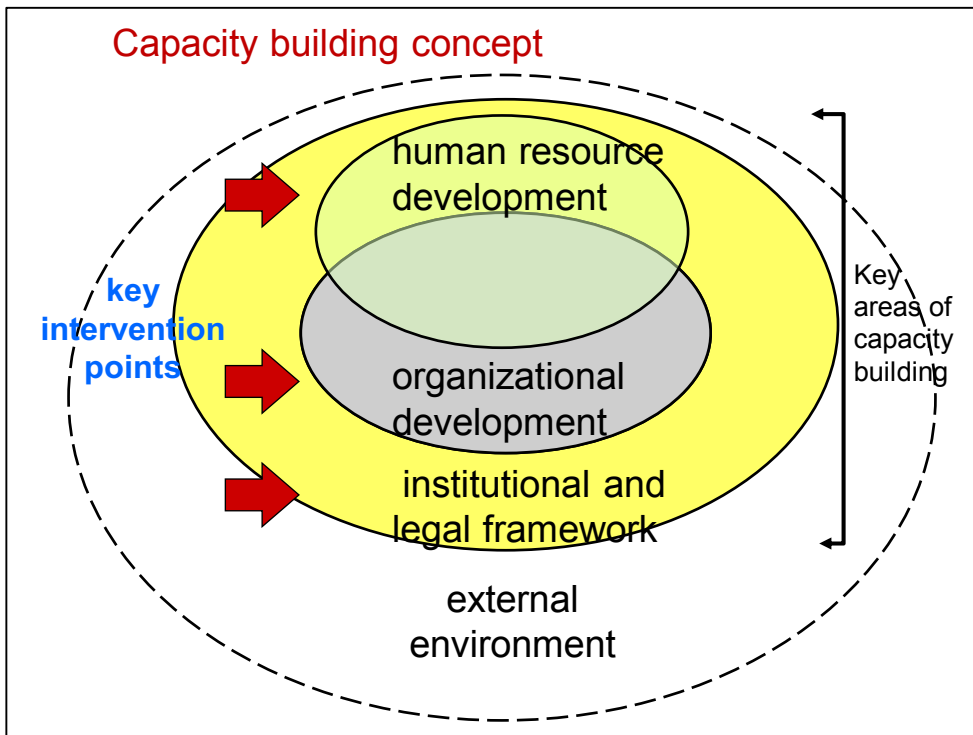
Source: Forbes Davidson, for IHS

Figure 17: Venn diagram showing public and private interests

Source: Forbes Davidson, for IHS

Private sector
interests

public sector
interests

profit

increased
business

higher
income
market

increased
capacity
increased
income

social
welfare

economic
development

improved
infrastructure
good image
publicity

Tool 6: Communication strategy tool

Phase	Phase 1: Getting organised and initial set-up
Sub-phase	Sub-phase 1.1: Getting organised
Name of tool	**Communication strategy tool**
Objective	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 to: - Identify the needs/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 moment in the CDS development. ✓ To promote the CDS process and raise 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, etc.
Description of tool	A communication strategy tool can be built in a series of steps, as follows: dentify publics, audiences and stakeholders

2. Formulate the message

3. Select marketing and communication instruments to distribute the message

4. Build a conceptual framework to connect the target audiences to CDS phases through communication instruments that ensure a market oriented process

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, NGOs), city management, etc. Besides their interests in the city development and development projects, this step also assesses their availability to participate in the CDS process, and the messages to be sent in order 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/no)?

For example:

- Awareness creation
- Coordination of interventions
- Receiving information
- Support
- Receiving funding, etc.

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[30]:

- 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, billboards), or broadcast time (television, radio, Internet) constitutes advertising. As a communication tool, it can be used to build a long-term image for a city, or on the other, to launch quick messages on punctual activities, which are going on in the city.
- Direct marketing encompasses the use of communication media to reach individuals, or

---

[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

	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 is the effort to 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/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. The Stakeholders 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 design 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)
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, resources to be made available) + It offers a framework to monitor communication activities and to evaluate feedback. Disadvantages (--)

	− It requires specialized expertise to organize the communication strategy and to 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
▪ Newspapers and articles	▪ Public hearings	▪ Workshops
▪ Radio and TV programmes	▪ Survey questionnaires	▪ Special task forces
▪ Speeches and presentations to groups	▪ Survey on the web	▪ Interviews
▪ Field trips / Exhibits	▪ Public inquiry	▪ Advisory boards
▪ School programmes	▪ Media balloting	▪ Informal contacts
▪ Films	▪ Public meetings	▪ Study group discussions
▪ Brochures		▪ Interactive events on the internet
▪ Newsletters		▪ Gaming and simulation
▪ Reports / Letters		
▪ Conferences		

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:** • Design the CDS webpage • Post the city profile, the SWOT analysis on the webpage and link to the city hall webpage **Direct marketing:** • Internal management meetings • Stakeholders forum on the city profile and the SWOT analysis	All stakeholders Sectoral consultative groups
Phase 2: Visioning and strategic objectives	**Advertising:** • Post the vision on the webpage and link to the city hall webpage • Invite the website visitors to comment	All stakeholders

	Direct marketing: • Internal management meetings • Stakeholders forum on vision	Sectoral consultative groups
	Public relations: • Press release/publicity on the stakeholders forum	All stakeholders
Phase 3: Strategy formulation (defining programmes and projects)	**Advertising:** • Post the strategy document on the webpage and link to the city hall webpage • Invite the website visitors to comment	All stakeholders
	Direct marketing: • 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 All stakeholders
Phase 4: Strategy Implementation / Monitoring and evaluation	**Public relations:** • Press release/publicity on the stakeholders forum	

Tool 7: Mind mapping tool

Phase	All phases, starting with phase 1
Sub-phase	
Name of tool	**Mind mapping**
Objective	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 1-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 to organize material after a brainstorming session. It can be used to organise 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	Mind mapping can be used by the planning team and 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. This is illustrated in figure 1. 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: Put the key issue or objective in the centre
	Step 2: Put down the main components or groups of factors or actions (depending on the subject)

	Step 3: from each of these repeat the action – resulting in a hierarchy of ideas. t is good to work quickly, capture ideas and later come back and organize. Step 4: Re-organise the ideas as appropriate. In 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 organizing 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: 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 18: Example of a mind map
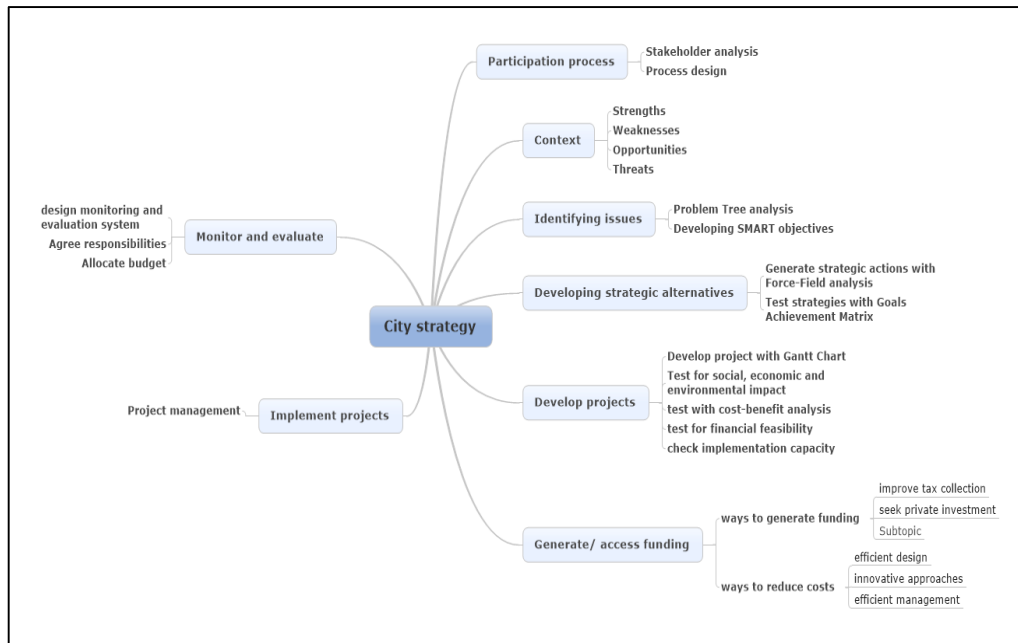
Source: Forbes Davidson, for IHS

