

African Cities Program

Supporting More Resilient,
Livable and Productive
Cities in Africa

Program Methodology

February 2023



AFRICAN DEVELOPMENT BANK GROUP



Urban and
Municipal
Development
Fund



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| | |
|--|-------------|
| FOREWORD | v |
| ACKNOWLEDGEMENTS | vi |
| EXECUTIVE SUMMARY | Viii |
| BACKGROUND AND RATIONALE | ix |
| METHODOLOGY OVERVIEW | xi |
| ABBREVIATIONS | xvi |
| KEY DEFINITIONS | xvii |
| | |
| INTRODUCTION | 2 |
| CONTEXT SETTING | 4 |
| URBAN DEVELOPMENT IN AFRICAN CITIES | 5 |
| AFRICAN DEVELOPMENT BANK'S STRATEGY AND URBAN OPERATIONS | 11 |
| URBAN AND MUNICIPAL DEVELOPMENT FUND | 13 |
| AFRICAN CITIES PROGRAM METHODOLOGY | 20 |
| SUMMARY | 21 |
| 1. INITIATION PHASE | 28 |
| 2. ACTION PLANNING PHASE | 53 |
| 3. INVESTMENT PREPARATION PHASE | 97 |
| OUTLOOK: TOWARDS THRIVING AFRICAN CITIES | 118 |
| APPENDIX A INDICATORS LIST FOR RAPID CITY PROFILING | 120 |
| A.1 CITY CONTEXT INDICATORS | 121 |
| A.2 INSTITUTIONAL SETTING INDICATORS | 129 |
| A.3 SECTOR PERFORMANCE INDICATORS | 131 |
| A.4 CLIMATE AND DISASTER RISKS INDICATORS | 145 |
| A.5 SOURCES | 147 |
| APPENDIX B TEMPLATE: AFDB UMDP PROJECT SHEET | 148 |

List of figures, tables and boxes

Figures

| | |
|--|-----|
| Figure 1. African Cities Program Offering and Rationale | ix |
| Figure 2. African Cities Program Process and Phases | x |
| Figure 3. Actors' Involvement in the African Cities Program | xii |
| Figure 4. Methodology Chapter Structure and Targeted Audience | 2 |
| Figure 5. Population Change by Settlement Size Class and Rural versus Urban in Africa 2018 / 2030 | 5 |
| Figure 6. Buzzling Market Activities in Marrakesh (Morocco) | 6 |
| Figure 7. Megacity to Be – Luanda (Angola) | 7 |
| Figure 8. Secondary City Kisumu (Kenya) | 7 |
| Figure 9. AfDB High 5's for Africa | 12 |
| Figure 10. AfDB UMDf Support Phases | 13 |
| Figure 11. UMDf Projects (as of July 2022) | 14 |
| Figure 12. Implementation Guidance Template for Methodology Step Descriptions | 26 |
| Figure 13. Actors' Involvement in the African Cities Program | 27 |
| Figure 14. African Cities Program Initiation Phase Overview | 28 |
| Figure 15. African Cities Program Action Planning Phase Overview | 53 |
| Figure 16. Rapid City Profiling Themes | 55 |
| Figure 17. City Vision, Objectives, and Actions | 71 |
| Figure 18. African Cities Program Investment Preparation Phase Overview | 97 |

Tables

| | |
|--|------|
| Table 1. African Cities Program Phases, Stages, Steps, and Outputs (Gantt Chart) | xiii |
| Table 2. Example Methodologies and Guidance Notes on Integrated Urban Development | 17 |
| Table 3. African Cities Program Phases, Stages, Steps, and Outputs (Gantt Chart) | 23 |
| Table 4. Template: Key Elements of the African Cities Program Letter of Request | 31 |
| Table 5. Template: Planning Brief (Maximum 2 Pages) | 41 |
| Table 6. Template: Data Inventory (with Example Entries) | 42 |
| Table 7. Template: Stakeholder Register and Engagement Plan | 45 |
| Table 8. Stakeholder Groups and Relevance in the Diagnostics and Action Planning Phase | 45 |
| Table 9. Illustrative Data and Information to Inform Rapid City Profiling | 58 |
| Table 10. Template: City Profiling Report Structure with Indicative Page Numbers (Example) | 69 |
| Table 11. Template: Actions Multi-Criteria Analysis Matrix (with Illustrative Weighting and Application Example) | 81 |
| Table 12. Template: Mapped Out Action (with the Illustrative Example of “Bizerte Smart City – Digital Free Zone Development Project (Tunisia)”) | 86 |
| Table 13. Template: Action Plan Structure with Indicative Page Numbers (Example) | 96 |
| Table 14. List of Project Preparation Facilities | 102 |
| Table 15. Template: Action Plan Progress Update | 113 |
| Table 16. Rapid City Profiling Indicators List | 121 |
| Table 17. Template: AfDB UMDf Project Sheet | 148 |

Boxes

| | |
|---|-----|
| Box 1. African Cities Program Progressive Build-Up from Early Dialogue to Project Financing | xv |
| Box 2. Groundswell Africa – Migration in East and West Africa | 9 |
| Box 3. Varied Disasters across Africa | 10 |
| Box 4. Activity Summary for AfDB ACP Pilot Cities | 15 |
| Box 5. African Cities Program Progressive Build-Up from Early Dialogue through to Project Financing | 25 |
| Box 6. Project Ideas as a Guiding Star | 32 |
| Box 7. Donor Coordination Committees Helping to Improve Targeted Support | 32 |
| Box 8. Role of City Focal Point, Steering Committee, Technical Working Group, and AfDB Focal Points in City Action Planning Processes | 37 |
| Box 9. Strong Government Buy-In from the Mayor of Bizerte (Tunisia) in the AfDB City Action Planning Process | 37 |
| Box 10. Effective Stakeholder Engagement in Amman (Jordan) | 46 |
| Box 11. AfDB Data Platforms and Other Useful Links | 58 |
| Box 12. Template: Participant Feedback Questionnaire | 62 |
| Box 13. Example Tools for Undertaking Climate and Disaster Risk Assessments | 65 |
| Box 14. The Vision for Conakry (Guinea) | 73 |
| Box 15. From Strategizing to Prioritizing – AfDB African Cities Program Support to Dodoma (Tanzania) | 79 |
| Box 16. Longlisting and Prioritizing Resilience Actions in Fez (Morocco) | 80 |
| Box 17. Importance of Public-Private Partnerships in Delivering Urban Infrastructure in Africa | 87 |
| Box 18. AfDB's Efforts to Make Climate Finance Accessible to African Cities | 87 |
| Box 19. 5 Prioritized Actions from Antananarivo's Action Plan (Madagascar) | 91 |
| Box 20. Moving Actions to Project Preparation through CityStrength in Addis Ababa (Ethiopia) | 101 |
| Box 21. FELICITY Support for Clean and Integrated Public Transport System in Florianopolis (Brazil) | 105 |
| Box 22. Financing and Implementing Green City Actions in Hue (Vietnam) | 108 |

Foreword



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Director, Infrastructure
and Urban Development

The African Development Bank is pleased to present the methodology of its African Cities Program. The methodology provides comprehensive guidance for stakeholders to engage with cities across Africa to develop investment-oriented City Actions Plans and identify and prepare transformative investments for more climate-resilient, liveable and productive cities.

Africa is urbanizing rapidly. Compared to today, it is predicted that almost one Billion additional people will live in African cities by 2050, then approximately 60% of the future total population on the continent. Cities already are key drivers of commerce and job creation, economic development, and prosperity, especially for Africa's Youths. While this urbanization process presents well known opportunities, the challenges are also plentiful and visible.

Africa's urbanization process takes place in a changing climate, putting at risk national and urban development. Together we must address the challenges of urbanization rapidly and effectively to foster more Sustainable Cities in order to unlock climate resilient, green and equitable development in Africa.

The African Development Bank is increasing its support to countries and cities across Africa. The Bank supports its Regional Member Countries to finance transformative investments into Infrastructure and Services, and acceleration of equitable and green growth. Through our Guidelines for Subnational Finance, the Bank stands ready to increase its financial support to cities directly, in order to close the financial gap at the local level to invest in urban development. Through the Bank's Urban and Municipal Development Fund (UMDF) we also provide critical support to improve urban governance, urban planning and identify and prepare crucial infrastructure investments and improve essential services.

The Bank has launched its African Cities Program in 2021 to work intensively with selected investment focused cities across Africa, providing capacity development, planning and governance support to systematically prepare cities for investments that the Bank can finance. The present methodology provides the guiding framework for the African Cities Program, and strives to be a useful resource for city leaders and practitioners, Bank staff and external partners and stakeholders to systematically profile the cities' current situation, develop a City Action Plan that provides concrete path for the identification and preparation of transformative investments for more climate-resilient, liveable and productive cities. The rapidly developing cities across our continent need massive investments to provide infrastructure and essential services, and with the African Cities Program we aim to demonstrate a way to close this investment gap.

Through our Urban and Municipal Fund, we stand ready to help identify and prepare transformative investments, as well as supporting governments to mobilize finance at scale to invest in climate action. It is my sincere hope that this methodology will provide an important input for further work on resilient and low-carbon urban development in Africa.



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Executive Summary

Background and Rationale

No country has ever reached **middle-income status** without urbanizing. The tremendous power of cities to drive productivity growth stems from **agglomeration** – the clustering of businesses and individuals in an environment that promotes economies of scale and specialization. **Urbanization in African cities** is taking place at unprecedented rates with a continuing trend that will add nearly one billion new residents by 2050.

However, the vast population growth in many African cities has not yet come with the benefit of agglomeration seen elsewhere in the world. Two critical shortfalls have been (i) a **highly sectoral approach to urban development** instead of an integrated spatial (territorial) planning and management approach, and (ii) **significant underinvestment in basic physical and social infrastructure** that has hindered more sustainable growth. Additionally, African cities are highly exposed and vulnerable to **climate and disaster risks**, which will be further exacerbated with a changing climate and increasing populations residing in urban areas.

Responding to this set of challenges and opportunities around urban development in Africa, the African Development Bank (AfDB) has increased its **commitments to creating**

transformative cities through investments of more than \$2 billion in urban development projects. The AfDB launched the **Urban and Municipal Development Fund (UMDF)** to further support cities through the provision of expert technical assistance in developing action plans, preparing bankable projects, and building capacity towards creating more resilient, livable, and productive cities.

This document provides an **overview of the African Development Bank (AfDB) African Cities Program (ACP) Methodology** to guide activities by the Bank on the comprehensive process to initiative city partnerships, develop City Action plans and project identification. The Methodology explains **how to use city action planning to link up the analysis of a city’s key development challenges and opportunities with a prioritized list of actions to invest in physical infrastructure alongside institutional capacity development measures** that can create more resilient, livable and productive African cities based on improved urban governance, integrated urban planning, and effective delivery of essential urban services and infrastructure, as outlined in the **AfDB’s Sustainable Urban Development Action Plan (SUDAP) 2022-2026** (Figure 1).

Figure 1. African Cities Program Offering and Rationale



Source: AECOM, 2022.

The Methodology has been based on a review of and adjustment of the terms of references that informed the pilot phase of the UMD. The goal of this revision is to inform the Methodology with **lessons learned from the pilot phase and other good practices**. It aims to provide an **efficient and targeted approach that neatly interlinks with AfDB’s operations through a ‘one Bank’ integrated response** that harnesses country and sector specific expertise and supports the implementation of **AfDB’s Ten-Year Strategy (2013-2022; 2023-2032)** and the SUDAP towards **“Building Transformative Cities”**.

One key change to the Methodology has been the **recalibration of the different phases** from initiation through to investment preparation in order to align the intended activities more closely with the typical resource envelope available for technical assistance to cities and to increase the focus on **using the analysis to identify impactful bankable interventions** at the city level (Figure 2). The intended **project sheets on a select number**

of high-priority projects at the end of the city diagnostics and action planning process are the point of departure to focus on key investment projects that the AfDB and other partners can take further through to feasibility study, appraisal, and financing.

This Methodology directly supports the AfDB approach to **engaging directly with sub-national government and in particular city administrations** as outlined in the AfDB’s SUDAP. This includes identifying and coordinating with new clients in RMCs, facilitating collaboration with emerging and important actors, such private sector financiers and investors, to support urban infrastructure investment in African cities. The ACP seeks to support innovative methods of collaboration and potentially pooling investment interventions through a variety of scales, including clustering of several urban settlements, corridor development approaches, or district-specific (sub-city level) efforts within larger metropolitan areas.

Figure 2. African Cities Program Process and Phases



Source: AfDB, 2022.

Methodology

Overview

The ACP Methodology features **four phases** (Table 3): (i) Initiation, (ii) Action Planning, (iii) Investment Preparation, and (iv) Investment. This guide focuses on the first three phases, while the fourth phase is guided by established AfDB protocols and processes. Within each of the presented phases are **key stages** with a **series of steps** (activities) to guide users through concise activities to move from analysis to the identification of impactful urban interventions through physical investments and institutional capacity improvements – each stage concludes with a distinct **output**. Following these phases, it is important to note that the overall process will entail the same elements, yet the actual implementation and detailed activities of all the steps across the 3 phases of this Methodology will slightly differ from city to city and should be adapted to the individual setting and context of cities depending on various aspects that may influence implementation progress (e.g. political elections; governance structure; procurement of external support; adverse weather conditions; COVID-19, etc.).

The initial phase “**Initiation**” features 2 stages over approximately 3 months: (i) preliminary engagement (with an Aide Memoire signed), and (ii) Preparatory Activities (with a Planning Brief prepared and experts mobilized). In this phase cities are identified and selected to participate in AfDB’s African Cities Program. It is an important phase for identifying key stakeholders, establishing the decision-making process, and building the team to undertake the next stages of the Action Planning. A key finding from the ACP Pilot Phase was that cities with consistent political buy-in yielded more robust action plans, with the involvement of national government, such as the Ministry of Finance, and alignment with national priorities and strategies, which facilitates the progress towards potential

investment-ready projects. This phase is important to take stock of the existing data and reports that have been prepared to avoid duplication of efforts and identify any critical information gaps. This initiation phase should provide insights on what additional resources and expertise is required to undertake the city diagnostic and action plan activities and often involves the development and fine-tuning of Terms of Reference (TOR) for Task Managers or external service providers, such as individual experts or consultant teams, based on the general TOR developed for this Methodology.

The second phase “**Action Planning**” is split into three stages over approximately 9 months: (i) rapid city profiling (with a City Profiling Report prepared), (ii) strategizing and prioritizing (with vision, objectives, and prioritized actions confirmed), and (iii) action planning (with an Action Plan as final output, including Project Sheets). This phase forms a key part of the AfDB’s support to governments in arriving at a concise assessment and plan that can sets-out future investments into low-carbon and climate-resilient infrastructure and accompanying institutional capacity improvements. Notwithstanding individual differences of how the various steps in this phase would be executed in different cities, at the end of the process a concise City Action Plan will guide key prioritized interventions that a city government can take forward, for instance in partnership with the national government, AfDB, the private sector, and other development partners.

The third phase “**Investment Preparation**” consists of two steps, which will vary in length and typically spread across more than 1 year: (i) Moving Actions to Project Preparation (with Project Preparation Studies conducted), and (ii) monitoring progress and strengthening capacities (with regular progress

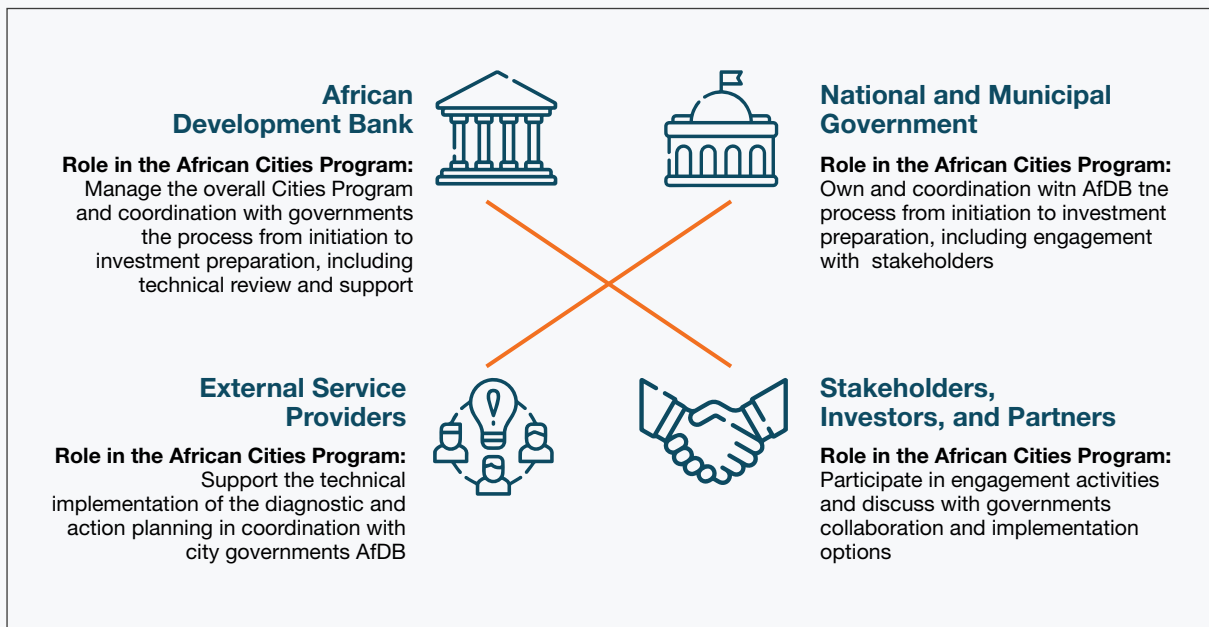
monitoring updates provided). This phase will seek to commission and undertake additional studies (e.g. feasibility studies, draft engineering designs, environmental and social impact assessments) to guide cities to move projects from the ideas stage into more concrete plans, designs, and financing (also see Box 5). The same applies to interventions beyond physical infrastructure projects, e.g. institutional capacity measures or policy reforms, which can be further mapped out in this phase and accompany specific infrastructure investments. In order to track and monitor progress of actions and to steer activities in the right direction, this phase looks at the establishment of a monitoring system. Embedded in the AfDB capacity development efforts, this phase also includes activities around training and knowledge sharing.