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
Sub-phase	Sub-phase 1.5: Situation analysis
Name of tool	**PESTLE or PESTEL Analysis (Political, Economic, Social, Technological, Legal and Environmental Analysis)**
Objective	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: 1. Brainstorm and list key issues that are outside of the organization's control. 2. Identify the implications of each of these key issues. 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. 4. Rate the likelihood of the impacts actually occurring, using a scale. This scale may include the following categories: certain; very likely; likely; possible; unlikely; extremely unlikely to occur. 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 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 cultural and social conventions, traditions and beliefs, as well as social (in)stability and trends; patterns of (in)equality; and education levels.
	Technological issues comprise 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 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 organisation, as a basis for strategic planning. Disadvantages (—) – Can lead to over-simplification of complex realities, if the analysis is not done well or good data is not available. – Needs to be updated regularly in order for the analysis to remain relevant as a basis for strategic planning.
Related tools	There are several different forms of PESTLE analysis that may include fewer or more than the 6 factors described here. Additional variations include, for example: STEP: Strategic Trend Evaluation Process STEEPLE: Social, Technological, Economic, Ethical, Political, Legal and Environmental analysis. STEEPLED: Social, Technological, Economic, Ethical, Political, Legal, Environmental and Demographic 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 19: Example of an outline for PESTLE analysis

Tool 9: Force field analysis tool

Phase	Phase 1: Getting organized and situation analysis
Sub-phase	Sub-phase 1.5: Situation analysis
Name of tool	**Force Field Analysis (FFA)**
Objective	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 analyze 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; 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 inter-related 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 different 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 organized, 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 6 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, by asking: 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 favoring change. Step 3: Ask participants to identify restraining forces, by asking: 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), i.e. time, funds available, and institutional capacities, etc. Finally, the completed diagram (with the driving and restraining factors, and the interventions identified) should be reproduced and/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 prioritise 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 20: Illustration of indicative FFA "template"

Tool 10: SWOT analysis

Phase	Phase 1: Getting organised and initial set-up
Sub-phase	Sub-phase 1.6: SWOT analysis
Name of tool	**SWOT Analysis (Analysis of Strengths, Weaknesses, Opportunities and Threats)**
Objective	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 organizations
Target / beneficiary	The organization 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 analyzed, the capabilities of the organization 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 organization or city. Opportunities and threats arise from *external* factors outside of the organization 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 the development of a SWOT matrix for each plan or each 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 organization 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 sub-optimal 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 to have a negative impact on the city, organization, 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 over-simplification of complex realities, if the analysis is not done well or good data is not available. – Decisions about how to categorize 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: ▪ 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 21: Illustration of basic SWOT analysis set-up

SWOT Analysis

Opportunities

internal environment
of organization
or area

Strengths

Weaknesses

external environment
of organization or area

Threats

Tool 11: Problem tree tool

Phase	Phase 2: Where are we going? Vision and strategic objectives
Sub-phase	Sub-phase 2.1: Visioning and building consensus on key themes
Name of tool	**Problem tree analysis**
Objective	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 organized in a clear understandable manner. It helps build a strong foundation for later stages of the planning process.
Main actor(s) responsible	The team organizing the planning process should arrange the process. It is apparently simple, but should be led by a skilled moderator. 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. Organize 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 3 cards (or A4 sheets of paper cut into 3) 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 pre-identified 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 2a 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 2b 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 also by external market conditions. (30 minutes)
	Step 2 c identify the core problem. Try to identify the core problem and test it by applying the questions shown in table X below. Discuss and refine the core problem.
	Step 2d 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 inter-sectoral thinking and action. + Opportunities can be introduced as well as problems. + The effects are identified which helps in building political support for action. + It forms a strong foundation for objective setting. Disadvantages (—) – It takes time, organization and a good facilitator. – If not well facilitated it can strengthen pre-conceptions. – 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/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/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 also for 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 22: Problem tree example
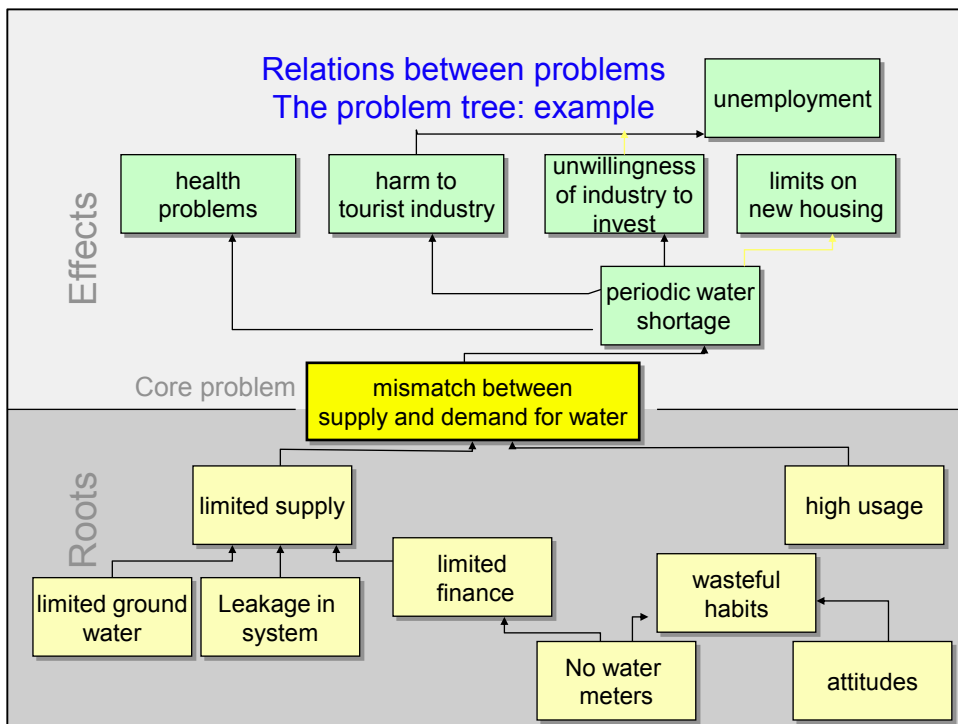
Source: Forbes Davidson, for IHS

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/ organisations who might be willing to put some effort into finding a solution. Who would be the most important person or group?
4 Where is it a problem? The whole town/ part of the town or part of the surrounding district?
5 When is it a problem? Special time of day? Seasonal?
6 How long has it been a problem? Weeks? Months? Years?
7 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 no. 1 and redefine the problem
8 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
Sub-phase	Sub-phase 3.1: Develop strategic options and prioritisation
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: ▪ To identify where potential activities have strong positive relationships to objectives and other activities (can create a synergy), or ▪ Have 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 and/ or timing.
Time required	This can be carried out in 2-3 hours, depending on the complexity. *Note: For time spent on each sub-phase, please see section on Description of tool*
Under which circumstances to use the tool	Use tool to: ✓ 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 organise, 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 i.e. 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: ▪ <u>Step 1.</u> Locate any of the potential activities identified on a map that covers the city at scale sufficient to be able to locate sites but still cover the whole city.

	• <u>Step 2.</u> 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 <u>Step 3.</u> 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 <u>Step 4.</u> For each pair where there is a strong relationship write a short note (table 2) indicating how benefits could be obtained or problems minimized. Examples could include integrated spatial planning, coordination of organization, link with taxation, coordinated timing. <u>Step 5.</u> Rate each of the activities against the objectives. The result is identified groupings of activities which 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
	  + Relatively quick- takes half a day
	
	Disadvantages (⸺)
	
	  − An additional step, but one normally worth while

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	This material was developed originally by IHS and DPU. It is included in the draft guidelines for sustainable urban development prepared for the European Commission <u>Generally accessible documents</u>: European Commission (2002) <u>Towards sustainable urban development : a strategic approach, (Consultative guidelines for urban development co-operation)</u>, Brussels, European Commission.

Diagrams and tools

Figure 23: 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 that below with a brief note of 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
Sub-phase	Sub-phase 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: ■ stimulates the development of a range of possible actions and strategies which 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 ✓ Can be used 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 organize 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. This encourages more areas of thought, and is considered to be a more productive form. Ideas are written on cards – this is use in the meta-plan approach. There are simple, but important rules which 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: ■ 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 problem is to be tackled and give 3 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 of how to get more resources but then be stimulated to think of ideas of how to improve 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 momentum and flow of ideas. When ideas dry up – move on. Depending on the number of action areas it may take about 3 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 which 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 also as an alternative way to organize 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
Sub-phase	Sub-phase 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: ✓ 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: ▪ **S**pecific in terms of place ▪ **M**easurable in terms of *what* is to be achieved (not how to achieve it) ▪ **Acceptable.** This means that an objective should be accepted by key stakeholders. The process to set and agree the objective should be participatory to maximize acceptance. (note some sources use "Achievable" but that is very similar to "realistic") ▪ **R**ealistic. It should be possible to reach the objective with regard to resources including finance and organizational capacity ▪ **T**ime bound. It is critical that objectives are related to a meaningful time frame. The time frame should itself 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: ▪ <u>Step 1</u> The starting point of this tool is the initial or draft objective developed though another tool. *Problem Tree Analysis* (tool XX) is recommended for this, but is not the only means. Problem Tree Analysis enables core problems to be identified. 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 which 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 Meta plan tool XX). If using cards or paper – pin or stick on a wall / whiteboard/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 which 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. The attached table is an adaptation of material in 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
Sub-phase	Sub-phase 3.1: Develop strategic options and prioritisation
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: • Identifying umbrella organizations over groups of related project; or • Coordinating a number of related projects over time to deliver benefits to the organization. Programs are used to categorize huge 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/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 – responsible with project implementation • Project beneficiaries – community residents, other stakeholders' groups, etc.
Description of tool	To develop a project programming sheet, the planning team should go through the following steps: <u>Step 1. Review the long list of projects</u> The team will go through the list of projects identified/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 to 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 1), 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, such as: a project code (to be easily fund in the project list), title, location, 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 1-2 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 prioritization of projects. Disadvantages (——) — It is time consuming, and it 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 prioritisation 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

	Program title:			
Title of SMART objective:	**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
Sub-phase	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: ▪ 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	The planning team should develop the framework on the basis of objectives developed in a participative manner. The main stakeholders should agree the contents
Target / beneficiary	▪ Planning team ▪ All 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 also 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 2-3 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 the problems rather than opportunities — In theory 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 24: 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
Goal The broader (national, sectoral or program level) development impact to which the project contributes	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	
Purpose: The development outcome expected at the end of the project to which all components will contribute	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

Narrative	Verifiable Indicator(s)	Means of Verification	Assumptions, preconditions, risks
Objective The specific outcome of each project component, achieved as the result of delivering specific outputs	Measures of the extent to which component objectives have been achieved (used during review & evaluation)	Sources of information and methods used to collect and report it	Assumptions concerning the component objective/purpose linkage
Output(s) The direct measurable results (goods and services) of the project which are largely under project management's control	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/component objective linkage
	Inputs and outputs		
Activities The tasks carried out to implement the project and deliver the identified outputs	Inputs such as budget allocations can be listed here as well as outputs Implementation/work program targets (used during monitoring).	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
Sub-phase	Sub-phase 3.1: Develop strategic options and prioritisation
Name of tool	**Goal Achievement Matrix (project prioritisation)**
Objective	The Goal Achievement Matrix (GAM) is a tool that facilitates the process of project prioritisation. During CDS formulation, the planning team will be faced with a long list of project options, and they will have to prioritise 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: ✓ 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 prioritisation of projects, by involving stakeholders from the sectoral/thematic groups.
Main actor(s) responsible	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 – responsible for project implementation ▪ Project beneficiaries – community residents, other stakeholders' groups, etc.

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 (i.e. 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:
	    – Focus on the objective
	    – Technical feasibility of the project
	    – Financial feasibility (resource availability)
	    – Commitment from key decision makers
	    – Co-ordination 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 which indicates strong targeting of the poor should get a higher weight than a criterion related to visual appearance. ▪ The prioritization team will fill in the table 1 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 1a. Step 3: Fill in the GAM ▪ Using the results of step 2, the prioritization team will fill in the GAM in table 2. Step 4: Conclude the assessment The prioritisation 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 prioritization 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) in order to integrate the prioritization results from various persons, and various working groups. – It still provides room for subjective bias, as the final score could sometimes lead to decisions which are not supported by the community (or by the decision makers). Criteria might need readjustment, or additional prioritization 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 prioritisation.

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
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 The project will help meet the objective, but indirectly The project is not focused on the above objective	4 2 0	
Adequacy: The project is adequate to achieve the objective It is marginal in achieving the objective It will not meet the objective	4 2 0	
Feasibility of implementation: The project is very feasible to implement The project is questionable in terms of feasibility The project is unlikely to be feasible	4 2 0	
Resource availability: Can be implemented with existing resources Requires getting resources together which would be difficult Not possible to get the resources together	4 2 0	
Commitment: Will get the commitment of senior decision makers Will be difficult to get commitment Will certainly not get commitment	4 2 0	
Integration: The project will have positive benefits on meeting other priority planned objectives The project has no impact on meeting other planned objectives The project will have negative impact on meeting other planned objectives	4 2 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
Sub-phase	Sub-phase 3.1: Develop strategic options and prioritisation
Name of tool	**Impact assessment matrix (project prioritisation)**
Objective	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 prioritizing and choosing project from this long list.
Main actor(s) responsible	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 – responsible for project implementation ▪ Project beneficiaries – community residents, other stakeholders' groups, etc.
Description of tool	An impact analysis looks at the wider impact of the project if the plan is implemented. Economic feasibility is part of impact analysis. It has a broader view than financial analysis. Other aspects of impact include impact on the environment, impact on the job market or impact on social situation. The actors using the tool will use 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: With the planning team review each potential strategy against the main headings in the table below. Discuss 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 over-simplification of complex realities, if the analysis is not done well or good data is 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
Sub-phase	Sub-phase 3.1: Develop strategic options and prioritisation
Name of tool	**CLIMACT Prio**
Objective	The aim of the CLIMACT Prio tool is to provide support to decision makers to identify and prioritize 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 prioritize 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 we recommend to take 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; Final results). The process can take longer depending on the availability of stakeholders. *Note: For time spent on each sub-phase, 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 co-operation and planning. For a long time development planners and project managers have used a wide variety of tools to manage a broad range of environmental risks, including those posed by climate variability. Some of these tools have also 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 which have an explicit focus on screening for climate change risks and on prioritizing adaptation actions in order for local governments to conduct local climate change adaptation action plans. These kind 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	The actor responsible to utilize 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/national government officers > Responsible actor: a public officer trained to use CLIMACT Prio ✓ Main use: training Master course students > Responsible actor: course leader/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 prioritizing of local climate change actions. CLIMACT Prio utilizes a multi-criteria approach to assist decision makers and urban planners to identify a wide range of decision criteria and set priorities among objectives while performing an analysis and assessment of 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 prioritization 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 selects the impact assessment criteria and objectives that will be used to assess the selected actions. While following the climate actions prioritization 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: 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: policy makers and city officers) 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: policy makers and city officers) 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)
	4) **Impact assessment:** Consists of experts' judgments and impact assessment matrix along with normalized scores and graphs; (Main actors: relevant experts/consultants depending on the type of actions);
	5) **Weighting of criteria:** Consists in the weighting of criteria by the stakeholders and the generation of relevant graphs (Main actors: policy makers, city officers, civil society, private sector);
	6) **Results:** Consists of the presentation of weighted scores, final ranking and the generation of relevant graphs (Main actors: All those 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 like 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. + Stimulates dialogue and the creation of an environment where policy-makers and city officials scrutinize their priorities and recognize 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. + 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. + The tool empowers stakeholders that use it to justify the choice of a specific course of action in the eyes of city leaders (e.g. mayors) for buy-in. Disadvantages (——) – Adding 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 and/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 **CLIM**ate **ACT**ions **Prio**ritization (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: Organisational change checklist

Phase	Phase 3: How are we going to get there? Strategy formulation
Sub-phase	Sub-phase 3.2: Establish process for continuous strategy development
Name of tool	**Organisational change checklist**
Objective	This tool allows key actors to: ▪ Discuss the key elements of organisational 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 organisational change that will be necessary to execute projects. This tool focuses on the organisational implications, in local government, of executing a CDS. Doing this may require new roles and responsibilities and new capacities. Executing a CDS may require: ✓ Thinking through how improve service provision ✓ How to organize relationships between the departments to implement new projects effectively ✓ How to work with partners and what this would mean for the organizations in government.
Main actor(s) responsible	Mayor or mayor's office, The Department Heads, in certain circumstances, Project Managers
Target / beneficiary	Municipal departments – 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 guides the user in considering the effects of change for the staff and the actions that will have to be taken. It helps to plan. Executing a CDS may require: ✓ Thinking through how improve service provision ✓ How to organize the departments to implement new projects effectively ✓ How to work with partners and what this would mean for the organisations in government. Step 1:

	Organise a focus group discussion with a skilled and neutral moderator.
	<u>Step 2</u>:
	Circulate the list of questions to participants in advance
	<u>Step 3</u>:
	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 organisational 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 also fill in the table below. The table asks you to consider the organizational 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 organisational change.
Advantages and disadvantages of this tool	<u>Advantages</u> (+) + This tool allows for a rapid appraisal of the situation + It sets in motion the idea of discussing organizational change from different perspectives and makes explicit who these changes will affect. + It helps to consider actions that are required to implement change. <u>Disadvantages</u> (--) – It can lead to over-simplification of complex realities, if the analysis is not done well or good data is 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 prioritization.

References and further resources	Generally accessible documents:
	University of Queensland (2013) The University of Queensland guide to leading organisational change, Brisbane, University of Queensland.