The fourth phase of the ACP “**Investment**” comprises the actual financing and implementation of the actions that have been developed in a City’s Action Plan and passed through the Investment Preparation phase. This phase – where supported by the AfDB – would follow established Bank protocols and includes all the necessary institutional processes that AfDB undertakes in its infrastructure investment activities.

The overarching **roles of the 4 key ‘user’ groups** and their involvement in the AfDB Cities Program is illustrated in Figure 3. As a living document that will be put into practice by AfDB, governments, consulting experts, and other stakeholders, this **Methodology will evolve over time** and can be further improved upon as new lessons become available in AfDB’s interaction with cities across the continent.

It is important to note that the **Methodology** can be **applied by different users and through different approaches**: It may be implemented with the support of a consulting firm with international and local specialists. It could be supported by individual consultants, international and/or local. The Methodology may also be implemented by AfDB staff in HQ and/or country office, with select support by individual consultants for specific activities or deliverables. It is also foreseeable that AfDB staff independently implement the Methodology in collaboration with the respective city governments. Other implementation modalities could see capacitated city governments leading the process, or non-government organizations and other international development partners (e.g. from the UN) supporting the application of the Methodology.

Figure 3. **Actors’ Involvement in the African Cities Program**



Source: AECOM, 2022.

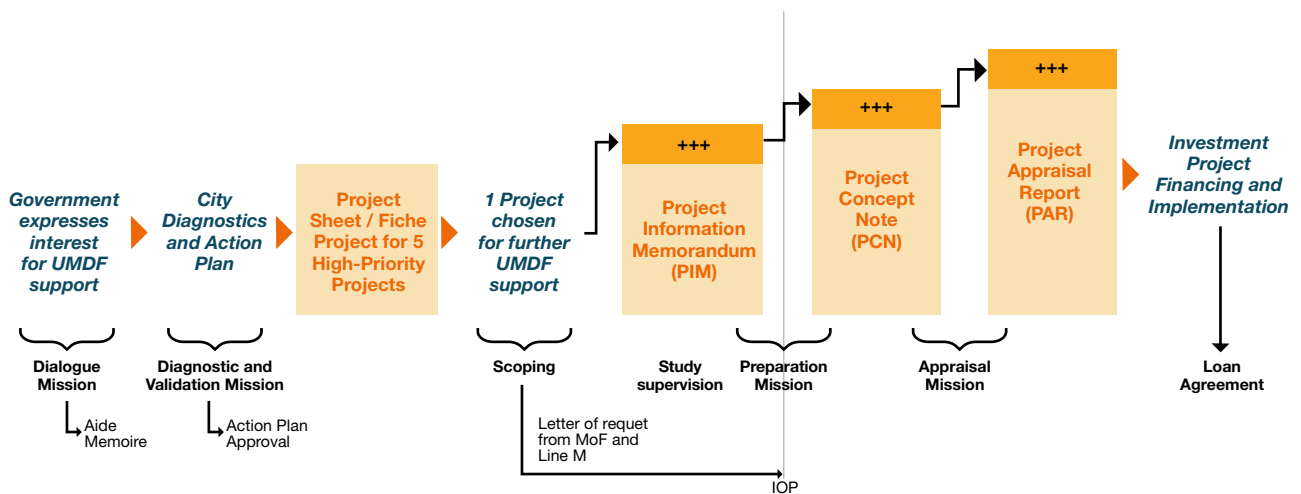
Box 1. African Cities Program Progressive Build-Up from Early Dialogue to Project Financing

The activities proposed under the AfDB African Cities Program (ACP) Methodology have a dual objective: (i) they are strengthening the capacity of involved actors to conduct city diagnostics and action planning in a concise manner; and (ii) they are providing an efficient avenue for AfDB engagement with RMCs (national and subnational governments) from early dialogue through to project financing (as illustrated below).

The Action Plan of each city participating in the AfDB ACP will produce project sheets for 5 high-priority projects. From among those, AfDB with UMDf financial support would take 1 project forward to develop further. Building up on this project's developed project sheet, AfDB and the government will further investigate relevant aspects of the project, as well as procure external support e.g. for feasibility studies, environmental and social impact

assessments, etc. Since the Project Sheet Template has been modelled after the standard project finance forms that AfDB uses in its operations, ensuing studies provide additional information that can be added to the Project Sheet to develop it into, first, a Project Information Memorandum (PIM), and then – with more studies having been conducted – into a Project Concept Note. Following an Appraisal Mission and preparation of a loan agreement for this investment project, all obtained information is then incorporated into the Project Appraisal Report for AfDB Board Approval consideration.

The streamlined structure of the templates is intended to make this process more efficient, allowing each step and form/template to build up on the previous steps and form/template.



Source: AECOM, 2022. AfDB to further amend this infographic.

Abbreviations

| | | | |
|--------------|---|--------------|---|
| ADB | Asian Development Bank | NDF | Nordic Development Fund |
| AfDB | African Development Bank | PAR | Project Appraisal Report |
| BRT | Bus rapid transit | PCN | Project Concept Note |
| CBD | Central business district | PICU2 | African Development Bank Urban Development Division |
| EBRD | European Bank for Reconstruction and Development | PIM | Project Implementation Memorandum |
| EIB | European Investment Bank | PIU | Project implementation unit |
| EOI | Expression of interest | PPP | Public private partnership |
| ESCI | Emerging and Sustainable Cities Initiative | RFP | Request for proposal |
| ESIA | Environmental and social impact assessment | RMCs | Regional member countries |
| EU | European Union | SDGs | Sustainable Development Goals |
| GCAP | Green City Action Plan | SUDAP | Sustainable Urban Development Action Plan |
| GDP | Gross domestic product | SUMP | Sustainable Urban Mobility Plan |
| GEF | Global Environment Facility | SWOT | Strengths, weaknesses, opportunities and threats |
| GFDRR | Global Facility for Disaster Reduction and Recovery | TOD | Transit oriented development |
| GHG | Greenhouse gas | TOR | Terms of reference |
| GIS | Geographic information system | TWG | Technical working group |
| IADB | Inter-American Development Bank | UMDF | Urban and Municipal Development Fund |
| ICT | Information and communication technology | UN | United Nations |
| MCA | Multi criteria analysis | UNDRR | United Nations Office for Disaster Risk Reduction |
| MOU | Memorandum of understanding | USD | United States dollars |
| NDC | Nationally determined contribution | | |

Key Definitions

Action Plan: A key output of the ACP support to city governments during the second phase, succinctly presenting the findings from the **City Profiling Report**, the **Vision and Objectives**, the **Prioritized Actions**, as well as the implementation timeline, governance structure, and monitoring approach.

Action Planning Phase: The second phase of the ACP Methodology, focused on the **Rapid City Profiling**, the Strategizing and Prioritizing, and the Action Plan Development. Activities in this phase are typically implemented with the support of Consultants.

Action Planning Workshop: The second workshop during the second phase of the ACP Methodology, focused on the prioritization of actions or confirmation of the prepared **shortlist**, and the gathering of further technical information on those actions, in particular the **Top 3-5 Prioritized Actions**.

African Cities Program (ACP): AfDB's flagship urban program through which the Bank engages early and comprehensively with cities to provide in-depth support through a formal programmatic approach.

Aide Memoire: A formal document during the ACP's first phase to confirm background, objectives, roles and responsibilities, as well as the commitment of a government and AfDB to collaborate through the ACP support process, anticipated to be signed as part of the first phase of the ACP Methodology.

City Profiling Workshop: The first workshop during the second phase of the ACP Methodology, focused on data gathering, site visits, validation of findings from the **Rapid City Profiling**, and further technical meetings to inform the ensuing Strategizing and Prioritizing, as well as Action Plan Development.

City Profiling Report: A key output of the ACP support to city governments during the second phase, succinctly presenting key findings of a city's challenges and opportunities with regard to city context, institutional setting, sector performance, as well as climate and disaster risks, accompanied by the **Indicators List**.

Engagement Plan: A plan with a **Stakeholder List** to be prepared during the first phase of the ACP Methodology to define and prepare for **stakeholder**

engagement during ensuing activities, such as the two workshops during the second phase on Action Planning.

External Support Needs: The implementation of the ACP Methodology in a particular city, especially tasks under the second phase on Action Planning, benefit from external support, e.g., through the procurement of consulting firms, individual consultants, or support provided by non-government organizations and other international development partners.

Implementation Progress and Results Report (IPR): A standard AfDB monitoring template required to be submitted to the Bank every 6 months for ongoing AfDB-supported investment projects.

Indicators List: A list of datapoints proposed for collection to inform the **Rapid City Profiling** of the ACP Methodology. The list features indicators across the four assessment themes of city context, institutional setting, sector performance, and climate and disaster risks, and provides interpretation guidance and proposed sources.

Initiation Phase: The first phase of the ACP Methodology, focused on the preliminary engagement and preparatory activities between a city government and AfDB to form a solid basis onto which ensuing activities can be built.

Investment Preparation Phase: The third phase of the ACP Methodology, focused on moving actions to project preparation, monitoring progress, and strengthening capacities. Not further explained in this document is the fourth phase which concerns the investment phase for infrastructure projects following standard AfDB processes.

Letter of Request (LOR): The required document during the first phase of the ACP Methodology to be submitted by a government to the AfDB to express their interest to take part in the ACP and request support for the activities foreseen under the ACP Methodology.

Planning Brief: A key output during the first phase of the ACP Methodology to pull together key information available to prepare and focus the Action Planning to enable a more efficient process. The Planning Brief builds upon the original **Letter of Request** that the government submitted to the AfDB.

Prioritization of Actions: The process during the second phase of the ACP Methodology to narrow down a longlist of possible actions in a city to a **Shortlist of Actions** (10-30) with the best potential to put a city's **Vision** and **Objectives** into practice.

Progress Monitoring Updates: Regular updates during the third phase of the ACP Methodology to allow the city government to keep AfDB informed about the progress in implementing the **Action Plan**, identifying any course corrections needed, and inquire additional support where required.

Project Appraisal Report (PAR): A standard AfDB document to detail all relevant information of an investment project that is being presented to the Bank's Board for approval and later financing. The PAR is preceded by a **Project Concept Note**.

Project Concept Note (PCN): A standard AfDB document for the investment project preparation process, functioning as a key output between the Project Sheet and the Project Appraisal Report during the third phase of the ACP Methodology.

Project Preparation Studies: Relevant reports required to move a project from ideas stage to preparation and financing. The specific studies can vary, but typically include Feasibility Studies, Environmental and Social Impact Assessments, Detailed Design, and AfDB-specific documents, such as the **PCN** and **PAR**.

Project Sheets: A template developed for use during the second phase of the ACP Methodology to support city governments to detail out the **Top 3-5 Prioritized Actions** with critical information that can help move those actions towards project preparation under the ensuing third phase of the ACP Methodology.

Rapid City Profiling: A key stage during the second phase of the ACP Methodology, focused on quickly analyzing a city's key challenges and opportunities across the four assessment themes of city context, institutional setting, sector performance, and climate and disaster risks, informed by the **City Profiling Workshop**, the **Indicators List**, other data, technical meetings, stakeholder inputs, and any site visits.

Shortlist of Actions: A select list of 10-30 actions coming out of the **Prioritization of Actions** to enable a city achieve its **Vision** and **Objectives** through both 'hard' measures (infrastructure investments) and 'soft' measures (institutional improvements), sometimes organized into short, medium, and long-term actions.

Stakeholder Engagement: A variety of activities, formats, and channels to inform, engage, and empower different actors from the public sector, private sector, and civil society to meaningfully take part in the activities of the ACP Methodology. The engagement is planned for through an **Engagement Plan** with **Stakeholder List**.

Stakeholder List: A registry of actors from the public sector, private sector, and civil society relevant to the activities of the ACP Methodology, with key information on those stakeholders and anticipated engagement modes recorded. The list accompanies the **Engagement Plan** under the first phase of the ACP Methodology.

Strategic Development Objectives (or short "Objectives"): The medium-term goals (5-10 years) that describe how a city's longer-term **Vision** would link up with its **Shortlist of Actions**. The Objectives are reconfirmed (if existing) or developed during the second phase of the ACP Methodology and are presented in the **Action Plan**.

Technical Assistance (TA): The support provided by the AfDB's **ACP** under the **UMDF** through different instruments from smaller interventions through to larger-scale longer-term support.

Terms of Reference (TOR): The scope of works responding to **External Support Needs**, forming the basis of the procurement of Consultants, e.g. to help implement activities under the second phase of the ACP Methodology.

Top 3-5 Prioritized Actions: Those projects from the **Shortlist of Actions** that are chosen by the city government in consultation with AfDB to be developed further in **Project Sheets** to support later project preparation.

Urban and Municipal Development Fund (UMDF): The AfDB launched this Fund to support cities through the provision of expert **Technical Assistance** in developing action plans, preparing bankable projects, and building capacity towards creating more livable and resilient cities, managed through the Bank's **ACP**.

Vision: The longer-term ambition (10-15 years) that provides an overarching direction for a city's development. It is broken down into **Objectives**, which are being put into practice through a **Shortlist of Actions**. The Vision is reconfirmed (if existing) or developed during the second phase of the ACP Methodology and is presented in the **Action Plan**.



Introduction



Introduction

This document provides an **overview of the African Development Bank (AfDB) African Cities Program (ACP) Methodology** to guide activities by the Bank’s operational departments, the Urban and Municipal Development Fund (UMDF), other trust funds, AfDB country offices, and other sector departments active in urban areas across Africa.

The Methodology explains how to **use city action planning to link up the analysis of a city’s key development challenges and opportunities with a prioritized list of actions to invest in physical infrastructure alongside institutional capacity development measures** that can improve the performance of African cities. As such, it aims to **support resilient, livable, and productive urban development in African cities** characterized by good governance, integrated spatial planning, and effective delivery of essential urban services and infrastructure, as outlined in the **AfDB’s Sustainable Urban Development Action Plan (SUDAP) 2023-2027**.

The Methodology has been based on a review of and adjustment to the initial methodology and terms of references (TOR) that informed the pilot phase of the ACP. The goal of this revision is to inform the Methodology with **lessons learned from the pilot phase and other good practices**. It aims to provide an **efficient and targeted approach** that neatly interlinks with AfDB’s operations through a **‘One Bank’ integrated response** that harnesses country and sector specific expertise and supports the implementation of **AfDB’s Ten-Year Strategy**






(2013-2022; 2023-2032) and the SUDAP towards **“Building Transformative Cities”**.

One key change to the Methodology has been the **recalibration of the different phases** from initiation through to investment preparation in order to align the intended activities more closely with the typical resource envelope available for technical assistance to cities and to increase the focus on **using the analysis to identify impactful bankable interventions** at the city level. The intended **project sheets on a select number of high-priority projects** at the end of the city action planning process are the point of departure to focus on key investment projects that the AfDB and other partners can take forward to feasibility study, appraisal, and financing.

The structure of this document is summarized in Figure 4, explaining which audiences each chapter is oriented to. As a living document that will be put into practice by AfDB, governments, consulting experts, and other stakeholders, the **Methodology will evolve over time** and can be further improved upon as new lessons become available in AfDB’s interaction with cities across the continent.

The intended users of this Methodology are split into two main audiences: (i) **Primary Audience** – including AfDB operational staff, country offices, and consultants; and (ii) **Secondary Audience** – including RMCs, city governments, development partners, donors, urban practitioners, as well as academia and non-government organizations.

Figure 4. **Methodology Chapter Structure and Targeted Audience**

| | | |
|---|---|---|
|  | Executive Summary | For senior decision-makers and anyone seeking a quick overview of this document and the Methodology. |
|  | Introduction | For anyone wanting to understand the structure of this document or to find out what the different chapters cover. |
|  | Context Setting | For those looking for background information on urban development in Africa that informs the Methodology. |
|  | African Cities Program Methodology | For project managers and technical staff applying the Methodology or participating in the process. |
|  | Outlook | For those interested in learning about the way forward and future directions supported by this Methodology. |

Source: AECOM, 2022.





Context Setting

This chapter provides a background on urban development in African Cities, followed by an overview of the AfDB's strategy and urban development operations and an introduction to the African Cities Program Pilot Phase.

Urban Development in African Cities

Briefly contextualizing urban development in African Cities, the following sections will discuss three key themes that impact urban areas across the continent: (i) urbanization and population growth; (ii) migration and informality; and (iii) climate change.