Diagrams and tools

Table 18: Template for assessing organisational implications

Possible Organisational 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 (knowledge/ attitudes/skills)?	_____ _____	_____ _____
How should staff affected by the changed approaches, be involved in the process?	_____ _____	_____ _____

Possible Organisational Change	Implications for Whom?	Required Actions
Will any changes to decision-making structures be required? And how should key decision makers be involved?	_____ _____	_____ _____
Other?	_____ _____	_____ _____

Note: this template should be revised according to the potential changes being considered

Tool 21: Project fiches

Phase	Phase 3: How are we going to get there? Strategy formulation
Sub-phase	Sub-phase 3.3: Strategic action planning
Name of tool	**Project fiches**
Objective	The project fiche is a tool that supports the action planning process, detailing each project briefly, and helping the team to: ▪ 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 8 hours per project (depending on the project complexity) *Note: For time spent on each sub-phase, 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	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 – responsible with project implementation ▪ Project beneficiaries: community residents and other stakeholders' groups, etc.
Description of tool	The project fiche is a tool that is organized 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 – 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 have an impact on 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/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 organizational 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 prioritisation tool Gantt chart
References and further resources	<u>Generally accessible documents:</u> European Commission (2012) <u>Project fiche – IPA Multi-beneficiary programmes / Component I</u>, Brussels, European Commission. European Commission (2008) <u>Standard Summary Project Fiche – IPA centralised programmes : Project number 1: Strengthening of the institutional capacities of the National Bank of Serbia (NBS)</u>, Brussels, European Commission.

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 & 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 INVOLVMENT	
RESPONSIBLE ORGANISATION: Project management Monitoring Evaluation Adaptation to unexpected obstacles	
OPERATIONAL ARRANGEMENTS: concession, lease, PPP, etc	

Source: IHS Romania training manual on Integrated planning (2010)

Note: This template should be adapted according to available information and donor requirements.

Tool 22: Gantt chart tool

Phase	Phase 3 Strategy Formulation
Sub-phase	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: ▪ 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 in particular 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	This is typically a tool used by the core planning team. 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	▪ The core planning team ▪ The wider group of stakeholders involved in major planning steps
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 also be able to define responsibility, resources needed and the connection of a task to other tasks. See sample card (illustration 1). Aim for 15-20 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 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/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 Post it 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 3 hours to 6 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 charts[32]. 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.

---

[32] The approach described here was developed by Forbes Davidson for IHS

Diagrams and tools

Figure 25: Gantt chart illustrating participative process
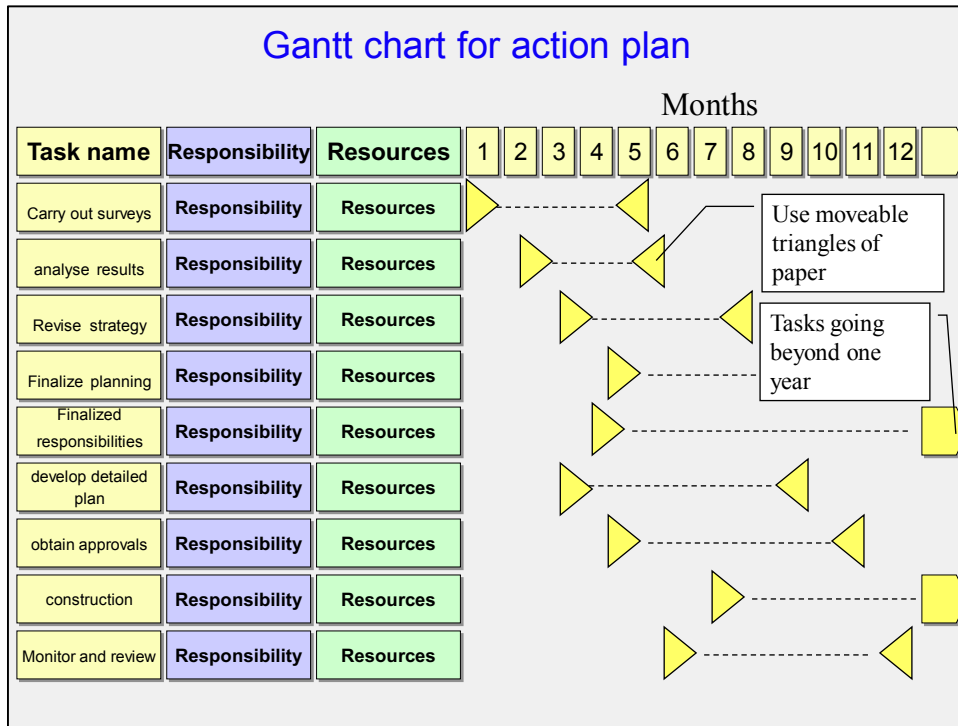
Source: Forbes Davidson, for IHS

Tool 23: Swim lane diagrams

Phase	Phase 3: How are we going to get there? Strategy formulation
Sub-phases	Sub-phase 3.1: Develop strategic options and prioritisation Sub-phase 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 explore the relationship between planning and implementation activities and different stakeholders through the different project phases ✓ Particularly useful to map out processes for obtaining agreement to proposals
Main actor(s) responsible	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 work with the tool can be done by the planning team. It is good to work through it with representatives of the different organisations 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. See the example, below, to see 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 PostIt label or piece of paper (or a text box using a computer). ▪ Step 4: Place the label/ box opposite the main organization that needs to act (initiate/develop/ organize/approve) and under the appropriate date/time. Draw a horizontal line representing the time the activity will take with that organization.

	▪ <u>Step 5</u>: Next, extend the line vertically (up or down) to the next organization or organizations who need to act. Continue through the four phases ▪ <u>Step 6</u>: 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, and uses work that has to 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 be used to working with or understanding process diagrams. Some learning time is required.
Related tools	Gantt chart
References and further resources	

Diagrams and tools

Figure 26: Relationship between three levels of government (case of Egypt)
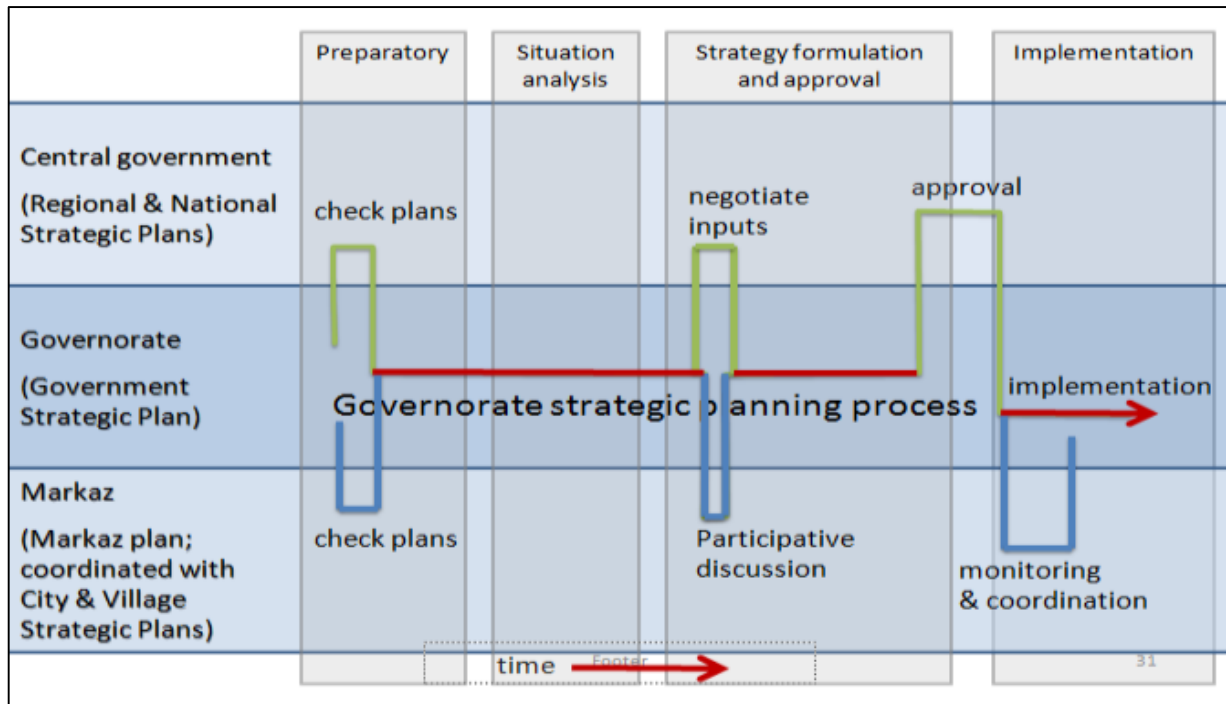
Note: The figure above shows the relationship between three stakeholders – in this case, levels of government – and the phases of a strategic plan[33].

---

[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?
Sub-phase	Sub-phase 4.2: Monitoring and evaluation of the strategy
Name of tool	**OECD-DAC evaluation questions**
Objective/s	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 sub-phase, 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	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 also 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: Relevance. The extent to which activities meet policies and priorities. Specific sub questions include: ▪ 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 Were the outputs achieved with 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, e.g. the overall economic situation. The scale of impact should be assessed. OECD, DAC sub-questions include: ▪ What has happened as a result of the programme or project? ▪ What real difference has a project made to the beneficiaries? ▪ How many people have been affected? Sustainability This is to do with whether activities are likely to continue after specific programmes and / or projects cease. It includes social, economic and environmental sustainability. Questions include: ▪ Are the activities likely to continue after project activities cease? ▪ What were major factors helping or hindering implementation? Are they likely to continue?
Advantages and disadvantages of this tool	Advantages (+) + Provide a good set of questions which explore important aspects of development- + Wide familiarity and acceptance Disadvantages (—) – Needs refinement to meet needs 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: OECD/DAC (1991) Principles for evaluation of development assistance, Paris Organisation for Economic Co-operation and Development, Development Assistance Committee. 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 MultiDiscipinary Evaluation*, vol. 5, no. 9, pp. 41-51.