Urbanization and Population Growth

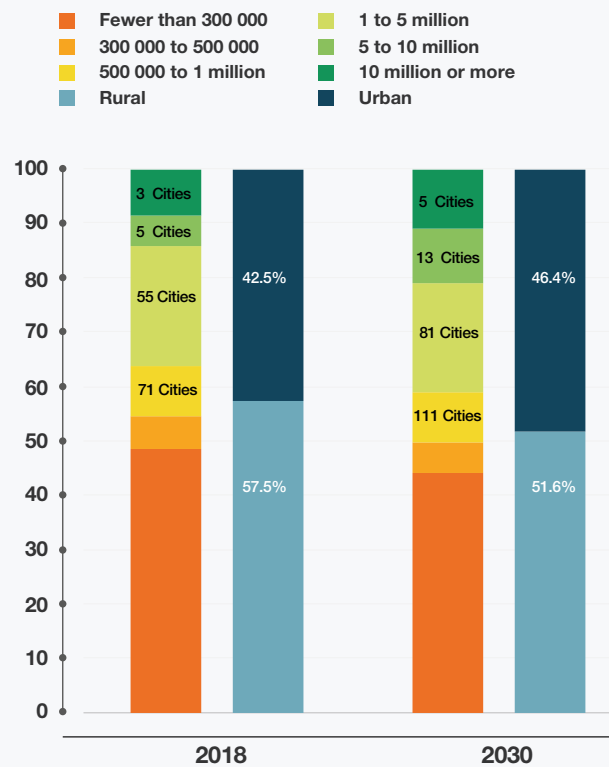
Urbanization is taking place at unprecedented rates, with 56% of the world’s population currently residing in cities. It is predicted that by 2050 the urban population will more than double, which according to the United Nations will mean that two out of every three people are likely to be living in cities by then. Increasing global urbanization continues to situate **cities as the centers of trade, innovation, economic opportunity, and social development**. With more than 80% of global gross domestic product (GDP) being generated in urban areas, cities – if well managed – can significantly contribute to enhanced productivity, living standards, and prosperity for citizens.

Urbanization tends to support the rural to urban migration with providing people with improved access to better paying and more productive jobs that **positively contribute to citizens’ own livelihoods and the broader economy**. This exemplifies how no country has ever reached middle-income status without urbanizing. The tremendous power of cities to drive productivity growth stems from **agglomeration** – the clustering of businesses and individuals in an environment that promotes scale and specialization.

Africa presents **a varied urban landscape**, with a range of economies and scales of cities, ranging from the least developed cities in remote locations to some of the largest megacities in the world (Figure 5). African cities are witnessing some of the **highest rates of annual urbanization rates**

at close to 4% over the past 20 years and a projected 2.5-3.5% annually up until 2050. By that time, 1.2 billion of Africa’s 2.5 billion people are projected to live in urban areas.²

Figure 5. **Population Change by Settlement Size Class and Rural versus Urban in Africa 2018 / 2030**



Source: Adapted from United Nations, Department of Economic and Social Affairs, Population Division. 2018. World Urban Prospects. New York. P. 59.

However, the vast population growth in many African cities has often not come with the benefit of agglomeration seen elsewhere in the world. Two critical shortfalls have been (i) a **highly sectoral approach to urban development instead** of an integrated spatial (territorial) planning and management approach, and (ii) **significant underinvestment in basic physical and social infrastructure** that has hindered more sustainable growth in African cities.

¹ World Bank. 2017. Greening Africa’s Cities: Enhancing the Relationship between Urbanization, Environmental Assets, and Ecosystem Services. <https://openknowledge.worldbank.org/handle/10986/26730>

² African Development Bank, Asian Development Bank, European Bank for Reconstruction and Development, Inter-American Development Bank. 2019. Creating Livable Cities: Regional Perspectives. Manila (ADB).

Africa's urbanization challenge could present a significant risk whereby African cities may become locked into a path of 'grow dirty now, clean up later'. This is expressed in **significant resource use beyond sustainable limits**, shortfalls in basic service provision, and vulnerable livelihoods of urban dwellers. Numerous cases across the continent have, however, also shown that **African cities of different sizes have the potential and ability** to create livable, resilient, and competitive urban spaces for all.

Mirroring a trend seen globally, the number of **megacities** (cities with 10 million inhabitants or more) in Africa will grow from 3 to 5 with Dar es Salaam and Luanda passing the 10 million mark by 2030³. A particular challenge faced with such rapidly growing cities is the need for controlling growth in a sustainable and manageable way that does not further contribute to urban sprawl and the associated negative externalities, such as spatial fragmentation, aggravated infrastructure deficits, and related costs.

Whilst megacities will continue to play an important part on Africa's urbanization trend, it clear that **secondary cities** – cities of less than 1 million people – will absorb much of the

urban population growth over the next decades⁴. Secondary cities in Africa present vibrant communities but have often lagged behind in terms of gaining investments or national attention with focus being diverted to capital or megacities. This has left secondary cities **poorly connected**, which is problematic as they often play a critical role in supporting urban-rural, intra- and inter-country linkages. With the right support, secondary cities can take greater steps in capitalizing on industrialization and creating distinct economic activities. They can play a vital role in the functioning of country-wide urban systems and economic corridors by contributing to geographic diversification of politics and economics.

Successful secondary cities have an **intermediary function** in both development and operations in the economies of African countries, acting as sub-national centers for government, culture, manufacturing, education, as well as tourism⁵. Addressing the fragmentation of national city systems in African countries could **improve competition for trade investment and development** to improve economic performance in these cities, with spillover effects to smaller tertiary cities and towns⁶.

Figure 6. **Buzzling Market Activities in Marrakesh (Morocco)**



³ United Nations, Department of Economic and Social Affairs, Population Division. 2018. World Urbanization Prospects: The World's Cities in 2018: Data Booklet.

⁴ AfDB. 2022. The Dynamics of Systems of Secondary Cities in Africa: Urbanisation, Migration and Development. https://www.afdb.org/sites/default/files/2022/05/16/the_dynamics_of_systems_of_secondary_cities_in_africa_urbanisation_migration_and_development_-_2022.pdf

⁵ Cities Alliance and African Development Bank. 2022. The Dynamics of Systems of Secondary Cities in Africa: Urbanisation Migration and Development.

⁶ Cities Alliance. 2019. Connecting Systems of Secondary Cities. Cities Alliance/UNOPS, Brussels.

Figure 7. **Megacity to Be – Luanda (Angola)**



Figure 8. **Secondary City Kisumu (Kenya)**



Informality and Migration

Alongside Africa's urbanization is the unintended consequence of an **increasing informal sector** both in terms of employment and housing. Africa's informal sector remains the largest in the world. The International Labor Organization and UNDP estimate that 83% of total employment in the continent is considered informal⁷. This is being driven by several factors including poverty, limited skills and education levels to join the formal employment market, and entrepreneurs who chose to operate in the informal economy. Tackling informality is a complex undertaking and requires a **multi-pronged approach of enhancing service provision, social inclusion and economic opportunities** in African cities. There is significant potential in increasing the share of people who earn their livelihoods in the formal economy, as this contributes to more sustainable prospects for individuals and **increased revenue streams for governments to re-invest into essential services**.

According to World Bank data, more than half of the urban population in African cities live in **informal settlements**. Residents within informal settlements often lack access to reliable basic services and infrastructure, suffer insecure land tenure, incur relatively higher costs of living, are often located in high-risk areas, and are extremely vulnerable to the effects of a changing climate. It is estimated that across Africa investment in **adequate housing** falls behind urbanization by 9 years.⁸

If the **2030 Sustainable Development Goals (SDGs)** are to be achieved in African countries, including the eradication of extreme poverty, much bigger efforts are needed to increase the

performance of urban areas to provide for basic services and improved income opportunities.⁹ There have been hopeful signs that **decentralization and devolution processes** are providing sub-national governments with greater autonomy to adjust policies and regulations, adapting rigid land-use systems towards enabling more secure land tenure, and initiating economic development programs to foster dynamic and vibrant urban centers and sub-centers with a focus on **spatially-targeted cross-sector interventions**.

The coming years will see African cities to face **intensified urban migration flows** – both from rural areas to cities, as well as between cities (Box 2). While there are significant benefits from economies of scale in services and infrastructure provision, like improved water, energy, and transport systems, the **large numbers of young, economically active citizens** combined with changing demographics and diversity can increase the risk of conflict, exacerbating inequalities, or strain public services.¹⁰

On the other hand, these demographic changes coupled with reductions in infant and child mortality rates can result in an increased number of economically active or working-age people. With this “youth bulge”¹¹, there could be a **staunch decrease in the dependency ratio** and an increase in the average income per capita if job creation can keep pace with the larger size of the working-age population. With **well-managed urbanization**, new jobs are likely to emerge in manufacturing and the service sector, which would be an important step forward from high agricultural employment historically.¹²

⁷ International Labour Organization. 2020. The Transition from the Informal to the Formal Economy in Africa. https://www.ilo.org/wcmsp5/groups/public/---ed_emp/documents/publication/wcms_792078.pdf

⁸ The World Bank. 2017. Africa's Cities: Opening Doors to the World. World Bank, Washington, DC.

⁹ UNHABITAT. 2022. World Cities Report. Nairobi, Kenya.

¹⁰ African Development Bank, Asian Development Bank, European Bank for Reconstruction and Development, Inter-American Development Bank. 2019. Creating Livable Cities: Regional Perspectives.

¹¹ NATO Southern Hub. 2021. The Challenge of the Youth Bulge in Africa and the Middle East.

¹² World Bank Blogs. 2012. Youth Bulge: A Demographic Dividend or a Demographic Bomb in Developing Countries?. Available: Youth Bulge: A Demographic Dividend or a Demographic Bomb in Developing Countries? (worldbank.org)

Box 2. Groundswell Africa – Migration in East and West Africa

Much of the recent urban migration is driven by climate change, economic opportunities, conflict and instability. Climate change is driving specific flows of migration which are nonuniform across Africa. The World Bank’s 2021 Groundswell Reports highlight the migration pattern in the Lake Victoria basin as a primary concern with some countries, like Tanzania, Uganda, and Kenya, expected to bear the brunt of these migration pressures.¹³ Several “push and pull” factors propel this migration, some are economically induced, for example in Tanzania to urban centers like Dar es Salaam, Mwanza and Arusha, while Burundi houses large numbers of conflict-displaced refugees, and Kenya historically and to this day has large numbers of nomadic and pastoral groups who rely on decent climatic conditions.

In West Africa, there are projected to be 32 million internal climate migrants by 2050 without radical climate action to limit global temperature rise. Along the coastline, climate migrants will move inland from incoming sea level rise and more frequent storm surges, notably in Saint-Louis (Senegal) and Cotonou (Benin). In Ghana, North to South movements have been driven by fluctuations in rainfall and land degradation, while urban to rural migration is the main driver in Nigeria and Nouakchott (Mauritania) for example. With climate change, there are also expected to be more dynamic seasonal migration routes between the semiarid Sahel region and tropical coastal areas in the south.

Source: World Bank Group. 2021. *Groundswell Africa: Internal Climate Migration in West African Countries*. Washington DC.



A view of Banjul, on the coast of Gambia

Climate Change

Although Africa only accounts for the smallest share of global GHG emissions at just 3.8%¹⁴, its urban centers can be key actors in **tackling climate change**. Cities are major contributors to climate change, currently accounting for 70% of global **GHG emissions**. With increasing agglomeration in African cities comes the potential for increased vulnerability to natural hazards. When storm surges, flooding, landslides, or heatwaves occur in urban dense areas, the large concentration of people and assets tends to increase the impact and related damages on human lives, income, and infrastructure. In addition, climate change is likely to result in an **increased severity and frequency** of

extreme heat and droughts, changes in precipitation patterns, and sea level rise (Box 3).

Whilst cities present key opportunities to tackle climate change benefitting from economies of scale, it is too often that many African cities **lack updated information on the risks presented by climate change** or that the climate risks are not integrated into city development plans. It is critical that decision makers and city leaders **integrate climate action into development planning and infrastructure investments**.

In conclusion, while urbanization presents many challenges for African cities, it also has the potential to be transformative to reduce inequalities and improve the lives of millions. African cities need

¹³ World Bank Group. 2021. *Groundswell Africa: Internal Migration in the Lake Victoria Basin Countries*. Washington DC.

¹⁴ CDP Disclosure Insight Action. 2020. *CDP Africa Report: Benchmarking Progress Towards Climate Safe Cities, States and Regions* https://cdn.cdp.net/cdp-production/cms/reports/documents/000/005/023/original/CDP_Africa_Report_2020.pdf?1583855467

to be innovators of change by creating urban spaces that can **withstand future shocks and stresses** presented by climate change while providing for thriving local economies and inclusive communities. There is a need for a greater equilibrium of investments between megacities,

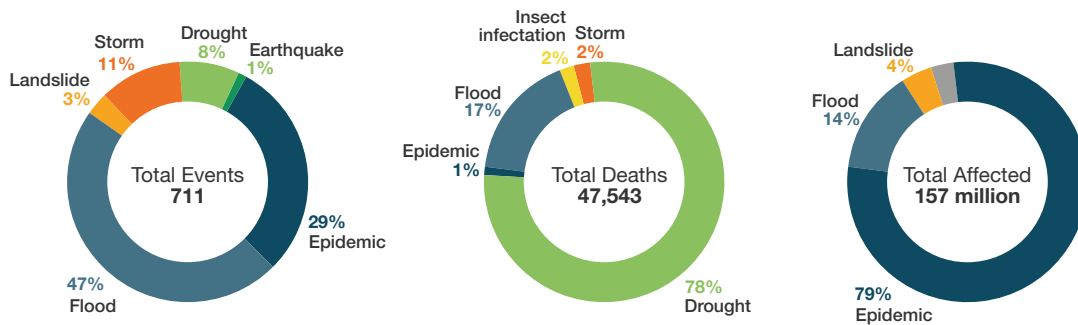
metropolitan areas, and secondary cities to be established between national and sub-national government entities. This is recognized by a variety of organizations, such as AfDB, by encouraging **enhanced access to finance for cities**¹⁵.

Box 3. Varied Disasters across Africa

Across Africa it is estimated that more than 157 million people were directly and indirectly affected by disasters between 2008 and 2018, with projections indicating this figure is set to increase. Compounding urban challenges of urbanization, population growth, poverty, and informal land occupation are driving the region’s vulnerability and exposure to hazards. This,

combined with sluggish expansion of infrastructure and regulatory structures, as well as lack of proportionate capacity development in disaster risk management, have left the region vulnerable to a host of new risks, most exacerbated by the threat of climate change.

Share of impacts by natural hazard related disaster type, 2008-2018



The impacts of climate change and subsequent disasters are already a reality across the continent with catastrophic droughts (East Africa ongoing, Madagascar 2020, Southern Africa 2020), floods (Democratic Republic of Congo 2020, Nigeria 2020, Senegal 2020, Tanzania 2020), storms (Cyclone Idai in Mozambique, Zimbabwe and Malawi, 2019, Cylone Gati in Somalia 2020, Hurricane Fred in Cape Verdem Guinea, Senegal 2015), landslides (Cote d’Ivoire 2020, Sudan 2020, Cameroon 2019, South Africa 2019).

Source: UNDRR. 2020. Highlights: Africa Regional Assessment Report 2020. Nairobi, Kenya.



Floodwaters in the town of Bushmans River in the Eastern Cape of South Africa. Shutterstocks

¹⁵ AfDB. 2019. Guidelines on Subnational Finance. Abidjan. https://www.afdb.org/sites/default/files/2021/02/19/afdb_guidelines_on_subnational_finance.pdf

African Development Bank's Strategy and Urban Operations

AfDB is a multilateral development finance institution **founded in 1964** and headquartered in Abidjan, Cote d'Ivoire. The overarching mission of the Bank is to catalyze sustainable economic and social development in its 54 regional member countries (RMCs). The AfDB is at the center of Africa's transformation and works to enable **inclusive and green growth** across the continent. Through the mobilization and allocation of resources and investments across the continent, paired with development and financial policy advice and technical assistance, AfDB aims to reduce poverty for the region's 1.2 billion inhabitants.¹⁶

The **AfDB Ten-Year Strategy (2013-2022)** – which will be replaced by a new strategy from 2023 onwards – identifies **priority operational areas for investment**: infrastructure development, regional economic integration, private sector development, governance and accountability, and skills and technology.¹⁷ Alongside these priorities, the Bank aligns its projects and programs with its **High 5's for Africa** – its five strategic development priorities (Figure 9).¹⁸

The AfDB Group provides **more than \$2 billion in financing for infrastructure projects each year, with an active portfolio in excess of \$16 billion in transport and urban**. As part of the Bank's commitment to improving infrastructure development and achieving the High 5's, it is mandated to prepare, finance, and implement

projects and programs to improve the **quality of life** for the vast majority of urban citizens and ensure that **cities become centers of transformation and economic growth**¹⁹.

To guide the **direct and proactive engagement of the AfDB with cities and their governments**, the AfDB developed its Sustainable Urban Development Action Plan (SUDAP) 2022-2026²⁰. With the ambition to “building transformative cities”, the SUDAP focuses on **three synergistic strategic priority areas**: (i) Urban Governance; (ii) Urban Planning; and (iii) Urban Essential Services and Infrastructure. These priority areas are accompanied by the goals to “build back better”, create decent productive jobs, ensure significant improvements in living standards, and achieving low-carbon, green, and resilient economic growth.

AfDB has steadily **increased its funding for the urban sector** from an average of €100 million per year in 2005-2009 to over €400 million in 2018. To advance the SUDAP implementation and boost urban operations of the AfDB, the bank created the **Urban Development Division (PICU2)** and launched the **Urban and Municipal Development Fund (UMDF)** in 2019. Additionally, AfDB approved its **Guidelines on Subnational Finance**, which enables different avenues of financial, technical, and capacity building support to subnational entities across the continent²¹.

¹⁶ AfDB. 2022. Mission and Strategy. Available at: <https://www.afdb.org/en/about/mission-strategy>.

¹⁷ AfDB. 2022. AfDB's Strategy. Available at: <https://www.afdb.org/en/about-us/mission-strategy/afdb-strategy>.

¹⁸ AfDB. 2022. The High 5s. Available at: <https://www.afdb.org/en/high5s>.

¹⁹ AfDB. 2021. Urban and Municipal Development Fund Annual Report 2020 and Work Program 2021. Abidjan.