References

3Ps Community Participation Consultants, 2012. Participatory appraisal handbook : introduction to participatory appraisal training course. 3Ps Community Participation Consultants: York. Available at: http://www.3ps.org.uk/files/Download/PA%20Handbook240412.pdf [Accessed 23 June 2016].

ACT Consultants, 2011. Urban foresight based on public participation as a tool for integrating local residents' requirements on their own neighbourhood into the master plan of the city : the case of Molinay 2017, Seraing, Belgium. 2011. Good and practices to tackle urban challenges. Paris: ACT Consultants. pp. 199-219. Available at: http://ec.europa.eu/regional_policy/sources/docgener/studies/pdf/citiesoftomorrow/citiesofto morrow_case.pdf. [Accessed 22 June 2016].

Aleppo City Development Strategy, 2010. Aleppo City Development Strategy. Aleppo: Madinatuna, Aleppo City Development Strategy. Available at: http://madinatuna.com/downloads/brochures/cds-borchure-en.pdf [Accessed 2 February 2016].

Asian Development Bank (ADB), 2004. City Development Strategies to reduce poverty. Manila: Asian Development Bank. Available at: http://www.adb.org/sites/default/files/publication/27946/content.pdf [Accessed 2 February 2016].

Asian Development Bank, 2016. Guidelines for preparing a design and monitoring framework. Manila: Asian Development Bank. Available at: http://www.adb.org/sites/default/files/institutional-document/32509/guidelines-preparing-dmf.pdf [Accessed 31 August 2016].

Basti, A. E., Amin, K., Lahouel, M., Madbouli, M., et al., 2009. Sana's : a City Development Strategy (Working Paper no. 83912). Washington: World Bank. Available at: http://www-wds.worldbank.org/external/default/WDSContentServer/WDSP/IB/2014/01/10/000333037_201 40110123902/Rendered/PDF/839120WP0Box380e0Sana0a0pub01005009.pdf [Accessed 2 February 2016].

Bazregar, M. R., Alizadeh, E., Hajipoor, K. and Pakshir, A. 2014. Application of City Development Strategy for improvement of informal settlements in Iran : case study of Mouzirj neighborhood of Babol. *Research Journal of Applied Sciences, Engineering and Technology,* 7 (24), pp. 5242-5248. Available at: http://maxwellsci.com/print/rjaset/v7-5242-5248.pdf [Accessed 3 February 2014].

Belsky, E. S., DuBroff, N., McCue, D., Harris, C., et al., 2013. Advancing inclusive and sustainable urban development : correcting planning failures and connecting communities to capital. Cambridge: Joint Center for Housing Studies of Harvard University. Available at: http://www.jchs.harvard.edu/sites/jchs.harvard.edu/files/jchs_isud_2013.pdf [Accessed 3 February 2016].

Berg, C. v. d., 2013. Strategic planning for political parties : a practical tool. Stockholm/The Hague: International Institute for Democracy and Electoral Assistance (International IDEA)/The Netherlands Institute for Multiparty Democracy (NIMD). Available at: http://www.idea.int/publications/strategic-planning-for-political-parties/loader.cfm?csModule=security/getfile&pageid=57974 [Accessed 29 august2016].

References

Blunden, P., Wong, S., Wong, I. and Wheeler, L., 2014. The collective impact assessment tool. Melton: City of Melton Community Learning Board. Available at: http://learningcities.uil.unesco.org/fileadmin/content/Pictures/Resources/Melton_-_Collective_Impact_Assessment_Tool.pdf [Accessed 3 February 2016].

Bongwa, A., 2011. End of programme evaluation : Lake Victoria Cities Development Strategies : final report. Nairobi: UN-HABITAT.

Buckley, R. and Tsenkova, S., 2001. Sofia City Development Strategy [Draft]. Calgary: University of Calgary. Available at: http://www.ucalgary.ca/tsenkova/files/tsenkova/SofiaStrategy.pdf [Accessed 3 February 2016].

Buffalo City Metropolitan Municipality, 2007. Buffalo City Development Strategy : managing a city in transition : draft consolidation report. Buffalo City: Buffalo City Metropolitan Municipality. Available at: http://foresightfordevelopment.org/sobipro/download-file/46-112/54 [Accessed 3 February 2016].

Carus, F. ed., 2010. Policy paper on urban strategic planning : local leaders preparing for the future of our cities. Barcelona: United Cities and Local Governments (UCLG).

Case, L., 2002. City Development Strategies : lessons from UMP/UN-HABITAT experiences : [Bamako, Mali; Cuenca, Ecuador; Colombo, Sri Lanka; Johannesburg, South Africa; Santo Andre, Brazil; Shenyang, China and Tunis, Tunisia.] (Urban management programme publication series no. 29). Nairobi: United Nations Human Settlements Programme (UN-HABITAT). Available at: http://mirror.unhabitat.org/downloads/docs/CDS_final_with_cover.pdf [Accessed 2 February 2016].

Center for Mediterranean Integration (CMI), 2011. Towards a new generation of cities : guidebook for City Development Strategies in Southern Mediterranean countries. Marseille: Center for Mediterranean Integration (CMI). Available at: http://www.cmimarseille.org/sites/default/files/newsite/library/files/en//UD1_GuidebookCDS_EN.pdf [Accessed 2 February 2016].

Chambers, R., 1994. The origins and practice of participatory rural appraisal. *World Development,* 22 (7), pp. 953-969. Available at: http://ac.els-cdn.com/0305750X94901414/1-s2.0-0305750X94901414-main.pdf?_tid=5699a258-3926-11e6-ba46-00000aacb362&acdnat=1466674930_89b38a82016d89b465dc2fd735e75120 [Accessed 23 June 2016].

Chandigarh Administration, n.d. City Development Plan Chandigarh [Under the Jawahar Lal Nehru National Renewal Mission, Ministry of Urban Development (JNNURM), Government of India). Chandigarh: Chandigarh Municipal Corporation. Available at: http://mcchandigarh.gov.in/cdp.pdf [Accessed 2 February 2016].

Chianca, T., 2008. The OECD/DAC criteria for international develioment evaluations : an assessment and ideas for improvement. *Journal of MultiDisciplinary Evaluation,* 5 (9), pp. 41-51. Available at: http://journals.sfu.ca/jmde/index.php/jmde_1/article/download/167/183 [Accessed 29 June 2016].

Cities Alliance, Joint Work Programme on resilient cities. Available at: http://www.citiesalliance.org/JWP-ResilientCities [Accessed 29 August 2016].

References

Cities Alliance, 2007. Alexandria City Development Strategy : moving from vision to strategy and implementation : documentation of the process and results 2004 - 2007. World Bank: Cities Alliance. Available at: http://siteresources.worldbank.org/INTEGYPT/Resources/Documentation_Alexandria_CDS_June1_2007.pdf [Accessed 3 February 2016].

Cities Alliance, 2007. Livable cities : the benefits of urban environmental planning : a Cities Alliance study on good practices and useful tools. Washington: Cities alliance. Available at: http://www.unep.org/urban_environment/pdfs/liveableCities.pdf [Accessed 2 February 2016].

Cities Alliance, 2013. Morocco's Tetouan paves the way with its city development strategy. Washington: World Bank. Available at: http://www-wds.worldbank.org/external/default/WDSContentServer/WDSP/IB/2013/09/06/000356161_20130906164334/Rendered/PDF/809550BRI0Citi0Box0379824B00PUBLIC0.pdf [Accessed 8 July 2016].

Cities Alliance, 2014. Africa regional strategy : final document : recommendations for the development of an African strategy programme of action 2014-2016. Washington: World Bank. Available at: https://www.citiesalliance.org/sites/citiesalliance.org/files/Africa%20Strategy%20Final%20June%202014.pdf [Accessed 8 July 2016].

Cities Alliance and Cities Alliance, 2013. Transforming Mumbai into a world-class city (Cities Alliance in Action). Washington: World Bank. Available at: http://www-wds.worldbank.org/external/default/WDSContentServer/WDSP/IB/2013/09/06/000356161_20130906162751/Rendered/PDF/809380BRI0Citi0Box0379824B00PUBLIC0.pdf [Accessed 8 July 2016].

City of Cape Town, 2012. City Development Strategy (CDS) : background information and process going forward. Cape Town: City of Cape Town. Available at: http://www.capetown.gov.za/en/CapeTown2040/Documents/CDS_Background_Info_March_2012.pdf [Accessed 2 February 2016].