²⁰ AfDB. Forthcoming. SUDAP. Abidjan.

²¹ AfDB. 2019. Guidelines on Subnational Finance. Abidjan. https://www.afdb.org/sites/default/files/2021/02/19/afdb_guidelines_on_subnational_finance.pdf

Figure 9. AfDB High 5's for Africa



Source: Adapted from African Development Bank. 2016. *Scaling Up Implementation of the Ten-Year Strategy: The High 5s Agenda*. Abidjan., as shown in: ADB, AfDB, EBRD, IADB. 2019. *Creating Livable Cities – Regional Perspectives*. Manila.

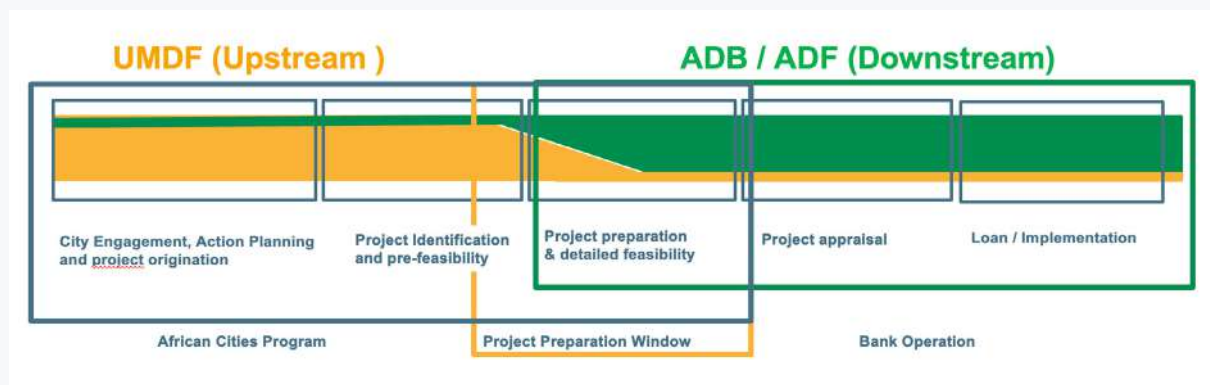
Urban and Municipal Development Fund

Background of the UMDF

To support the Bank’s work with cities and strengthen the urban portfolio of the AfDB, the UMDF was established to **help cities put in place the building blocks to attract resilient and low-carbon investment and ensure integrated development and enhanced planning**. The UMDF is an AfDB multi-donor trust fund with the goal to “**support resilient, livable and productive cities in Africa**”²². Leveraging integrated city planning expertise and capacity building towards sustainable urban projects and strengthened municipal governance within African cities, the **UMDF’s activities are structured around 3 focus areas**²³ (i) Improved municipal governance, (ii) Improved urban planning, and (iii) Improved urban Infrastructure and essential services.

The UMDF works with “**reform and investment minded**” national and municipal governments, civil society, and private sector entities, providing tailored technical assistance for enhanced urban planning and management. Operations are led by the UMDF Secretariat in close partnership with AfDB sector departments with support from offices in RMCs, consultants, and other service providers and partner organizations. The UMDF provides tailored **support** to selected cities **through different instruments from smaller interventions through to larger-scale longer-term support**, under the African Cities Program (ACP) and Project Preparation Facility (PPF)²⁴. Through these support activities, the UMDF provides **critical upstream support** to prepare and scale up urban operations that can be taken forward by AfDB and the African Development Fund (ADF) through **downstream activities**, project appraisal, and loan implementation (Figure 10).

Figure 10. AfDB UMDF Support Phases



Source: AfDB. 2022. UMDF Overview Presentation. UMDF Methodology Validation Workshop: 5 October 2022, Abidjan, Cote d’Ivoire.

²² AfDB. 2022. Urban and Municipal Development Fund. Available at: <https://www.afdb.org/en/topics-and-sectors/initiatives-partnerships/urban-and-municipal-development-fund>.

²³ AfDB. 2021. Urban and Municipal Development Fund Annual Report 2021. Abidjan.

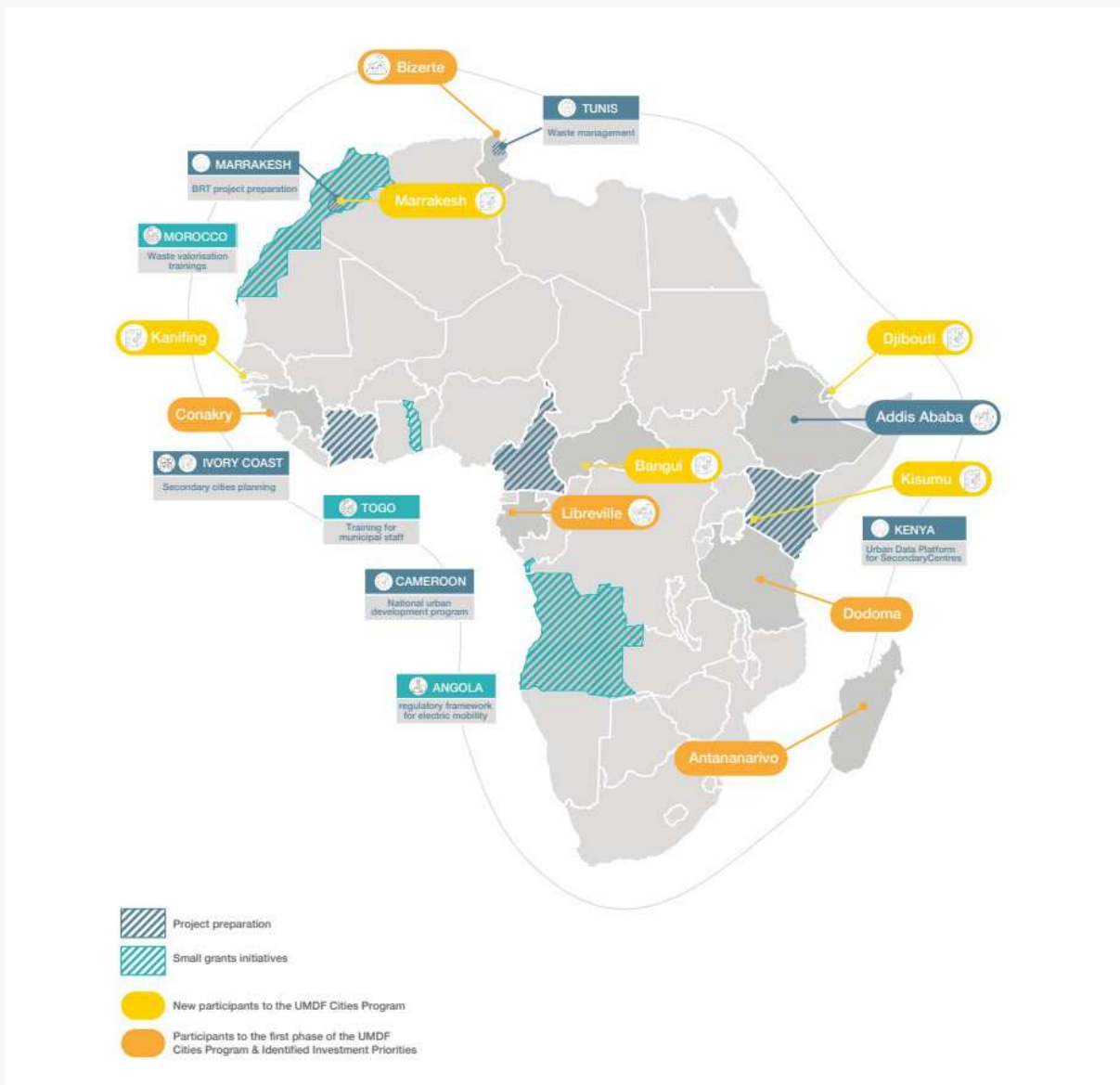
²⁴ AfDB. 2022. Urban and Municipal Development Fund. Available at: <https://www.afdb.org/en/topics-and-sectors/initiatives-partnerships/urban-and-municipal-development-fund>.

The ACP Pilot Phase

Informed by precursor initiatives of other regional development banks, such as the Inter-American Development Bank’s Emerging and Sustainable Cities Program²⁵, AfDB implemented an ACP **pilot phase in 5 cities across AfDB’s five regions** with the support of the UMDf (Figure 11): Antananarivo (Madagascar); Bizerte (Tunisia); Conakry (Guinea); Dodoma (Tanzania); and Libreville (Gabon). The purpose of the

pilot phase was to test the approach with an initial set of cities, starting with a diagnostic phase that measured city performance through environmental and urban sustainability indicators and baseline assessments on disaster risk and vulnerability. This was followed by a sector and project prioritization process and finally city-level action planning.²⁶ The pilot activities in the 5 cities are summarized in Box 4.

Figure 11. **UMDF Projects (as of July 2022)**



Source: AfDB. 2022. UMDf Overview Presentation. UMDf Methodology Validation Workshop: 5 October 2022, Abidjan, Cote d'Ivoire.

²⁵ IADB. 2022. Emerging and Sustainable Cities Program. Website: <https://www.iadb.org/en/urban-development-and-housing/emerging-and-sustainable-cities-program>

²⁶ AfDB. 2022. Urban and Municipal Development Fund Interim Report 2022. Abidjan.

Box 4. Activity Summary for AfDB ACP Pilot Cities

ANTANANARIVO

Context: Antananarivo is the capital city of Madagascar with a population of 2 million people. The city faces challenges such as unaffordable housing, debilitated infrastructure, poorly developed transport networks, and vulnerability to drought, flooding, cyclones and landslides.

- **Diagnostic Study:** Identified the need to align investment along 3 pillars of productivity, livability and sustainability.
- **Prioritization:** Strategic priorities were focused on improving urban mobility and public transport accessibility, polycentric development and optimizing land use.
- **Action Plan:** Featured transport infrastructure projects such as expansion of rail network, design of bus rapid transit (BRT) network, transit-oriented development (TOD) and development of an operational traffic plan.



BIZERTE

Context: A Tunisian city of cultural and historical heritage facing issues such as urban sprawl, traffic congestion, poor air quality, lack of employment, and vulnerability to flooding.

- **Diagnostic Study:** Identified the need for investment in low-carbon transport, conservation of heritage sites, and climate-resilient infrastructure.
- **Prioritization:** Strategic priorities were enhancing climate resilience, improving urban service access and provision through digital tools, and accelerating economic growth.
- **Action Plan:** Featured smart cities projects, integrated urban resilience strategy, a city expansion program, and diversification of the energy systems through integration of renewable sources.

CONAKRY

Context: Capital city of Guinea with a population of 1.9 million. The city faces issues such as lack of quality or affordable housing, poor access to water, sanitation and electricity, and vulnerability to heavy rains, flooding and heatwaves.

- **Diagnostic Study:** Identified the need for investment in social infrastructure such as education and health, as well as urban planning and governance.
- **Prioritization:** Strategic priorities were focused improving the safety, health and connectivity of Conakry through integrated social, economic and environmental projects.
- **Action Plan:** Featured improvement of educational and health facilities, public and open space development, urban road construction and rehabilitation, afforestation and improved sanitation and solid waste management.



DODOMA

Context: Capital city of Tanzania facing huge population growth, uneven development, lack of access to urban services and infrastructure, and vulnerability to drought and deforestation.

- **Diagnostic Study:** Identified the need for investment in solid waste management, health and education, transport infrastructure, and general urban planning and governance.
- **Prioritization:** Strategic priorities were focused on improving city productivity, competitiveness, smartness, livability, and resilience.
- **Action Plan:** Featured projects on formalizing and digitizing waste collection, flood mitigation measures, diversifying energy sources, improving water supply, and designing a bus rapid transport (BRT) and active travel plan.



LIBREVILLE

Context: Capital city of Gabon, with nearly 860,000 people facing issues with high urbanization and urban sprawl, poor land use planning, poor water and sanitation infrastructure and vulnerability to flooding and landslides.


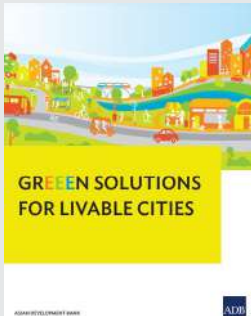
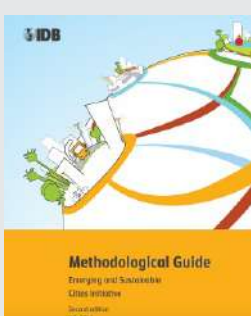
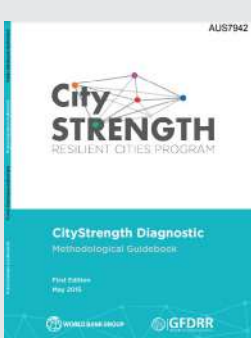
- **Diagnostic Study:** Identified the need for investment in land-use management, waste management, urban mobility and climate and disaster resilience
- **Prioritization:** Strategic priorities were focused on rehabilitation of green spaces, flood and landslide mitigation, public space development and transport infrastructure development
- **Action Plan:** Featured projects such as the digital maintenance of green infrastructure, development of community spaces for youth, construction of public transport stations, hubs and networks, and education for participatory urban governance

Source: AfDB UMDf City Diagnostic and Action Plan studies from each pilot city; photos from Adobe Stock.

The ACP's pilot phase provides **valuable lessons learned** that inform the scaling up of activities and underpin the revised Methodology presented in this document. This revision process was also informed

by good practice from other methodologies and guidance notes in the field of integrated urban development (Table 2).

Table 2. **Example Methodologies and Guidance Notes on Integrated Urban Development**

| | |
|---|---|
|  | <p>Green City Action Plan (European Bank for Reconstruction and Development, EBRD) https://www.ebrdgreencities.com</p> <p>ADB’s integrated urban development approach has been informed by different methodologies on environmentally sustainable, equitable, and economically prosperous cities, as captured in the 3 Es of “GrEEEn Solutions for Livable Cities”. The strategic guidance provides practical ways on how urban managers, development practitioners, businesses, and citizens can engage to make cities more livable by building on the city’s unique physical, social, cultural, economic, and human resource assets.</p> |
|  | <p>Green Cities Initiative (Asian Development Bank, ADB) https://www.adb.org/green-cities/</p> <p>ADB’s integrated urban development approach has been informed by different methodologies on environmentally sustainable, equitable, and economically prosperous cities, as captured in the 3 Es of “GrEEEn Solutions for Livable Cities”. The strategic guidance provides practical ways on how urban managers, development practitioners, businesses, and citizens can engage to make cities more livable by building on the city’s unique physical, social, cultural, economic, and human resource assets.</p> |
|  | <p>Emerging and Sustainable Cities Program (Inter-American Development Bank, IADB) https://www.iadb.org/en/urban-development-and-housing/emerging-and-sustainable-cities-program</p> <p>The Emerging and Sustainable Cities Initiative (later Program) methodology is based on the premise that urban development strategies that are well-planned, integrated, and cross-sectoral, can ensure improvements in the quality of life for citizens and help materialize a more sustainable, resilient, and inclusive future for emerging cities in the region. The program has been working on strengthening the methodology by including topics related to local economic development, competitiveness and productive employment creation.</p> |
|  | <p>CityStrength Diagnostic (World Bank) https://www.worldbank.org/en/topic/urbandevelopment/brief/citystrength</p> <p>CityStrength is a diagnostic that aims to help cities enhance their resilience by facilitating a dialogue among stakeholders about urban risks, the performance of urban systems, and resilience measures. The diagnostic takes a holistic and integrated approach and encourages collaboration between sectors to more efficiently tackle issues and unlock opportunities within the city. CityStrength is flexible and can adapt to different needs of cities, regardless of size, institutional capacity, or phase of development.</p> |

Source: See hyperlink of each methodology shown in the table.

The main lessons learned from the ACP Pilot Phase can be summarized as follows:

- **City Engagement:** The Cities Program has obtained good experience in engaging and understanding new clients and stakeholders at the city level across various RMCs.
- **Integrated Urban Development:** At the local level, investment needs and priorities are often integrated and multi-sectoral, supporting wider economic or social development objectives.
- **Urban development gaining traction:** The Cities Program and city development initiatives quickly become visible at both city and national levels and lead to increasing interest and demand for support.
- **Comprehensive process:** It is worthwhile to invest time to understand various city needs and support different investment streams, planning efforts, municipal finance and capacity development.
- **Participatory urban planning:** Meaningful stakeholder engagement is critical across a wide range of actors, including private sector, civil society, academia, as well as vulnerable and marginalized groups.
- **Data and Benchmarking:** The pilot phase underscored the importance of understanding available data and computing meaningful indicators to inform the diagnostic and related benchmarking.
- **Harmonized Methodology:** Action planning activities require equal weighting, allocating a similar amount of time, effort, and resources to diagnostics and action development.
- **Action to implementation:** Action plans are more robust when they come with a select set of feasible actions, from which key priorities can be taken forward as investment projects for which possible implementation modalities and financing approaches have been scoped.

Based on these lessons, the following chapter illustrates how the AfDB Cities Program Methodology has evolved since the ACP Pilot Phase.



A view of Bizerte





African Cities Program Methodology

Summary

The African Cities Program (ACP) is AfDB's flagship urban program through which the Bank engages early and comprehensively with cities. The program provides in-depth support under all four UMDF outcome areas through a **formal programmatic approach** (Table 3). The ACP will prepare City Action Plans in all participating cities, in order to assess a city's current development status, analyze key challenges including climate risk vulnerabilities, identify and undertake initial prioritization and estimation on 3-5 key projects, and develop an actionable plan for implementation.

At least one of the key projects will be supported by the **Project Preparation Facility** (PPF) to mature the bankability and pass the project on to AfDB loan processing or other prospective sources of investment finance. Based on the needs in the Action Plan, cities will also benefit from **planning, governance, and capacity development support**, aiding the investment-oriented action planning toward measurable results. Following this integrated approach in selected UMDF partner cities combining action planning, governance and capacity support, preparing concrete investments for resilient infrastructure and essential services assures **transformative impact in African Cities**.

Implementing the integrated approach of the ACP over the next 5 years, the UMDF **will support 35-40 reform and investment-minded cities** across the African continent. African urbanization trends show accelerated growth in large and intermediate cities, and, therefore, under the ACP the UMDF will select **cities of all sizes**, assuring a balance between capitals, metropolises, intermediary, as well as smaller cities across Africa.

As this is the first structured programmatic approach by AfDB to work with such a large number of cities, this approach allows for gaining comprehensive experience in how to better plan, govern, and invest at the subnational level, and

calibrate the Bank's instruments, tools, and methodologies to better respond to the growing demands from RMCs. Preference will be given to cities that do not yet have long-standing and comprehensive support from other development partners, **actively expanding the reach of urban development impacts to a new group of emerging cities** across Africa.

In addition to explicit demand by local and national governments for participation in the ACP, **selection criteria** include: (i) a diverse set of climate vulnerabilities that need urgent attention, (ii) a rapidly growing population, (iii) significant urban services delivery deficit, (iv) opportunities for measurable capacity and governance improvements, and (v) other identified development deficiencies, specifically fragility contexts and/or a large informal sector. In order to assure the seamless integration of UMDF-driven upstream support to those cities with Bank financing, in the next 5 years, the ACP will focus on ADB or ADF eligible countries, and coordinate with like-minded city programs of other multilateral development banks (such as the World Bank, European Bank for Reconstruction and Development, and European Investment Bank) to avoid duplication and achieve synergies.

Against this background, the ACP Methodology features **four phases** (Table 3): (i) Initiation, (ii) Action Planning, (iii) Investment Preparation, and (iv) Investment. **This guide focuses on the first three phases**, while the fourth phase is guided by already established AfDB protocols and processes. Within each of the phases are **key stages** with a **series of steps** (activities) to guide users through concise activities to move from analysis to the identification of impactful urban interventions through physical investments and institutional capacity improvements – each stage concludes with a distinct output. Individual city assignment will come with their own **language requirements** and provision/adjustments need to be made to the process and its **outputs** to ensure an effective delivery²⁷. The implementation of all

²⁷ The individual phases and stages of this Methodology do not individually refer to the various interpretation and translation needs that may be required for stakeholder engagement and written deliverables. They are, however, critical for a successful process and need to be planned for in each individual city assignment.

the steps across the phases of this Methodology will slightly differ from city to city and is also dependent on other aspects that may influence implementation progress (e.g. political elections; procurement of external support; adverse weather conditions; COVID-19, etc.).

The initial phase “**Initiation**” features 2 stages over approximately 6 months: (i) preliminary engagement (with an Aide Memoire signed), and (ii) Preparatory Activities (with a Planning Brief prepared and experts mobilized). In this phase cities are identified and selected to participate in AfDB’s ACP. It is an important phase for identifying key stakeholders, establishing the decision-making process, and building the team to undertake the next stages of the City Action Planning. A key finding from the ACP Pilot Phase was that cities with consistent political buy-in yield more robust action plans and potential bankable projects. This phase is important to take stock of the existing data and reports that have been prepared to avoid duplication of efforts and identify any critical information gaps. This initiation phase should provide insights on what additional resources and expertise is required to undertake the City Action Plan activities and often involves the development of city-specific TOR to engage external service providers, such as individual experts or consultant teams, based on the general TOR developed for this Methodology.




The second phase “**City Action Planning**” is split into three stages over nearly 12 months: (i) rapid city profiling (with a City Profiling Report prepared), (ii) strategizing and prioritizing (with vision, objectives, and prioritized actions confirmed), and (iii) action planning (with an Action Plan and Project Sheets developed). This phase forms a key part of the AfDB’s support to governments in arriving at a concise assessment and plan that can support future investments into low-carbon and climate-resilient infrastructure and accompanying institutional capacity

improvements. Notwithstanding individual differences of how the various steps in this phase would be executed in different cities, at the end of the process key interventions should have been prioritized that a city government can take forward, for instance in partnership with the national government, AfDB, the private sector, and other development partners.

The third phase “**Investment Preparation**” consists of two steps, which will vary in length and typically spread across more than 1 year: (i) moving actions to project preparation (with Project Preparation Studies conducted), and (ii) monitoring progress and strengthening capacities (with regular progress monitoring updates provided). This phase will seek to commission and undertake additional studies (e.g. feasibility studies, draft engineering designs, environmental and social impact assessments) to guide cities to move projects from the ideas stage into more concrete plans, designs, and financing (Box 5). The same applies to interventions beyond physical infrastructure projects, e.g. institutional capacity measures or policy reforms, which can be further mapped out in this phase and accompany specific infrastructure investments. In order to track and monitor progress of actions and to steer activities in the right direction, this phase looks at the establishment of a monitoring system. Embedded in the AfDB capacity development efforts, this phase also includes activities around training and knowledge sharing.

The fourth phase of the ACP “**Investment**” comprises the actual financing and implementation of the actions that have been developed in a City’s Action Plan and passed through the Investment Preparation phase. This phase – where supported by the AfDB – would follow established Bank protocols and includes all the necessary institutional processes that AfDB undertakes in its infrastructure investment activities.

Table 3. African Cities Program Phases, Stages, Steps, and Outputs (Gantt Chart)

| PHASES | STAGES | STEPS | ESTIMATED DURATION IN MONTHS (VARIES FROM CITY TO CITY) | | | | | | | | | | | | | | | | | | OUTPUTS | |
|--|---|--|---|---|---|---|---|---|---|---|---|----|----|----|----|----|----|----|----|-----|---|---|
| | | | 1 | 2 | 3 | 4 | 5 | 6 | 7 | 8 | 9 | 10 | 11 | 12 | 13 | 14 | 15 | 16 | 17 | 18+ | | |
|  1. Initiation Phase | 1.1. Preliminary Engagement | 1.1.A. Soliciting Letter of Request from Potential Program Cities | X | | | | | | | | | | | | | | | | | | Aide Memoire Planning Brief and Experts Mobilization | |
| | | 1.1.B. Reviewing Requests, Selecting Cities, and Agreeing Technical Assistance Support | | X | X | | | | | | | | | | | | | | | | | |
| | | 1.1.C. Devising Implementation Arrangements | | | X | | | | | | | | | | | | | | | | | |
| | 1.2. Preparatory Activities | 1.2.A. Preparing Planning Brief with Key City Information | | | | X | | | | | | | | | | | | | | | | |
| | | 1.2.B. Developing Engagement Plan with Stakeholder List | | | | X | | | | | | | | | | | | | | | | |
| | | 1.2.C. Confirming AfDB and City Government Capacities to Identify External Support Needs | | | | X | | | | | | | | | | | | | | | | |
| 1.2.D. Procuring and Mobilizing External Support | | | | | | X | X | | | | | | | | | | | | | | | |
| 1.2.E. Hosting Launch Event with News Release | | | | | | X | | | | | | | | | | | | | | | | |
|  2. Action Planning Phase | 2.1. Rapid City Profiling | 2.1.A. Collecting Data and Information | | | | | | | | X | X | X | | | | | | | | | City Profiling Report | |
| | | 2.1.B. Conducting City Visit with City Profiling Workshop | | | | | | | | | | X | | | | | | | | | | |
| | | 2.1.C. Preparing City Assessments | | | | | | | | | X | X | X | | | | | | | | | |
| | | 2.1.D. Compiling City Profiling Report | | | | | | | | | | X | | | | | | | | | | |
| | 2.2. Strategizing and Prioritizing | 2.2.A. Confirming Strategic Development Direction with Vision and Objectives | | | | | | | | | | | X | | | | | | | | | Vision, Objectives, Prioritized Actions |
| | | 2.2.B. Scoping and Prioritizing Actions with Action Planning Workshop | | | | | | | | | | | X | X | | | | | | | | |
| | 2.3. Action Plan Development | 2.3.A. Mapping Out Prioritized Actions with General Information | | | | | | | | | | | | X | X | | | | | | | Action Plan with Project Sheets |
| | | 2.3.B. Developing Project Sheets for Top 3-5 Prioritized Actions | | | | | | | | | | | | | X | X | | | | | | |
| | | 2.3.C. Devising Action Plan Implementation Mechanisms | | | | | | | | | | | | | | X | X | | | | | |
| | | 2.3.D. Compiling, Validating and Launching Action Plan | | | | | | | | | | | | | | | X | X | X | | | |
|  3. Investment Preparation Phase | 3.1. Moving Actions to Project Preparation | 3.1.A. Confirming Selected Investments and Approaching Partners | | | | | | | | | | | | | | | | | | X | Project Preparation Studies, Project Concept Note | |
| | | 3.1.B. Conducting Necessary Project Preparation Studies and Assessments | | | | | | | | | | | | | | | | | | | | X |
| | | 3.1.C. Moving Projects towards Financing and Implementation | | | | | | | | | | | | | | | | | | | | X |
| | 3.2. Monitoring Progress and Strengthening Capacities | 3.1.A. Monitoring Action Plan Implementation Progress | | | | | | | | | | | | | | | | | | | X | Progress Monitoring Updates, Implementation Progress and Results Report |
| | | 3.1.B. Conducting Capacity Development and Knowledge Sharing Activities | | | | | | | | | | | | | | | | | | | X | |

Source: AECOM, 2022.

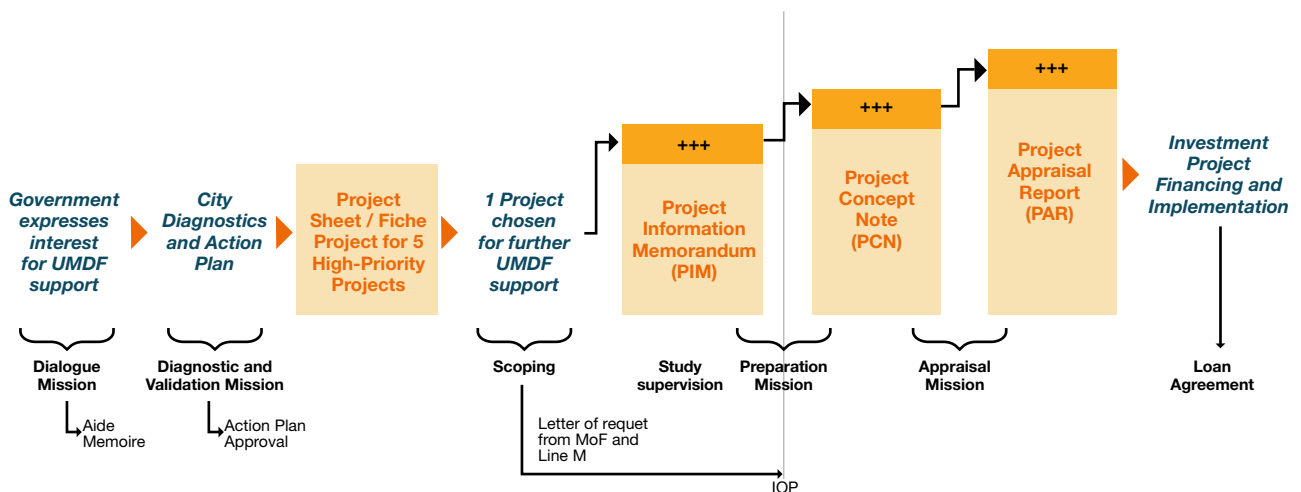
Box 5. African Cities Program Progressive Build-Up from Early Dialogue to Project Financing

The activities proposed under the AfDB African Cities Program (ACP) Methodology have a dual objective: (i) they are strengthening the capacity of involved actors to conduct city diagnostics and action planning in a concise manner; and (ii) they are providing an efficient avenue for AfDB engagement with RMCs (national and subnational governments) from early dialogue through to project financing (as illustrated below).

The Action Plan of each city participating in the AfDB ACP will produce project sheets for 5 high-priority projects. From among those, AfDB with UMDf financial support would take 1 project forward to develop further. Building up on this project's developed project sheet, AfDB and the government will further investigate relevant aspects of the project, as well as procure external support e.g. for feasibility studies, environmental and social impact

assessments, etc. Since the Project Sheet Template has been modelled after the standard project finance forms that AfDB uses in its operations, ensuing studies provide additional information that can be added to the Project Sheet to develop it into, first, a Project Information Memorandum (PIM), and then – with more studies having been conducted – into a Project Concept Note. Following an Appraisal Mission and preparation of a loan agreement for this investment project, all obtained information is then incorporated into the Project Appraisal Report for AfDB Board Approval consideration.

The streamlined structure of the templates is intended to make this process more efficient, allowing each step and form/template to build up on the previous steps and form/template.



Source: AECOM, 2022. AfDB to further amend this infographic.

The following sections will present all the steps under the 3 phases, following the same order: Each step is introduced through a **short summary followed by an Implementation Guidance template** (Figure 12) that describes in detail: (i) purpose of the step; (ii) role responsibilities of involved actors; (iii) outputs/outcomes from this step; (iv) resource requirements in relation to time, financial, human, technical, and/or material resources; (v) key considerations (i.e. tips); (vi)





tasks (detailed step-by-step explanation of how to execute the activities) – accompanied by templates where applicable; (vii) examples/case studies/references box (where applicable). Readers who do not need the detailed implementation guidance for each step can jump over those sections and only refer to the short introductory summaries to quickly grasp what each step is about.

Figure 12. Implementation Guidance Template for Methodology Step Descriptions

IMPLEMENTATION GUIDANCE

Purpose: ...

Role Responsibilities:

| | | |
|---|---------------------------|-----|
|  | AfDB | ... |
|  | City Government | ... |
|  | Consultant | ... |
|  | Other Stakeholders | ... |

Outputs/Outcomes:

✓

Resource Requirements:

| Resource Types | Requirements |
|---------------------|--------------|
| Time Resources | ... |
| Financial Resources | ... |
| Human Resources | ... |
| Technical Resources | ... |
| Material Resources | ... |

Key Considerations:

...

Tasks:

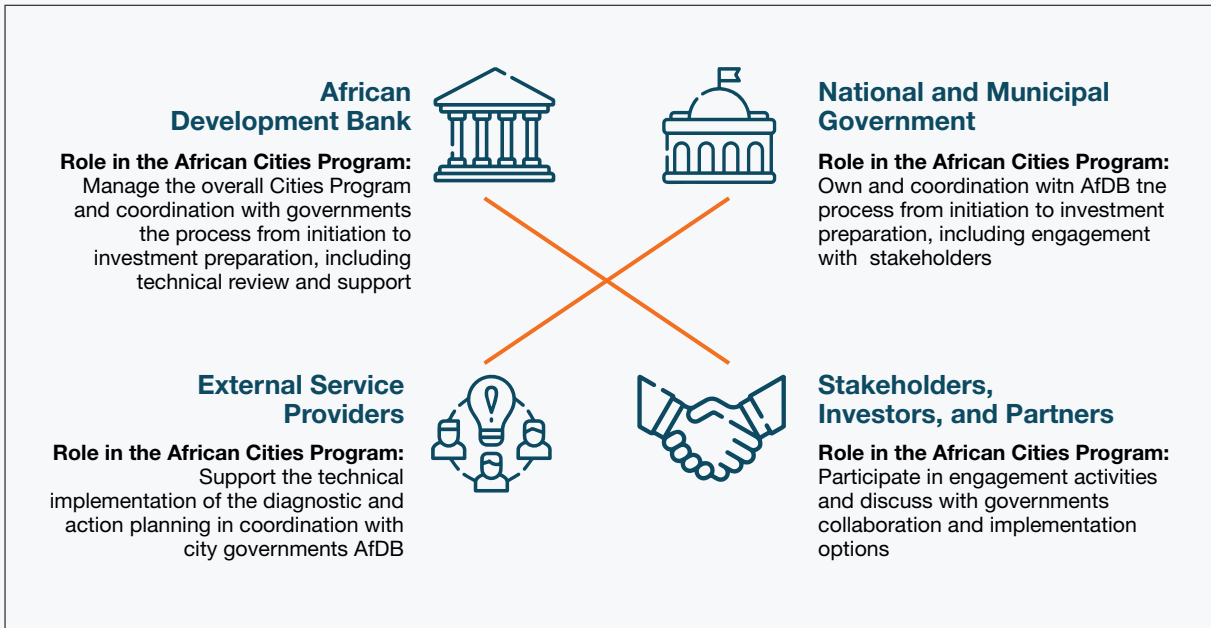
1. Activity: ...
2. Activity: ...
3. Activity: ...
4. ...

Templates/Case Studies

Although the individual responsibilities of different actors are further detailed for each step in the below sections, it is important to clarify the overarching **roles of the 4 key ‘user’ groups** and their involvement in the AfDB ACP as

illustrated in Figure 13. It is important that all key stakeholders are familiar with the process, but the more detailed descriptions may be most relevant to those implementing the specific tasks.

Figure 13. **Actors’ Involvement in the African Cities Program**



Source: AECOM, 2022.

It is important to note that the **Methodology** can be **applied by different users and through different approaches**: It may be implemented with the support of a consulting firm with international and local specialists. It could be supported by individual consultants, international and/or local. The Methodology may also be implemented by AfDB staff in HQ and/or country office, with select support by individual consultants for specific activities or

deliverables. It is also foreseeable that AfDB staff independently implement the Methodology in collaboration with the respective city governments. Other implementation modalities could see capacitated city governments leading the process, or non-government organizations and other international development partners (e.g. from the UN) supporting the application of the Methodology.