City of Cape Town, 2012. City of Cape Town : City Development Strategy. Cape Town: City of Cape Town. Available at: https://www.capetown.gov.za/en/IDP/Documents/CDS.pdf [Accessed 2 February 2012].

City of Cape Town, 2012. City of Cape Town : five-year plan for Cape Town 2012-2017 : Integrated Development Plan (IDP) 2012/13 Review. Cape Town: City of Cape Town. Available at: https://www.capetown.gov.za/en/IDP/Documents/IDP12_final_May12.pdf [Accessed 02 February 2016].

City of Cape Town, 2012. City of Cape Town City Development Strategy [overview]. Cape Town: City of Cape Town. Available at: https://www.capetown.gov.za/en/IDP/Documents/CDS_Overview.pdf [Accessed 2 February 2016].

City of Cape Town, 2013. Economic growth strategy. Cape Town: Strategic Policy Unit, Office of the Executive Mayor. Available at: https://www.capetown.gov.za/en/IDP/Documents/EconomicGrowthStrategy.pdf [Accessed 2 February 2016].

References

City of Tshwane, 2006. Growth and development strategy for the City of Tshwane (a limited set of high impact strategies). Tshwane: City of Tshwane. Available at: http://www.tshwane.gov.za/sites/business/Growth%20Development%20Strategy/GDSFinalDraft _Oct2006.pdf [Accessed 29 August 2016].

Colombo Municipal Council, 2000. City Development Strategy : Colombo. Colombo: Colombo Municipal Council. Available at: https://openknowledge.worldbank.org/bitstream/handle/10986/18724/879740WP0Box380ent0 Strategy0Colombo.pdf?sequence=1&isAllowed=y [Accessed 2 February 2016].

Dalal-Clayton, B. and Bass, S., 2002. Sustainable development strategies : a resource book. London: Earthscan. Available at: http://www.sd-network.eu/pdf/resources/Dalal-Clayton,%20Bass%20(2002)%20-%20Sustainable%20Development%20Strategies%20-%20A%20R esource%20Book.pdf [Accessed 3 February 2016].

Dekker, S. and Singer, J., 2011. Integrated community sustainability plans : monitoring and evaluating success [Prepared for Sustainable Cities]. Vancouver: Sustainable Cities International. Available at: http://sustainablecities.net/our-resources/document-library/doc_download/216-icsp-s-monitoring-and-evaluating-success [Accessed 2 February 2016].

DFID, 2003. Tools for development : a handbook for those engaged in development activity. London: Performance and Effectiveness Department, Department for International Development. Available at: http://webarchive.nationalarchives.gov.uk/+/http:/www.dfid.gov.uk/Documents/publications/to olsfordevelopment.pdf [Accessed 29 June 2016].

DiNapoli, T. P., 2002. Local government management guide : strategic planning. New York: Office of the New York State Controller, Division of Local Government and School Accountability. Available at: https://www.osc.state.ny.us/localgov/pubs/lgmg/strategic_planning.pdf [Accessed 9 September 2016].

Econ Analysis and Centre for Local Government, 2005. The impacts of city development strategies : commissioned by The Cities Alliance (ECON-Report n. 2005-063). 2005: Econ Analysis. Available at: https://www.citiesalliance.org/sites/citiesalliance.org/files/cds-impact-study-final-report-august-11-2005%5B1%5D.pdf [Accessed 2-February 2016].

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].

European Commission, 2002. Towards sustainable urban development : a strategic approach (Consultative guidelines for sustainable urban development co-operation). Brussels: European Commission. Available at: http://www.ucl.ac.uk/dpu-projects/21st_Century/resources/institutional/Pdf%20files/Tow_Sust_Urb_EU_Guidelines.pdf [Accessed 24 June 2016].

European Commission, 2012. Project fiche - IPA multi-benficiary programmes / component I. European Union: Brussels. Available at: http://ec.europa.eu/enlargement/pdf/financial_assistance/ipa/2012/multi-beneficiary/pf1_tempus-2012_final.pdf [Accessed 29 June 2016].

References

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)]. s.l.: Free Management E-Books (FME)]. Available at: http://www.free-management-ebooks.com/dldebk-pdf/fme-pestle-analysis.pdf [Accessed 23 June 2016].

Frojmovic, M., Elliot, B. and Levac, L., 2007. Local government participatory practices manual : a toolkit to support public participation in municipal decision making. Ottawa: International Centre for Municipal Development, Federation of Canadian Municipalities (FCM). Available at: https://www.fcm.ca/Documents/tools/International/ [Accessed 6-July 2016].

Fundación CIEDES, 2014. Methodology and best practices in urban strategic planni(n)g in the Mediterranean. Málaga: Fundación CIEDES. Available at: http://www.medcities.org/documents/20544/0/Libro_Mediterraneo_ING_OK.pdf/c2e8f3ea-ee6d-4199-bd49-cf89750e25a3 [Accessed 4February 2016].

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,* 5 (4), pp. 578-594. Available at: http://www.emeraldinsight.com/doi/pdfplus/10.1108/17538371211268889 [Accessed 24 June 2016].

GHK Group, 2000. City Development Strategies (CDSs) : taking stock and signposting the way forward : a discussion report for DFID (UK) and the World Ban. London: GHK Group. Available at: http://www.citiesalliance.org/sites/citiesalliance.org/files/cds-taking-stock-dfid%5B1%5D.pdf [Accessed 3 February 2016].

GHK Research and Training, 2001. Literature review : a ddressing poverty through City Development Strategies (Research prooject for the Department for International Development (UK)). London: GHK Research and Training. Available at: http://r4d.dfid.gov.uk/PDF/Outputs/urbanisation/R7853-GHK_literature_review.pdf [Accessed 3-February 2016].

Grady, H. M. and Theis, J., 1991. Participatory rapid appraisal for community development : a training manual based on experiences in the Middle East and North Africa. London: International Institute for Environment and Development (IIED) and Save the Children. Available at: http://pubs.iied.org/pdfs/8282IIED.pdf [Accessed 23 June 2016].

Guardian, The, 2015. How to write a logframe : a beginner's guide [online] Available at: https://www.theguardian.com/global-development-professionals-network/2015/aug/17/how-to-write-a-logframe-a-beginners-guide [Accessed 10 July 2016].

Harris, N., 2014. From master plans to city development strategies (DPU60 Working paper series : reflections no. 162/60). London: Development Planning Unit (DPU), The Bartlett, University College London (UCL). Available at: https://www.bartlett.ucl.ac.uk/dpu/latest/publications/dpu-reflections/WP162.pdf [Accessed 3 February 2016].

Harrison, J. P., 2010. Strategic planning and SWOT analysis. In: J. P. Harrison ed., 2010. Essentials of strategic planning in healthcare. Chicago: Health Administration Press. pp. 91-97. Available at: http://www.ache.org/pdf/secure/gifts/Harrison_Chapter5.pdf. [Accessed 23 February 2016].

References

Institute for Sustainable Futures (ISF), 2007. Developing City Development Strategies (CDS) for Vietnamese cities : a guide to assist city leaders. Sydney: Institute for Sustainable Futures (ISF), University of Technology. Available at: https://opus.lib.uts.edu.au/bitstream/10453/35069/1/paddon2007cdsvietnam.pdf [Accessed 4 February 2016].

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

Kumar, S., 1999. Force field analysis : applications in PRA. Force field analysis : applications in PRA. 1999. PLA notes ; 36. London: International Institute for Environment and Development (IIED). pp. 17-23. Available at: http://pubs.iied.org/pdfs/G01849.pdf. [Accessed 23 June 2016].

Majale, M., 2009. Developing participatory planning practices in Kitale, Kenya (Case study prepared for Planning sustainable cities : Global Report on Human Settlements 2009). Nairobi: United Nations Human Settlements Programme (UN-Habitat). Available at: http://unhabitat.org/wp-content/uploads/2010/07/GRHS2009CaseStudyChapter04Kitale.pdf [Accessed 4 February 2016].

Maylor, H., 2001. Beyond the Gantt chart : project management moving on. *European Management Journal,* 19 (1), pp. 92-100. Available at: http://www.sciencedirect.com/science/article/pii/S0263237300000748/pdfft?md5=6b61c7a4b5aa308c9610204749114b05&pid=1-s2.0-S0263237300000748-main.pdf [Accessed 24 June 2016].

MDF, 2005. MDF tool : problem tree analysis. Ede: MDF. Available at: http://www.sswm.info/sites/default/files/reference_attachments/MDF%202005%20MDF%20Tool%20Problem%20Tree%20Analysis.pdf [Accessed 7 July 2016].

Metropolis, n.d. City Development Strategy for sustainable development - phase II : Alexandria, Egypt. s.l.: Metropolis. Available at: http://policytransfer.metropolis.org/case-studies/egypt-alexandria-sustainable-city-development.pdf [Accessed 2 February 2016].

Metropolis, n.d. City Development Strategy Peshawar, Peshawar, Pakistan. s.l.: Metropolis. Available at: http://policytransfer.metropolis.org/case-studies/pakistan-peshawar-city-development-strategy.pdf [Accessed 3-February 2016].

Moodley, S., 2009. The power of imagination : long term planning for city sustainability : 50 lessons from Durban, South Africa 2007 - 2009. Durban: Corporate Policy Unit, eThekwini Municipality. Available at: https://www.citiesalliance.org/sites/citiesalliance.org/files/CA_Images/durban_lessons%5B1%5D.pdf [Accessed 2 February 2016].

Moser, C. and McIlwaine, C. 1999. Participatory urban appraisal and its application for research on violence. *Environment and Urbanization,* 11 (2), pp. 203-226. Available at: http://eau.sagepub.com/content/11/2/203.full.pdf [Accessed 23 June 2016].

Mullerbeck, E., 2015. SWOT and PESTEL. In: M. Arivananthan ed., 2015. Knowledge exchnage toolbox : group methods for sharing, discovery and co-creation. New York: UNICEF. pp. 136-147. Available at: http://www.unicef.org/knowledge-exchange/files/SWOT_and_PESTEL_production.pdf. [Accessed 23 June 2016].

References

Newton, P. and Newton, H., 2013. SWOT analysis : strategy skills. s.l.: Free Management Ebooks (FME). Available at: http://www.free-management-ebooks.com/dldebk-pdf/fme-swot-analysis.pdf [Accessed 23 June 2016].

OECD, 2001. The DAC guidelines : strategies for sustainable development : guidance for development co-operation. Paris: Organisation for Economic Co-operation and Development (OECD). Available at: http://www.oecd.org/development/environment-development/2669958.pdf [Accessed 4 February 2016].

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. DAC Working Party on Aid Evaluation, Organisation for Economic Co-operation and Development: Paris. Available at: http://www.oecd.org/dac/evaluation/2754804.pdf [Accessed 29 June 2016].

OECD, 2014. Maintreaming cross-cutting issues : 7 lessons from DAC peer reviews. Paris: Organisation for Economic Co-operation and Development (OECD). Available at: https://www.oecd.org/dac/peer-reviews/Final%20publication%20version%20of%20the%207%20Lessons%20mainstreaming%20cross%20cutting%20issues.pdf [Accessed 08 July 2016].

OECD/DAC, 1991. Principles for evaluation of development assistance. Organisation for Economic Co-operation and Development, Development Assistance Committee: Paris. Available at: http://www.oecd.org/dac/evaluation/50584880.pdf [Accessed 29 June 2016].

Parnell, S. and Robinson, J. 2006. Development and urban policy : Johannesburg's City Development Strategy. *Urban Studies,* 43 (2), pp. 337-355. Available at: http://usj.sagepub.com/content/43/2/337.full.pdf+html [Accessed 3 February 2016].

Peltenburg, M., Davidson, F., T eerlink, H. and Wakely, P., 1996. Building capacity for better cities : cases. Rotterdam: Institute for Housing and Urban Development Studies. Available at: http://www.ihs.nl/fileadmin/ASSETS/ihs/Library/_1_11196_Building_capacity_for_Better_Cities._Cases.pdf [Accessed 31 August 2016].

Peltenburg, M., Davidson, F., Teerlink, H. and Wakely, P., 1996. Building capacity for better cities : concepts and strategies. Rotterdam: Institute for Housing and Urban Development Studies (IHS). Available at: http://www.ihs.nl/fileadmin/ASSETS/ihs/Library/18__1_11195_Building_better_capacity_for_better_cities__concepts_and_strategies_1996.pdf [Accessed 31August 2016].

Phnom Penh Municipality, 2005. City Development Strategy : 2005 -2015. Phnom Penh: Department of Planning, Phnom Penh City. Available at: https://cityofwater.files.wordpress.com/2011/12/city-development-strategy.pdf [Accessed 2 February 2016].

Practical Action Southern Africa, 2012. Community Based Urban Planning Toolkit (CBUPT) : a step-by-step approach to community based urban planning and development in Zimbabwe. Harare: Practical Action Southern Africa. Available at: http://practicalaction.org/media/download/29979 [Accessed 4 February 2016].

References

Racoviceanu, S. C., Cristea, Marius, China, A., Sandu, D. D., et al., 2016. The integrated urban development strategy for the Ploiesti growth pole : 2014-2020. Washington: World Bank. Available at: http://www-wds.worldbank.org/external/default/WDSContentServer/WDSP/IB/2016/03/10/090224b0841ed1b7/2_0/Rendered/PDF/The0integrated0wth0pole000201402020.pdf [Accessed 23 June 2016].

Rasooli, M., Badarulzaman, N. and Jafaar, M., 2010. The role of CDSs in sustainable development in developing countries (Paper presented at the 46th ISOCARP Congress 2010). The Hague: International Society of City and Regional Planners (ISOCARP). Available at: http://www.isocarp.net/Data/case_studies/1644.pdf [Accessed 3 February 2016].

Rasoolimanesh, S. M., Badarulzaman, N. and Jaafar, M. 2011. Achievement to sustainable urban development using City Development Strategies : a comparison between Cities Alliance and the World Bank definitions. *Journal of Sustainable Development,* 4 (5), pp. 151-166. Available at: http://www.ccsenet.org/journal/index.php/jsd/article/download/11340/8798 [Accessed 3 February 2016].

Rasoolimanesh, S. M., Badarulzaman, N. and Jaafar, M. 2013. A review of City Development Strategies success factors. *Theoretical and Empirical Researches in Urban Management,* 8 (3), pp. 62-78. Available at: http://um.ase.ro/no83/5.pdf [Accessed 3 February 2016].

Roberts, B. H., 2015. Tool kit for rapid economic assessment, planning and development of cities in Asia. Manila: Asian Development Bank (ADB). Available at: http://www.adb.org/sites/default/files/institutional-document/161535/toolkit-rapid-economic-assessment-cities.pdf [Accessed 7 July 2016].

Rosário Partidário, M., Paddon, M., Eggenberger, M., Chau, D. M., et al., 2008. Linking strategic environmental assessment (SEA) and city development strategy in Vietnam. *Impact Assessment and Project Appraisal,* 26 (3), pp. 219-227. Available at: http://www.tandfonline.com/doi/pdf/10.3152/146155108X365861 [Accessed 2 February 2016].

Royal Town Planning Institute (RTPI), Skill and competencies for planners. Available at: http://www.rtpi.org.uk/education-and-careers/cpd-for-rtpi-members/cpd-requirements/skills-and-competencies-for-planners/ [Accessed 31 August 2016].

Ruijsink, S. and Olivotto, V., 2015. Integrating climate change into City Development Strategies (CDS). Nairobi: United Nations Human Settlments Programme (UN-Habitat). Available at: http://unhabitat.org/wpdm-package/integrating-climate-change-into-city-development-strategies/?wpdmdl=112967 [Accessed 29 January 2016].

Sasanpour, F. and Mehrnia, S. 2012. Comparative survey of City Development Strategy in several city of Worldwide. *Journal of Sustainable Development,* 5 (4), pp. 192-204. Available at: http://www.ccsenet.org/journal/index.php/jsd/article/download/15956/10729 [Accessed 3 February 2016].

Schwering, R. E., 2003. Focusing leadership through force field analysis: new variations on a venerable planning tool. *Leadership & Organization Development Journal,* 24 (7), pp. 361-370. Available at: http://www.emeraldinsight.com/doi/pdfplus/10.1108/01437730310498587 [Accessed 23 June 2016].

References

Sivaev, D., 2015. What makes a good city strategy (Competitive cities for jobs and growth : companion paper no. 8). Washington: World Bank. Available at: http://www-wds.worldbank.org/external/default/WDSContentServer/WDSP/IB/2015/12/09/090224b083c41295/1_0/Rendered/PDF/What0makes0a0good0city0strategy0.pdf [Accessed 3 February 2016].

Skosana, A., 2006. A transformational City Development Strategy [paper presented at 42nd ISoCaRP Congress 2006]. The Hague: International Society of City and Regional Planners (ISOCARP). Available at: http://www.isocarp.net/data/case_studies/868.pdf [Accessed 3 February 2016].

Slocum, N., 2003. Participatory methods toolkit : a practitioner's manual. Brussels: King Baudouin Foundation/Flemish Institute for Science and Technology Assessment (viWTA). Available at: http://archive.unu.edu/hq/library/Collection/PDF_files/CRIS/PMT.pdf [Accessed 4 February 2016].

Sohmen, V. S. and Dimitriou, C. K. 2015. Ten core competencies of program managers : an empircal study. *International Journal of Health and Economic Development,* 1 (1), pp. 1-7. Available at: http://www.gsmi-ijgb.com/Documents/IJHED%20V1%20N1%20P01%20Victor%20Sohmen%20-Core%20Competencies%20of%20Program%20Managers.pdf [Accessed 31 August 2016].