1. Initiation Phase

The **first phase of AfDB’s engagement** with cities is the **Initiation Phase**. It entails **2 stages** (Figure 14): (i) **preliminary engagement**, and (ii) **preparatory activities**. Both stages form the critical foundation for an effective engagement of relevant stakeholders throughout the whole process. The city establishes the institutional arrangements and a decision-making process to support the ensuing Action Planning phase. It is important that the city identifies key stakeholders and undertakes a preliminary assessment of policies, regulations,

laws, and ongoing initiatives/projects that could be relevant to the assignment and make it as outcome driven as possible.

Activities under this first phase are **primarily driven by the city and national governments in collaboration with the AfDB**. It is estimated that the various steps could be implemented over approximately 6 months or faster, depending on the participating government’s readiness and prior AfDB engagement.

Figure 14. African Cities Program Initiation Phase Overview





| PHASES | STAGES | STEPS | OUTPUTS |
|---|-----------------------------|--|--|
|  1. Initiation Phase | 1.1. Preliminary Engagement | 1.1.A. Soliciting Letter of Request from Potential Program Cities | Aide Memoire |
| | | 1.1.B. Reviewing Requests, Selecting Cities, and Agreeing Technical Assistance Support | |
| | | 1.1.C. Devising Implementation Arrangements | |
| | 1.2. Preparatory Activities | 1.2.A. Preparing Planning Brief with Key City Information | Planning Brief and Experts Mobilization |
| | | 1.2.B. Developing Engagement Plan with Stakeholder List | |
| 1.2.C. Confirming AfDB and City Government Capacities to Identify External Support Needs | | | |
| 1.2.D. Procuring and Mobilizing External Support | | | |
| 1.2.E. Hosting Launch Event with News Release | | | |

1.1 Preliminary Engagement

| 1. Initiation Phase | | 2. Action Planning Phase | | | 3. Investment Preparation Phase | |
|---|------------------------------------|---------------------------|------------------------------------|------------------------------|--|---|
|  1.1. Preliminary Engagement | 1.2. Preparatory Activities | 2.1. Rapid City Profiling | 2.2. Strategizing and Prioritizing | 2.3. Action Plan Development | 3.1. Moving Actions to Project Preparation | 3.2. Monitoring Progress and Strengthening Capacities |

The **Preliminary Engagement** Stage under the Initiation Phase includes **3 steps**: (i) Soliciting Letter of Request (LOR) from Potential Program Cities; (ii) Reviewing LORs, Selecting Cities, and Agreeing Technical Assistance Support; and (iii)

Devising Implementation Arrangements, which are detailed in the following sections. The orange box below summarizes the objectives and outputs from this stage.

| Objectives | Outputs |
|--|---|
| <ul style="list-style-type: none"> Identify diverse range of cities that can best benefit from AfDB Cities Program support Initiate engagement process to set up intervention for an effective implementation Agree on a decision-making and approval process with related implementation structure | <div style="display: flex; flex-wrap: wrap;"> <div style="width: 50%;">  <p>Clear governance process and structure confirmed for implementation of the technical assistance</p> </div> <div style="width: 50%;">  <p>Aide Memoire on the technical assistance signed</p> </div> <div style="width: 50%;">  <p>City Focal Point appointed</p> </div> <div style="width: 50%;">  <p>Initial stakeholder list prepared</p> </div> </div> |

Source: AECOM, 2022.

Step 1.1.A. Soliciting Expression of Interest from Potential Program Cities

The ACP provides **support to “reform and investment-minded” cities**. Although the support would typically be provided to city governments, there may also be cases where private sector entities promoting integrated urban development activities within the city may receive support through the program. The specific support may be city-wide, target a specific district (e.g. in larger metropolitan urban settlements), a metropolitan area, a cluster of cities or cover several smaller urban areas (e.g. along an urban corridor).

As part of the ACP information sharing activities and regular AfDB-government engagement in the RMCs, more and more city governments become aware of the opportunities of the ACP. There are **different avenues for cities to join the ACP** and benefit from its support services (including technical assistance towards the preparation of impactful physical investments and institutional improvements), including the following:





- ✓ **City Initiative:** A city government expresses its interest to the AfDB (supported by the endorsement of a relevant national government ministry, e.g. Ministry of Finance or Ministry of Urban Development).
- ✓ **National Government Initiative:** A national government ministry expresses its request for support for a city or a group of cities to the AfDB (supported by the confirmation from the relevant city government(s)).
- ✓ **Project-Linked Initiative:** The support to a city is agreed and made part of an AfDB lending project (ongoing or planned) in the corresponding country.

For all avenues, the government has to send a formal **Letter of Request (LOR)** to the AfDB – typically to the relevant Country Manager – with a brief description of the type of support requested.

IMPLEMENTATION GUIDANCE

Purpose: Preparation of a Letter of Request (LOR) to the AfDB to join the African Cities Program

Role Responsibilities:

| | | |
|---|---------------------------|---|
|  | AfDB | Review the LOR and to endorse for support, or provide further clarifications. |
|  | City Government | Prepare a LOR document requesting support from the ACP and liaise with national government to ensure endorsement. |
|  | Consultant | N/A |
|  | Other Stakeholders | National government ministry to endorse a city's LOR or prepare the LOR and obtain a city's confirmation to partake in the program. |

Outputs/Outcomes:

- ✓ **A Letter of Request (LOR)** from the (city / national) government to the AfDB, which clearly outlines: (i) the request and nature of the support required; (ii) the reason why support is being requested; (iii) confirmation of the buy-in from relevant senior decision-makers at national and subnational / city level; (iv) confirmation on the proposed focal points in government to coordinate with AfDB; (v) further information on how the requested support aligns with ongoing activities and/or a broader strategy of the government.

Resource Requirements:

| Resource Types | Requirements |
|----------------------------|---|
| Time Resources | Preparation of LOR – 2 weeks Endorsement and submission of LOR – 2 weeks |
| Financial Resources | None |
| Human Resources | Availability of staff to prepare the LOR and senior decision-makers to endorse / sign the LOR |
| Technical Resources | Ideally, existing strategy or plan under which the requested support would sit |
| Material Resources | None |

Key Considerations:

Consider the different stakeholders from the public sector, private sector, and civil society organizations as early in the process as possible, as many of them will be critical to the effective implementation of the AfDB support activities and later implementation of actions.

Consider relevant national government ministry that needs to be involved in this process and clarify what their role in the process could be.

Consider if a masterplan or other type of strategy is in place that can provide overall guidance under which the support would sit.

Compare the government's strategic direction, the city's urban development challenges, and their alignment / synergy with AfDB's SUDAP.²⁸

Discuss proactively at city and national government level the intention for the EOI towards the AfDB Cities Program.

Seek guidance from the AfDB country team or UMD Secretariat about the Cities Program

²⁸ AfDB. Forthcoming. SUDAP. Abidjan.

Tasks:

1. **Decision:** The mayor of the city is to engage with the city’s executive committee, city council, or similar to agree in principle to request support from the ACP.

2. **Conclusion:** The city government to conclude which of the support avenues is applicable: (i) city initiative; (ii) national government initiative; or (iii) project-linked initiative.

3. **Reflect:** The city government to check existing urban analysis, development strategies, or similar plans to inform the formulation of the LOR.

4. **Analysis:** The city government to outline the key development challenges and capacity gaps, including key sectors that are to be addressed as part of diagnostic and action plan, and to link these to the type of support it requests from the AfDB.

5. **Draft:** The city government to draft the LOR and obtain internal review before forwarding it for approval and endorsement. The LOR should follow the template provided in Table 4.

6. **Approval:** The mayor to approve and sign the LOR.

7. **Endorsement:** The city government to seek a no objection or other form of endorsement from the applicable national government ministry, to be attached to the LOR.

8. **Submission:** The city government to submit the approved and endorsed LOR to the Ministry of Finance for it to review and submit to the AfDB Country Manager for review ([next Step 1.1.B](#)).

Note: *If the process is led by the national government, then the above tasks would be implemented by a national government ministry, and the endorsement/no objection would be sought from the city government.*

Table 4. **Template: Key Elements of a African Cities Program Letter of Request**

| ELEMENTS | EXPLANATION |
|--|---|
| Submission Information | [Include full name of government, address, contact person name, email, and telephone number for any clarification questions and further correspondence] |
| Key Urban Development Challenges | [Summarize key urban development challenges that relate to the support request] |
| Existing Strategies and Plans | [Summarize key existing strategies and plans that underpin the support request – see Box 6] |
| Ongoing or Planned Activities | [Note any ongoing or planned activities that could have synergize or overlap with the requested support – see Box 7] |
| Stakeholders to Be Involved | [List out key stakeholder groups that should be involved in the support process] |
| Requested Support | [Explain what kind of support is requested from the AfDB] |
| Proposed Implementation Structure | [Confirm how the support would be implemented at the national and city level and who is designated as focal point for further coordination with AfDB] |
| Confirmation of Government Buy-In | [Clarify that the necessary engagement and buy-in has been obtained at national and city level; attach no-objection or other endorsement letter to the LOR] |
| Executive Approval and Signature | [Include full name of executive approver of this LOR, with signature and date, and stamp (if applicable)] |

Source: AECOM, 2022.

Box 6. Project Ideas as a Guiding Star

A city diagnostic and action plan are meant to narrow down a city's key development challenges to identify the most impactful interventions. Nevertheless, many city governments often have an idea of which investments are critically needed in their city even before a more detailed assessment is conducted. Therefore, including existing ideas on possible projects in the Letter of Request can help to gauge other stakeholders' interest in the process. Project ideas or plans can also function as a guiding star that illustrate the ambitions of a city governments towards a brighter future.

Source: AECOM, 2022.

Box 7. Donor Coordination Committees Helping to Improve Targeted Support

Some national and sub-national governments (e.g. in Uganda) are using Donor Coordination Committees or similar formalized platforms to enable a more effective targeting of donor support towards the most impactful areas. Such committees usually bring together the main multi- and bi-lateral organizations, as well as other development actors (e.g. philanthropic organizations) to exchange information on ongoing and planned activities. Regular meetings allow host governments to provide updates on policy changes and government priorities, as well as to outline where and what form of support is most needed in different areas. Committees can also be used to more effectively channel specific funds, e.g. with regard to climate finance or disaster response, and help increase synergies between different donor activities.

Source: AECOM, 2022.

Step 1.1.B. Reviewing Letters of Request, Selecting Cities, and Agreeing Technical Assistance Support

Once the request in the form of a LOR has been received by the AfDB from the government, AfDB operational staff together with the UMD Secretariat undertake an **internal review process** against the following **criteria**:

- i. Explicit demand by local and national governments for participation in the Program
- ii. Diverse set of climate vulnerabilities that need urgent attention
- iii. Rapidly growing population
- iv. Significant urban services delivery deficit
- v. Opportunities for measurable capacity and governance improvements
- vi. Other identified development deficiencies, specifically fragility contexts and/or a large informal sector

Alongside those criteria, AfDB in its review will ensure that the intended support to a city aligns well with AfDB strategy and operations in the country – reflecting upon AfDB Country Strategy Papers, Regional Integration Strategy Papers.





As part of this process, AfDB will engage in further dialogue with the government to confirm relevant information that can inform the LOR review through virtual call. This is to be accompanied by a city visit or a **“dialogue mission”**.

If the outcome of the review is positive, the AfDB focal point prepares a **draft aide memoire** that outlines what the AfDB ACP support in the form of a technical assistance would entail and what commitments the government has to make. This will then be discussed between AfDB, the city government, and its national government focus ministry (e.g. Ministry of Finance or Ministry of Local Governments).

IMPLEMENTATION GUIDANCE

Purpose: Review by AfDB of submitted LORs against established criteria to decide on which cities to best support. Preparation of an Aide Memoire that clearly establishes expectations and roles of involved parties.

Role Responsibilities:

| | | |
|---|---------------------------|--|
|  | AfDB | Undertake the internal review of the submitted LOR, request additional information from the government where required, and conduct dialogue mission where applicable. Draft and discuss with government Aide Memoire. Support request to be considered and reviewed by UMDF Oversight Committee if deemed necessary. |
|  | City Government | Respond to clarification questions / information requests from AfDB and partake in draft Aide Memoire discussions, and dialogue mission where applicable. |
|  | Consultant | N/A |
|  | Other Stakeholders | National government ministry to respond to clarification questions / information requests from AfDB and partake in draft Aide Memoire discussions, and dialogue mission where applicable. |

Outputs/Outcomes:

- ✓ **A Selection of cities** best suited for ACP support following their LOR submission and review.
- ✓ **Dialogue mission** conducted to visit city and hold high-level and technical meetings with relevant actors.
- ✓ **Draft Aide Memoire prepared**, outlining (i) information on the involved parties; (ii) background of the ACP; (iii) recap of the process taken; (iv) explanation of the intended support outcomes; (v) description of the support activities and key timelines/milestones; (vi) confirmation of roles and responsibilities; (vii) clarification of resources; (viii) reiteration of commitment; (ix) executive approvals and signatures; (x) relevant attachments.

Resource Requirements:

| Resource Types | Requirements |
|----------------------------|--|
| Time Resources | Review of LOR – 2 weeks Preparation of draft Aide Memoire – 2 weeks Discussion of draft Aide Memoire, clarification questions, dialogue mission – 3 weeks |
| Financial Resources | Funds for AfDB travel for dialogue mission. |
| Human Resources | AfDB staff to review LOR and draft Aide Memoire, and join dialogue mission Government staff to respond to clarification questions and facilitate dialogue mission |
| Technical Resources | None |
| Material Resources | To conduct travel for dialogue mission (e.g. car) |

Key Considerations:

Check if there are any governance contexts in which the support activities would need to be approached differently.

Consider how a dialogue mission could be used to answer clarification questions and prepare later implementation of the support activities.

Tasks:

1. **Review and Evaluation:** Having confirmed receipt of the LOR, the AfDB will commence its internal review process. The review will be led by the UMDF secretariat and will include AfDB sector specialists. During the review, request for additional information or clarifications may be directed to the government's assigned focal person.

2. Information Request: In the instance where an LOR has insufficient information or other questions need to be clarified, AfDB may decide to undertake a dialogue mission to visit the city to better inform the review of the LOR and later drafting of the Aide Memoire. Similarly, virtual engagement can be used to exchange relevant information between city government and AfDB.

3. Dialogue Mission: AfDB staff to conduct a dialogue mission to visit the city, meet with national and city government counterparts, clarify remaining questions, and discuss elements that will inform the drafting of an Aide Memoire, if a city is to be taken forward for African Cities Program support. The visit will be organized by AfDB in coordination with the national and city governments and include a series of high-level meetings, technical meetings, and relevant site visits to confirm e.g. the development challenges identified in the LOR. The AfDB will prepare an aide memoire that will capture the findings, commitments and agreements made during the mission. The Aide Memoire will be shared during the closing meeting of the mission that will be signed by the Minister of Finance or equivalent national counterpart.

Note: *The dialogue mission may also be conducted following the drafting of an Aide Memoire.*

4. Decision: Where a LOR is evaluated to match ACP support objectives, the city should be put forward for UMDf support (with additional approval by UMDf's Oversight Committee if deemed necessary).

5. Draft and Review: AfDB to draft Aide Memoire which outlines nature of the ACP support activities, as well as roles and responsibilities of the involved parties. Once reviewed internally, the draft Aide Memoire should be provided to the government through the AfDB Country Office for national and city government to review and confirm understanding of the key points.

Note: *The implementation of the support activities in the city greatly benefits from a dedicated Focal Point which the Mayor can designate as part of the Aide Memoire (next Step 1.1.C). This Focal Point would need to have a certain minimum competency that should be reviewed by the city government (e.g. experience with similar activities; language skills). The person should also have the necessary time and be sufficiently empowered by the Mayor to effectively coordinate the implementation of the support activities on the side of the government. Those aspects can already be included in the draft Aide Memoire. If appropriate, the city government may choose to share the details of the Focal Point – and their qualifications – with the AfDB for information and advice.*

6. Agreement: Following the review of the draft Aide Memoire by both AfDB and government, a final version shall be produced for agreement/ approval provided by the corresponding AfDB authorized signatory and the government's authorized signatory / signatories (if several). In the instance that the Aide Memoire is signed by other National Government Ministers than the Minister of Finance, this will require the AfDB Executive Director of the city's corresponding country to provide their "no objection" for the support to the city to go ahead. Upon this signing, the city is formally invited to join the ACP.

Step 1.1.C. Devising Implementation Arrangements

Following the signing of the Aide Memoire, the city government needs to set up its **implementation structure** in preparation of the ensuing support activities, including the designation of a focal point, clarifying how to engage with stakeholders, confirming the information and data sharing process, as well as confirming the likely review and approval process.

The Focal Point can be the leading driver of devising and getting confirmed those different processes during this step to **facilitate a more efficient implementation of the preparatory activities** under the ensuing Stage. It is important that the city government’s perspective already at this point moves beyond its own departments





in recognizing the role that national government ministries, other national/subnational agencies, private sector, and civil society can play in the ensuing support activities (e.g. with regard to gender inclusion knowledge, sector-specific data, or alignment of later project priorities with national government strategies).

On the AfDB side, the implementation arrangements should also be confirmed during this step, relating to the ACP, including identification of an Urban Regional Focal Point, Project Task Managers, and Country Focal Point, which could be the Country Manager, Program Officer, or Economist (the three may also share responsibilities across the process).

IMPLEMENTATION GUIDANCE

Purpose: Appointment of City Focal Point and establishment of engagement, information/data sharing, and review/approval processes for the ensuing city Action Planning activities.

Role Responsibilities:

| | | |
|---|---------------------------|---|
|  | AfDB | Confirm country and ACP Focal Points to coordinate implementation with City Focal Point. |
|  | City Government | Mayor to appoint City Focal Point. Focal Point to coordinate establishment/ confirmation of different processes. |
|  | Consultant | N/A |
|  | Other Stakeholders | National government ministry to support city government in more centralized governance systems where the support activities are more driven / dependent on national government. |

Outputs/Outcomes:

- ✓ **City Focal Point** appointed.
- ✓ **Engagement process** clarified.
- ✓ **Information and data sharing process** confirmed.
- ✓ **Review and approval process confirmed** (use of existing city government decision-making structures or setup of dedicated Steering Committee and/or Working Group).
- ✓ **AfDB ACP and Country Focal Points** confirmed.

Resource Requirements:

| Resource Types | Requirements |
|---------------------|--|
| Time Resources | Focal Points appointment – 1 week Processes confirmation – 1 week |
| Financial Resources | None. |
| Human Resources | City Focal Point to have sufficient availability and capability to fulfil the role. AfDB Focal Points to have sufficient availability and capability to fulfil their roles. |
| Technical Resources | None. |
| Material Resources | Optional: Terms of Reference (TOR) for City Focal Point, Steering Committee, and/or Technical Working Group may be useful (see Box 8 for example) |

Key Considerations:

Ensure clearly communicated, written appointment and empowerment of the City Focal Point by the mayor to enable that focal point to be perceived as having authority and importance in coordinating the ensuing support activities.

Extend the perspective on stakeholder engagement beyond just city government departments towards other public sector, private sector, and civil society actors.

Consider information and data ownership and access by different parties when thinking about stakeholder engagement

Confirm that the review and approval process align with legal and regulatory requirements in government to avoid later blockages or reiterations of steps due to non-compliance.

Tasks:

1. **Engagement:** On receipt of the signed Aide Memoire, the mayor holds a meeting with the executive committee, city council, or similar, to share relevant information on the Aide Memoire and planned support activities. This provides an opportunity to already indicate the requirements and inputs needed around information and data sharing, participation in reviews, stakeholder engagement, and later approval.

2. **Appointment:** The mayor appoints (or reconfirms the earlier appointment of) the City Focal Point to coordinate implementation and engagement throughout all stages of the support process.

Note: *As noted under the previous step, the City Focal Point should have capability and availability to fulfil their role in this process. Experience and knowledge in urban infrastructure projects and urban planning practices are an advantage. Likewise, a good understanding of the governance structure and of relevant stakeholders in public sector (national and subnational level), private sector, and civil society is also important. Prior exposure to working with the AfDB or other international development partners is an added value.*

3. **Engagement:** Building up on the LOR that the city government previously prepared, the City Focal Point should reconfirm the relevant stakeholder groups that are to be involved in the later activities. Initial engagement (e.g. via emails or calls) could help to kick-start more regular interactions once the city diagnostics and action planning activities are ongoing.

4. **Confirmation:** The City Focal Point needs to review the previously submitted LOR document and confirm how critical information and data will be accessed during the city diagnostics and action planning. When engaging with stakeholders, the City Focal Point may already explain what inputs may be required during later stages.

5. **Confirmation:** The City Focal Point needs to devise a review and approval process for the outputs (deliverables) of the ensuing action planning activities. This process needs to be checked for its compliance with legal and regulatory requirements of the government.

Note: *The action planning processes can benefit from the establishment of a Steering Committee with senior city department heads and relevant national ministry representatives, as well as the establishment of a Technical Working Group with mid-level experts from both within and outside of government to feed into the production process of deliverables. Further information is provided in Box 8. This is, however, optional and the city government may opt to simply use existing governance structures and groups.*

6. Approval: Following usual government procedures, the confirmed processes for stakeholder engagement, information / data sharing, and review / approval of the support process outputs should be confirmed by the mayor, e.g. through an official approval letter or internal order that clearly sets out those processes as the formally agreed way to implement the support activities (Box 9).

Box 8. Role of City Focal Point, Steering Committee, Technical Working Group, and AfDB Focal Points in City Action Planning Processes

City Focal Point: City Focal Points are key coordinators of city Action Planning processes, organizing the timing and interaction of different city government departments with consultants and AfDB, as well as of other external stakeholders. They provide regular briefings to the Steering Committee, Technical Working Group, and senior decision-makers (e.g. mayor) on the progress of the process and obtain relevant approvals and support to facilitate the implementation of different activities. They function like a ‘project manager’ for the responsibilities of the city government in this process.

Role of a Steering Committee: Steering Committees are advisory bodies that are made up of different municipal government and national government stakeholders and non-state actors that oversee and steer the project development and implementation process. Steering Committees typically consist of senior decision-makers who provide high-level review of the project and final approval of key project deliverables, prior to mayoral / municipal council approval as applicable. In urban diagnostics and action planning, Steering Committees contribute to the diagnosis of city challenges and opportunities, guide and confirm the vision and strategic objective development, participate in the defining and prioritizing actions and confirming the city action plan. Steering Committee members will also play a

key role in accessing and sharing data, coordinating engagement with key stakeholders from government departments, civil society organizations, private sector, and academia, and informing citizens on the progress of the city action plan development (i.e. direct communication, websites, social media, or newsletters).

Role of a Technical Working Group: Technical Working Groups are teams of technical sector experts within a municipal government (and beyond) who will work closely with the Consultant Team throughout the Action Plan Development Stages. The group will be involved in key workshops and technical meetings through the process. It will provide input and review to the Action Plan over the assignment period.

Role of AfDB Focal Points: The AfDB Focal Points are a key coordinating and supporting resource for the city government from initiation through to investment phases under the African Cities Program (ACP). The AfDB Focal Points will assist in obtaining technical inputs from AfDB Sector Specialists during the Action Planning phase. They will act as the main counterpart between the city and AfDB to support during key activities of the ACP, including reviewing of outputs, data collection, arranging appropriate missions and meetings.

Source: AECOM, 2022.




Box 9. Strong Government Buy-In from the Mayor of Bizerte (Tunisia) in the AfDB City Action Planning Process

In the preparation of the city diagnostic for Bizerte, Tunisia, data collection for many environment and urban sustainability indicators was a particular challenge. In addition to a lack of up-to-date, complete and accessible data, the majority of the datasets were held at the national level. The mayor of

the city played an instrumental role in supporting the AfDB consultants to obtain relevant data from national sources. This demonstrably strong government buy-in, ownership, and coordination assistance allowed access to critical data to inform the preparation of the city diagnostics and subsequent action plan.





Source: AECOM, 2022.

1.2 Preparatory Activities

| | | | | | | |
|---|------------------------------------|--|---|-------------------------------------|---|--|
|  1. Initiation Phase | |  2. Action Planning Phase | | |  3. Investment Preparation Phase | |
| 1.1. Preliminary Engagement | 1.2. Preparatory Activities | 2.1. Rapid City Profiling | 2.2. Strategizing and Prioritizing | 2.3. Action Plan Development | 3.1. Moving Actions to Project Preparation | 3.2. Monitoring Progress and Strengthening Capacities |

The **Preparatory Activities stage** in the Initiation Phase of this Methodology contains **5 steps**: (i) preparing Planning Brief with key city information; (ii) preparing Engagement Plan with stakeholder list; (iii) confirming AfDB and city government capacities to identify external support needs;

(iv) procuring and mobilizing external support; and (v) hosting launch event with news release, which are detailed in the following sections. The orange box below summarizes the objectives and outputs from this stage.

| | |
|---|--|
| <p>Objectives</p> <ul style="list-style-type: none"> • Prepare a planning brief that outlines key city information to inform the Action Planning Phase • Map out key stakeholders and intended engagement with them • Review AfDB and city government capacities to identify any external support required • Procure and mobilize external support, as applicable • Announce support activities to the public | <p>Outputs</p> <div style="display: flex; justify-content: space-around;"> <div style="text-align: center;">  <p>Concise planning brief prepared</p> </div> <div style="text-align: center;">  <p>External support procured and mobilized, as applicable</p> </div> </div> <div style="display: flex; justify-content: space-around; margin-top: 20px;"> <div style="text-align: center;">  <p>Engagement Plan with stakeholder list prepared</p> </div> <div style="text-align: center;">  <p>Publicly facing news published on planned support activities</p> </div> </div> |
|---|--|

Step 1.2.A. Preparing 2-Page Planning Brief with Key City Information

The purpose of the Planning Brief is to **pull together key information** available to prepare and focus the city Action Planning **to enable a more efficient process**. The Planning Brief builds up on the original LOR that the government submitted to the AfDB and it uses a similar structure as the later Action Planning Phase, thereby enabling that ensuing work can build up on previous efforts. Accordingly, the Planning Brief reflects short information and reference to key documents on: (i) basic information; (ii) city context; (iii) institutional





setting; (iv) sector performance; and (v) climate and disaster risks.

The intention of this step is to **succinctly summarize available information** accompanied by the knowledge of the City Focal Point and other experts – where information is not readily available, this can be stated as further detailed studies required and could be included during the Action Planning phase.

IMPLEMENTATION GUIDANCE

Purpose: Preparation of a concise Planning Brief that outlines the current conditions of the city and references where key documents or datasets are available that can inform later analysis. The Planning Brief can also inform the later definition of the Terms of Reference (TOR) for external support procurement and narrow down the perspective onto a city's key development challenges.

Role Responsibilities:

| | | |
|---|---------------------------|--|
|  | AfDB | Support the City Focal Point in the preparation of the Planning Brief, e.g. by providing data and reviewing the brief. |
|  | City Government | City Focal Point to compile information for the Planning Brief, in consultation with relevant departments. |
|  | Consultant | N/A |
|  | Other Stakeholders | Involved national government ministry staff may feed into the Planning Brief development through data and/or review. |

Outputs/Outcomes:

- ✓ 2-page Planning Brief prepared.

Resource Requirements:

| Resource Types | Requirements |
|---------------------|--|
| Time Resources | Planning Brief preparation and review – 4 weeks |
| Financial Resources | None. |
| Human Resources | Availability of City Focal Point and other involved experts Involvement of sector-specific experts where useful |
| Technical Resources | Access to relevant key documents and datasets |
| Material Resources | None |

Key Considerations:

Use any existing assessments and studies.

Complete the Planning Brief as best possible and avoid aiming for a ‘perfect’, all-encompassing document.

Consider creating a virtual folder with key documents or datasets that are being referenced in the Planning Brief, which could later on be made available to the external service providers (i.e. consultants) for their diagnostics activities.

Tasks:

1. Information Gathering: The City Focal Point starts compiling and consulting key documents, datasets, and existing studies, assessments, and reports – if/where they are readily available – for the different sections of the Planning Brief as per the proposed template (Table 5). Where necessary or useful, the AfDB Focal Points can assist the City Focal Point’s understanding of the process and provide support in the initial tasks.

Note: *Creating a data inventory table can assist during this task and help identify the responsible owners of key documents and datasets. Such inventory also shows any gaps. It can be a useful basis for the later diagnostics activities.*

Note: *For City Focal Points with no or very limited prior experience in such processes, they may seek guidance or advice from other city governments or national government ministries that have already taken part in similar assignments and/or are familiar with the AfDB and other international development partners.*

2. Engagement: The City Focal Point will likely have to engage with different departments and agencies to access different documents/datasets, and/or confirm inputs into the Planning Brief. This engagement can build up on previous engagements under Step 1.1.

Preliminary Engagement, and form the basis for ensuing involvement of those experts in the city diagnostics and action planning activities.

Note: *AfDB Country Offices often hold valuable data that can inform the Planning Brief preparation. Accordingly, the AfDB Country Focal Point and the City Focal Point should coordinate with each other, and involve relevant AfDB staff, such as the Country Economist, where useful.*

3. Access Request (optional): Depending on the data access situation in a given city or country, it may require the mayor or a national government ministry to prepare and issue a formal ‘data sharing request letter’ that would be sent to relevant departments and agencies, or which the City Focal Point would attach to a request when inquiring document and data access. When requesting data, it is useful if the format can be clarified to make the process more efficient and the later data use more effective.

4. Analysis and Document Preparation: Based on the documents and data received, the City Focal Point puts together the Planning Brief, with support and review by other government experts and/or AfDB Focal Points. It is important that the Planning Brief is meant to be only 2 pages long, with information to be provided in a succinct manner. With information availability varying, it is acceptable if not all sections of the Planning Brief are filled to the same extent. Where useful, maps or similar material can be attached to the Planning Brief to provide further orientation.

5. Approval and Sharing: Following its internal review, the City Focal Point shall seek approval, if required, for sharing the document with the AfDB Focal Points. As the document is not meant for wider sharing with a public audience and shall not be constitute an official city government publication, no further formal review or consultation process is deemed necessary at this point. Accordingly, it may be useful to add a corresponding disclaimer to the Planning Brief before sharing it with AfDB.

Table 5. **Template: Planning Brief (Maximum 2 Pages)**

| Basic Information | | Brief Preparation Date | <i>[Insert date when this Brief was prepared]</i> |
|--|--|---|---|
| Location | [Country name] | | [City name] |
| City Contact Point | [Name, function/role, e-mail, 9am-5pm working telephone contact] | | |
| AfDB Country Contact Point | <i>[Name, function/role, e-mail, 9am-5pm working telephone contact]</i> | | |
| AfDB ACP Contact Point | [Name, function/role, e-mail, 9am-5pm working telephone contact] | | |
| City Context | | Key Documents and Data | |
| Demographics | <i>[Insert short bullet points on key demographic information, e.g. population size and density]</i> | <i>[List any key documents (e.g. plans and studies) or datasets that can inform this topic]</i> | |
| Economics | [Insert short bullet points on key economic information, e.g. main sectors, unemployment rate] | <i>[List any key documents (e.g. plans and studies) or datasets that can inform this topic]</i> | |
| Inclusiveness | [Insert short bullet points on key social information, e.g. informality and access to social services] | <i>[List any key documents (e.g. plans and studies) or datasets that can inform this topic]</i> | |
| Institutional Setting | | Key Documents and Data | |
| Development Strategies and Plans | <i>[Insert short bullet points on key existing strategies or plans that inform urban development and investment planning in this city]</i> | <i>[List any key documents (e.g. plans and studies) or datasets that can inform this topic]</i> | |
| Planning and Operation Capacities | <i>[Insert short bullet points on the capacity of city government staff in relation to urban development, investment planning, infrastructure operation]</i> | <i>[List any key documents (e.g. plans and studies) or datasets that can inform this topic]</i> | |
| Municipal Finances | <i>[Insert short bullet points on key financial information, e.g. fiscal autonomy and current budget balance of the city]</i> | <i>[List any key documents (e.g. plans and studies) or datasets that can inform this topic]</i> | |
| Sector Performance | | Key Documents and Data | |
| Land Use and Biodiversity | [Insert short bullet points on key information, e.g. past spatial growth or natural habitat protection] | <i>[List any key documents (e.g. plans and studies) or datasets that can inform this topic]</i> | |
| Energy | [Insert short bullet points on key information, e.g. current energy sources and supply/access] | <i>[List any key documents (e.g. plans and studies) or datasets that can inform this topic]</i> | |
| Water | [Insert short bullet points on key information, e.g. current water sources and supply/access] | <i>[List any key documents (e.g. plans and studies) or datasets that can inform this topic]</i> | |

| | | |
|-----------------------------------|--|--|
| Transport | [Insert short bullet points on key information, e.g. street layout and public transport supply/access] | [List any key documents (e.g. plans and studies) or datasets that can inform this topic] |
| Buildings | [Insert short bullet points on key information, e.g. housing supply/access and informality] | [List any key documents (e.g. plans and studies) or datasets that can inform this topic] |
| Waste | [Insert short bullet points on key information, e.g. existing facilities and waste collection/treatment] | [List any key documents (e.g. plans and studies) or datasets that can inform this topic] |
| Climate and Disaster Risks | | Key Documents and Data |
| Hazards | [Insert short bullet points on key information, e.g. past disaster events and most present hazards] | [List any key documents (e.g. plans and studies) or datasets that can inform this topic] |
| Vulnerable People | [Insert short bullet points on key information, e.g. relating to migrants, children, or elderly] | [List any key documents (e.g. plans and studies) or datasets that can inform this topic] |
| Vulnerable Physical Assets | [Insert short bullet points on key information, e.g. state of infrastructure and houses in the city to withstand disaster impacts] | [List any key documents (e.g. plans and studies) or datasets that can inform this topic] |

Source: AECOM, 2022.

Table 6. **Template: Data Inventory (with Example Entries)**

| Topic | Dataset or Document | Type of Source | Status | Owner | Contact |
|--------------------------|--|-----------------------|--------------------------------|--|---|
| <i>Municipal Finance</i> | <i>City budget of 5 previous years</i> | <i>Excel file</i> | <i>Available</i> | <i>City Finance Department</i> | <i>Full name; email; telephone number</i> |
| <i>Urban Planning</i> | <i>City masterplan</i> | <i>Report</i> | <i>Available, but outdated</i> | <i>City Planning Department</i> | <i>Full name; email; telephone number</i> |
| <i>Water</i> | <i>Water supply network</i> | <i>GIS dataset</i> | <i>Not clear</i> | <i>Water Utility (to be confirmed)</i> | <i>To be confirmed</i> |
| ... | ... | ... | ... | ... | ... |

Source: AECOM, 2022.

Step 1.2.B. Preparing Engagement Plan with Stakeholder List

To ensure that a city’s diagnostic and action plan respond to the concerns, challenges, and opportunities of a variety of stakeholders, the Preparatory Activities Stage also includes the **preparation of an Engagement Plan** with stakeholder list.