Stojkov, B., 2008. City of Belgrade development strategy : goals, concept and strategic priorities of sustainable development. Belgrade: PALGO Center. Available at: http://www.palgo.org/files/knjige/strategy%20low%20english.pdf [Accessed 2 February 2016].

Taralunga, N., 2010. Introduction of comprehensive participation of citizens as well as governmental and non-governmental organizations in the urban planning process : participatory planning handbook. Skopje: Network of Associations of Local Authorities of South-East Europe (NALAS). Available at: http://acor.ro/files/rel_internat/nalas/manuale - ghiduri - in limba engleza/NALAS Citizen Participation ISBN 978- 9989-2928-3-5.pdf [Accessed 6 July 2016].

Terakado, M. and Williams, H. K., 2014. Investing in sustainable cities : challenges and opportunities. Frankfurt: International Development Finance Club (IDFC) Special Interest Group on Sustainable Urban Development. Available at: https://www.idfc.org/Downloads/Publications/02_other_idfc-expert_documents/IDFC_Investing_in_Sustainable_Cities_Paper_01-12-14.pdf [Accessed 3 February 2016].

Tilaki, M. J. M. and Hedayati, M. 2015. Exploring barriers to the implementation of City Development Strategies (CDS) in Iranian cities : a qualitative debate. *Journal of Place Management and Development,* 8 (2), pp. 123-141. Available at: http://www.emeraldinsight.com/doi/pdfplus/10.1108/JPMD-01-2015-0001 [Accessed 3 February 2016].

UNCHS, 1991. Guide for managing change for urban managers and trainers (Training materials series). Nairobi: United Nations Centre for Human Settlements (Habitat). Available at: http://www.eukn.eu/fileadmin/Lib/files/EUKN/2010/208-guide-for-managing-change-for-urban-managers-and-trainers.pdf [Accessed 24 June 2016].

UN-Habitat, 1989. Community participation in problem-solving and decision-making : (2) leadership. Nairobi: United Nations Centre for Human Settlements (Habitat). Available at: http://collections.infocollections.org/ukedu/uk/d/Jha19ce/2.html [Accessed 22 August 2016].

References

UN-Habitat, 2005. Promoting local economic development through strategic planning : volume 2 : manual. Nairobi: United Nations Human Settlements Programme (UN-Habitat). Available at: http://unhabitat.org/books/promoting-local-economic-development-through-strategic-planningthe-local-economic-development-led-series-volume-2-manual-led-concepts-and-a-10-step-planning-process/# [Accessed 26 August 2016].

UN-Habitat, 2010. Citywide strategic planning : a guideline. Nairobi: United Nations Human Settlements Programme (UN-HABITAT). Available at: http://www.gltn.net/index.php/publications/publications/send/2-gltn-documents/17-citywide-strategic-planning-a-guideline-eng-2010 [Accessed 9 September 2016].

UN-Habitat, 2015a. Cross-cutting issues progress report : 2015. Nairobi: United Nations Human Settlements Programme (UN-HABITAT). Available at: http://unhabitat.org/wpdm-package/cross-cutting-issue-progress-report-2015/?wpdmdl=116641 [Accessed 8 July 2016].

UN-Habitat, 2015b. UN-Habitat policy and plan for gender equality and the empowerment of women in urban development and human settlements : 2014-2019, Nairobi, United Nations Human Settlements Programme (UN-Habitat), Available at: http://unhabitat.org/wpdm-package/un-habitat-policy-and-plan-for-gender-equality-and-the-empowerment-of-women-2014-2019/?wpdmdl=111608 [Accessed 10 July 2016].

UN-Habitat and UNCHS, 1991. Guide for managing change for urban managers and trainers. Nairobi: United Nations Centre for Human Settlements (Habitat). Available at: http://unhabitat.org/wpdm-package/guide-for-managing-change-for-urban-managers-and-trainers/?wpdmdl=111911 [Accessed 22 August 2016].

United Nations, 2002. Gender mainstreaming : an overview. New York: Office of Special Adviser on Gender Issues, Department of Economic and Social Affairs, United Nations. Available at: http://www.un.org/womenwatch/osagi/pdf/e65237.pdf [Accessed 8 September 2016].

University of Queensland, 2013. The University of Queensland guide to leading organisational change. Brisbane: University of Queensland. Available at: http://itali.uq.edu.au/filething/get/5391/6%20Org%20Change%20Guide.pdf [Accessed 22 August 2016].

VNG International, 2010. Municipal development strategy process : a toolkit for practitioners. The Hague: VNG International. Available at: http://www.vng-international.nl/wp-content/uploads/2015/06/Toolkit_Municipal_Development_Strategy_Process_ENG.pdf [Accessed 29 August 2016].

Wates, N., 2000. The community planning handbook : how people can shape their cities, towns and villages in any part of the world. London: Earthscan. Available at: http://library.uniteddiversity.coop/REconomy_Resource_Pack/Community_Assets_and_Development/The_Community_Planning_Handbook-How_People_Can_Shape_Their_C.pdf [Accessed 22 June 2016].

Webster, D. and Muller, L., 2006. Guide to city development strategies : improving urban performance: Cities Alliance. Available at: http://www.citiesalliance.org/doc/resources/cds/cds-guidelines/cds_guidelines_final.pdf [Accessed 29 January 2016].

Webster, D. and Muller, L., 2006. City development strategy guidelines : driving urban performance. Washington: Cities Alliance. Available at:

References

https://www.citiesalliance.org/sites/citiesalliance.org/files/CA_Docs/resources/cds/cds-guidelines/cds_guidelines_final.pdf [Accessed 2 February 2016].

Wilson, J. M., 2003. Gantt charts : a centenary appreciation. *European Journal of Operational Ressearch,* 149 (2), pp. 430-437. Available at: http://www.sciencedirect.com/science/article/pii/S0377221702007695/pdfft?md5=1f616033e90fc8acbbb2efdc87f37a23&pid=1-s2.0-S0377221702007695-main.pdf [Accessed 24 June 2016].

World Bank, 2000. City Development Strategy (CDS) South Asia Region : Progress report July 2002. Washington: World Bank. Available at: https://openknowledge.worldbank.org/bitstream/handle/10986/18723/879720WP0Box380gy0South0Asia0Region.pdf?sequence=1&isAllowed=y [Accessed 2 February 2016].

World Bank, 2001. City Development Strategy and city assistance programme : Kathmandu Metropolitan City : volume 1. Washington: World Bank. Available at: https://openknowledge.worldbank.org/bitstream/handle/10986/15529/481440ESW0v10P10Box338889B01PUBLIC1.pdf?sequence=1&isAllowed=y [Accessed 3 February 2016].

World Bank, 2001. City diagnostic report for the City Development Strategy : Kathmandu Metropolitan City : volume 2. Washington: World Bank. Available at: https://openknowledge.worldbank.org/bitstream/handle/10986/16767/481440CDS0v20R00Box338889B00PUBLIC0.pdf?sequence=1&isAllowed=y [Accessed 3 February 2016].

World Bank, 2002. Cali, Colombia : toward a City Development Strategy. Washington: World Bank. Available at: https://openknowledge.worldbank.org/bitstream/handle/10986/14086/multi0page.pdf?sequence=1&isAllowed=y [Accessed 3 February 2016].

World Bank, 2010. City Development Strategy : Peshawar [assessment] volume 2. Washington: World Bank. Available at: http://www-wds.worldbank.org/external/default/WDSContentServer/WDSP/IB/2014/09/30/000470435_20140930130833/Rendered/PDF/563740v20Box385328B00PUBLIC0.pdf [Accessed 3 February 2016].

World Bank, 2010. City Development Strategy : Peshawar [main report] volume 1. Washington: World Bank. Available at: http://www-wds.worldbank.org/external/default/WDSContentServer/WDSP/IB/2014/09/30/000470435_20140930125553/Rendered/PDF/563740v10REPLA00Box385328B00PUBLIC0.pdf [Accessed 3 February 2016].

World Bank, n.d. Tool name : institutional mapping/Venn diagramming. Washington: World Bank. Available at: http://siteresources.worldbank.org/EXTTOPPSISOU/Resources/1424002-1185304794278/4026035-1185375653056/4028835-1185375938992/1_Insti_mapping_Venn_diagramming.pdf [Accessed 22 August 2016].

Zeijlon, A., Tsenkova, S., Ionkova, K., Ebinger, J., et al., 2003. Sofia city strategy. Washington: World Bank. Available at: http://www-wds.worldbank.org/external/default/WDSContentServer/WDSP/IB/2014/01/10/000333037_20140110125032/Rendered/PDF/839130ESW0whit0BLIC00Sofia0Strategy.pdf [Accessed 3 February 2016].

Ziari, K., Pourahmad, A., Sheikhi, A., Aghdam, A. S., et al., 2014. City Development Stategies of Piranshahr. *Indian Journal of Scientific Research,* 4 (3), pp. 457-464. Available at: http://www.ijsr.in/upload/963054043Microsoft%20Word%20-%20Keramatollah%20Ziari,%20Manuscript%20Final.pdf [Accessed 2 February 2016].