Based on existing stakeholder engagement processes in the city and informed by AfDB guidance on stakeholder engagement²⁹, the City Focal Point – in consultation with other government departments and actors from the public and private sector, and civil society organizations – shall prepare a **list of stakeholders to be engaged in the support activities** and indicate **how their participation**





in the process would look like. AfDB Focal Points, with possible inputs from civil society and social experts of the bank, can provide support, inputs, and review to this step.

When preparing the stakeholder list, the city government’s Focal Point shall **consider a variety of stakeholders**, including those that may hold more critical perspectives on the diagnostics and action planning activities or related urban development processes. The Engagement Plan with stakeholder list needs to fulfill AfDB’s objectives and practices around **involving a diverse group of stakeholders through inclusive participatory measures** throughout the support activities.

IMPLEMENTATION GUIDANCE

Purpose: Development of a suitable and inclusive Engagement Plan involving different stakeholders through different formats and roles of participation in the city diagnostics and action planning process.

Role Responsibilities:

| | | |
|---|---------------------------|--|
|  | AfDB | Provide guidance on identifying diverse stakeholder groups. Review Engagement Plan with stakeholder list and ensure comprehensiveness and alignment with AfDB good practices. Provide access to AfDB civil society database, where useful. |
|  | City Government | City Focal Point to put together a comprehensive list of stakeholders and define formats of engagement. |
|  | Consultant | N/A |
|  | Other Stakeholders | Other stakeholder groups to respond to City Focal Point’s engagement requests and help share contact information on relevant actors to be involved in the process. |

Outputs/Outcomes:

- ✓ **An Engagement Plan with Stakeholder List** that can inform the implementation of the ensuing action planning activities through a multi-actor inclusive process with diverse options to participate and contribute.

²⁹ AfDB. 2001. Handbook on Stakeholder Consultation and Participation in ADB Operations. Abidjan. <https://www.afdb.org/fileadmin/uploads/afdb/Documents/Policy-Documents/Handbook%20on%20Stakeholder%20Consultaion.pdf>

Resource Requirements:

| Resource Types | Requirements |
|---------------------|---|
| Time Resources | Engagement Plan with stakeholder list preparation – 1-2 weeks Engagement Plan review and update – 1-2 weeks |
| Financial Resources | <i>None [Caveat: Depending on the regulatory or customary situation in a given city / country, remuneration or expense allowances for stakeholder participation in engagement events may be recommended or required.]</i> |
| Human Resources | <i>City Focal Point availability and knowledge of stakeholder groups Civil society / social expert from AfDB and/or national government ministry to provide specialist inputs into Engagement Plan</i> |
| Technical Resources | AfDB Civil Society Database Government stakeholder database, if existing |
| Material Resources | None |

Key Considerations:

Invest time up front to ensure a wide and representative set of stakeholders are identified.

Use existing databases or contact list to identify and reach out to relevant stakeholders.

Consider how vulnerable communities are included in the engagement plan and how a gender-balanced representation can be achieved.

Devise a variety of engagement formats and communication channels to respond to differing needs and capabilities of stakeholders (Box 10).

Tasks:

1. Information Gathering: Building up on the initial stakeholder identification during Stage 1.1., the City Focal Point would create a stakeholder list, e.g. using a register template as provided in Table 7, considering a variety of stakeholder groups, with further guidance provided in Table 8.

Note: *Cities and countries may have already databases or similar information in place that the City Focal Point can use to prepare the stakeholder list. Additionally, the City Focal Point should liaise with AfDB to obtain information from the AfDB Civil Society Database.*

2. Format Definition: Alongside the preparation of the stakeholder list, the City Focal Point with support from the AfDB Focal Points would briefly summarize, as far as possible, the engagement opportunities that come with the city diagnostics and action planning process (activity, estimated timing, format of execution and participation,

communication channel, intended audience). As further explained in this Methodology, these principally include:

- City Profiling Workshop ([see Step 2.1.B.](#));
- Action Planning Workshop ([see Step 2.2.B.](#));
- Input and review of outputs (City Profiling Report, Vision/Objectives/Prioritized
- Actions, Action Plan, Project Sheets); and
- Participation in site visits, etc.

3. Plan Preparation: Compiling the above-noted information, the City Focal Point would prepare a short Engagement Plan with information on the engagement activities, communication channels to keep stakeholders updated about the implementation process, and the stakeholder list in which the City Focal Point would indicate how each stakeholder or stakeholder group would be involved in the process – using, e.g., the simplified categorization:

- Inform:** stakeholders that should be updated on the progress of the city diagnostics and action planning activities without directly participating in the process;
- Involve:** stakeholders with relevant information or interests to be involved in the city diagnostics and action planning activities; and
- Empower:** stakeholders that are critical to the later approval, ownership, and/or implementation of actions, which therefore have to be proactively involved and encouraged/capacitated through the city diagnostics and action planning activities.

4. **Review and Approval:** The draft Engagement Plan with stakeholder list should be reviewed by a dedicated unit or person within the city government, as well as AfDB; with a senior decision-maker in the city government, e.g. the mayor, approving the plan for later implementation,

following applicable city government processes and regulations.

Note: *The Engagement Plan is a live document that should be updated and amended during the Action Planning activities.*

Table 7. **Template: Stakeholder Register and Engagement Plan**

| Full Name | Position/Title | Organization | Contact Information | Sector | Gender | Level of Engagement (Inform / Involve / Empower) |
|--------------|-----------------|---------------------|-----------------------------------|----------------|--------|--|
| Jessica Bowa | Senior Engineer | Local Water Utility | Email address Telephone number | Private Sector | F | Involve |
| ... | ... | ... | ... | ... | ... | ... |

Source: AECOM, 2022.

Table 8. **Stakeholder Groups and Relevance in the Diagnostics and Action Planning Phase**

| STAKEHOLDER GROUPS | RELEVANCE TO DIAGNOSTICS AND ACTION PLANNING PHASE |
|--|---|
| Public Sector | |
| City government departments | Holding key data and information; leading formulation and implementation of city diagnostic and action plans |
| Sub-city (district) government departments | Representing the urban challenges, needs, and opportunities of different local authorities; inform area-focused and place-based diagnostic and action plans |
| Province / state government departments | Coordinating and directing the economic, social, and environmental development efforts for a region which informs and/or supports city Action Planning scope and objectives, particularly where they go beyond a city's administrative boundaries |
| National government ministries and agencies | Providing steering and guidance on strategic urban development at national level which informs and/or supports city Action Planning scope and objectives, e.g. regarding budget allocations |
| Parastatals and public utility companies | Providing technical input on specific sectors or indicators (e.g., water supply) from government-owned companies (e.g., city water utility company) |
| Private Sector | |
| Public-private partnership (PPP) companies | Enabling alternative financing modalities that can be used to finance certain city investments and operate certain assets (e.g., PPP for city port construction) |
| Private firms | Supporting public sector in development and implementation of city actions (e.g., developing master plans for city government) and are instrumental in local investments and job creation |
| Business owners and entrepreneurs | Representing various local micro, small and medium enterprises (MSMEs) to inform urban economic development landscape and opportunities |
| Business associations and chambers of commerce | Initiating the participation of local business owners and entrepreneur networks to participate in city actions that promote local economic development |
| Civil Society (Third) Sector | |
| Non-government organizations, civil society organizations, and faith-based organizations | Representing various social, political, or religious causes (e.g., environmental conservation) to inform technical input in city diagnostic and action plans; supporting city actions development, financing, implementation |
| Neighborhood committees and community-based organizations | Facilitating the participation of local community organizations (e.g., community youth groups) in the data collection and participatory urban planning processes |
| Academic institutions and research institutes | Providing academic and technical input and expertise, including data, to inform city diagnostic across different sectors and disciplines |
| Vulnerable group representatives | Communicating the urban challenges, needs, and opportunities of vulnerable and marginalized groups and communities (e.g., persons with disabilities) to inform diagnostic and action plans, as well as later design of interventions |

Source: AECOM, 2022.

Box 10. Effective Stakeholder Engagement in Amman (Jordan)

In December 2018, Amman was announced as one of the European Bank for Reconstruction and Development's (EBRD) Green Cities. Following the first stage of EBRD's Green Cities program, Amman completed its Green City Action Plan (GCAP) in 2021, with funding supported by the Government of Austria and technical assistance provided by a consultant consortium led by AECOM. Through the GCAP development, Greater Amman Municipality undertook a rigorous sectoral diagnostic and baselining phase (including Air Quality, Water Cycle, Solid Waste Management, Biodiversity, Green Space and Climate Adaptation and Disaster Risk) to identify priority environmental challenges such as those linked to urban flash flooding. Engaging city stakeholders and local experts, the action plan was formulated by agreeing a vision and strategic objectives and weighting actions using specific social, economic, and institutional criteria. Priority actions were identified and developed, and the action plan was validated by the city following an intensive and multi-faceted stakeholder engagement process.

To involve Amman's residents in co-creating a vision for their future city, AECOM piloted alternative approaches to participatory urban planning, going beyond the traditional stakeholder consultation and workshop formats. The project team explored emotive and relatable personal subjects to engage citizens in thinking about how they wanted the local government to address urban environmental issues. A targeted social media campaign was established to encourage residents to share their own green actions as well as community project success stories. These prompts sparked debate and critical thinking across online platforms helping the public to not only engage in these complex issues but at the same time indirectly share their concerns and priorities for the city which informed the GCAP.

However, moving engagement online risks isolating certain demographics of a population, who may not have access to the internet or may not be digitally literate. The COVID-19 pandemic meant that many stakeholder engagement activities were moved to online which reduced the potential outreach and participation to the residents between two age categories, 18-34 and 35-54. GAM considered ways in which they could reach a wider audience to communicate the output of the city-wide strategy, in particular those that the digital campaign did not reach. A local artist was engaged to create a mural depicting the campaign's vision for a green Amman in a central area of the city in the hope that it would spark debate and conversation. The design incorporated many of the key concerns and aspirations expressed by city residents throughout earlier stages of the GCAP development. This hybrid approach helped increase the reach of the campaign beyond the digital audience and provided a novel way of engaging sections of the public who did not typically think about or discuss environmental issues.

Without meaningful public engagement, there is a danger that city-wide development and sustainability strategies and projects will act as an echo chamber for technical experts, neglecting the communities that these projects serve and reducing potential for change. It is critical that donors and governments enable effective communication pathways with project beneficiaries and affected persons by adopting innovative, accessible, real-world methods and digital tools so that local people are front and center in the decision-making process.

Through this participatory and collaborative GCAP process, EBRD and the Green Climate Fund have invested EUR2.8 million each into 15 zero-emission electric buses, while a EUR12 million EBRD loan has been provided for the purchase of 136 Euro V diesel buses. In addition, one of the priority actions – the upgrading of the Ain Ghazal Wastewater Treatment Plant – has been approved for an EBRD loan of up to USD 8 million in 2022.



Source: AECOM. 2022; EBRD. 2021. Amman Green City Action Plan. <https://www.ebrdgreencities.com/our-cities/amman/>

Step 1.2.C. Confirming AfDB and City Government Capacities to Identify External Support Needs

For the effective implementation of the later diagnostics and action planning activities, it is important to **establish the capacities of AfDB and city government**, considering the following elements:

Time: Depending on the extent of the planned support activities and the availability of the AfDB and City Focal Points, as well as other directly involved actors, the use of external service providers could be required to implement planned activities.

Technical Expertise: Support activities to a city under the African Cities Program will come with their own specific intervention focus and technical requirements. AfDB and/or government may also be more or less experienced with the geographic particularities or technical topics that the diagnostics and action planning will look at. Procuring some of this needed expertise from external service providers can come at a better value-for-money, help address particular niche areas, provide access to sector-specific good practice, and/or provide capacity development.

Financial Resources: Notwithstanding the possible need for external support, the available





financial resources will provide an envelope within which such services can be procured. On the government's side, the scale of financial resources will influence in how far it can itself invest in the services needed to implement some of the technical activities. On AfDB's side, the allocation of financial resources to support activities for a city will inform the scope of services that can be procured from external service providers and will need to follow AfDB procurement guidelines.

It is hoped that the increasing application of integrated urban development approaches – such as this Methodology – will increase capacities of involved actors over time. Recognizing the current context in many African cities, it is **expected that the Action Planning Phase leading to the City Action Plan in this Methodology would be implemented by external service providers**. Depending on the specific needs, the services may be provided by **consulting firms or by individual consultants**, with a varying mix of international and national experts. As noted before, the Methodology may also be implemented by AfDB staff, capacitated city governments, and/or with the support of non-government organizations (e.g. UN).

IMPLEMENTATION GUIDANCE

Purpose: Understanding of available capacity and corresponding external support needs by the city government and/or AfDB to effectively implement the city action planning activities.

Role Responsibilities:

| | | |
|---|---------------------------|---|
|  | AfDB | AfDB Focal Points to confirm their own capacity to support implementation of the planned activities. Coordinate with City Focal Point to confirm city government capacities to implement, coordinate, or accompany the planned activities. |
|  | City Government | City Focal Point to discuss with city government staff, mayor, as well as AfDB Focal Points in how far the city government staff can implement, coordinate, or accompany the implementation of the planned activities. |
|  | Consultant | N/A |
|  | Other Stakeholders | National government ministry or assigned focal points to feed into this capacity assessment and confirm if it can provide resources to assist in the implementation of the planned activities. |

Outputs/Outcomes:

- ✓ **Jointly agreed confirmation of AfDB and city government capacities** with regard to the implementation of the city action planning activities.
- ✓ **TOR** prepared for consulting firm or individual consultants reflecting external support needs for the implementation of the city action planning activities.

Resource Requirements:

| Resource Types | Requirements |
|---------------------|---|
| Time Resources | Capacity confirmation – 1 week TOR drafting and review – 2 weeks |
| Financial Resources | <i>Equivalent to the scope of works as defined in the TOR</i> |
| Human Resources | Inputs from technical and procurement experts in government and/or AfDB to advise on potential use of external service providers |
| Technical Resources | Estimates on time requirements for scope of works as defined in the TOR, and related cost estimates Understanding of international and national expert availability that would inform procurement approach |
| Material Resources | None |

Key Considerations:

Compare planned activities and required capacity, time and budget estimates, with similar previous activities undertaken by the city government, where applicable.

Seek input from procurement experts with experience in the country/region to inform the decision on the most suitable procurement approach for the city action planning consultants.

Tasks:

1. **Capacity Assessment:** The City Focal Point in discussion with the AfDB Focal Points would determine the availability of capacity (or lack thereof) across the different planned activities for the Action Planning Phase, informed by any previous conversations they may have already had on the support needs as part of the ACP process.

Note: *This Methodology Chapter and the Gantt Chart (Table 3) can be used as a reference for the intended activities.*

2. **Options Scoping:** In response to the identified capacity gaps, the City Focal Point in consultation with the AfDB Focal Points should scope if the corresponding activities are best implemented by a consulting firm or individual consultants or other means. This could be informed, e.g., by the capacity assessment, scale of the required support and the availability of firms or individuals for the targeted city / country:

- a. A consulting firm where the scope of work is more extensive and requires the

inputs of a variety of different technical experts, all of which may not necessarily be already defined at the outset of the procurement; or

- b. Individual consultants where the input is clearly defined and can be delivered by a limited number of consultants.

Note: *The previously prepared and agreed Aide Memoire may have already established the kind of external service provider support that is intended and for which AfDB funding has been secured.*

3. **TOR Preparation:** If a procurement of external service providers is required, the City Focal Point together with the AfDB Focal Points shall prepare a Terms of Reference (TOR) for the corresponding steps. Building up on the generic TOR for the Action Planning Phase³⁰, the TOR for a specific city should be adapted to respond to the individual city challenges and expertise required to undertake the Action Planning Phase. As the procurement will likely be done through AfDB's system, the AfDB Focal Points should ensure the use of the applicable procurement process and guidelines.

4. **Review and Finalization:** The AfDB Focal Points shall share the draft TOR and proposed procurement approach with their procurement team for review as applicable, before finalizing the relevant documents. Alongside this, the City Focal Point should reconfirm with the mayor (and national government where applicable) that they have no objection against the intended procurement of external service providers.

³⁰ Standalone document of the AfDB UMDf, not included in this Methodology document.

Step 1.2.D. Procuring and Mobilizing External Support

The circumstances of support activities to each city will require a **compromise between available time, technical expertise, and financial resources** to conclude on the type and scale of external support needed. With the previous step having clarified capacity gaps and corresponding needs for either consulting firm or individual consultant inputs, this step focuses on the procurement and mobilization of such





external support following **AfDB's standard procurement processes** and regulations managed by AfDB directly.

To provide capacity development opportunities, AfDB can involve the government, e.g. its Focal Point, in the procurement process, such as by inviting commentary on the shortlisted consultant submissions.

IMPLEMENTATION GUIDANCE

Purpose: Procuring as per AfDB guidelines external service providers for good value for money to undertake the city action planning activities and delivery the City Action Plan as defined in their TOR.

Role Responsibilities:

| | | |
|---|---------------------------|---|
|  | AfDB | Publish Request for Proposal with standard guidelines, templates, and specific TOR. Address clarification questions from consultants. Evaluate, score, and rank technical and financial proposals. Obtain no objection from government for top-ranked consultants. Invite best-ranked consultant to contract negotiation and signing. |
|  | City Government | Where possible, partake in proposal evaluation. Mayor to provide no objection to list of top-ranked consultants. Mayor to issue endorsement letter for AfDB-contracted consultant. |
|  | Consultant | Submit technical and financial proposal in response to the tender. |
|  | Other Stakeholders | National government to provide no objection to list of top-ranked consultants. |

Outputs/Outcomes:

- ✓ **No objection** provided by government for top-ranked consultants.
- ✓ **Proposal evaluation documentation** completed.
- ✓ Best-ranked **consultant contracted**.
- ✓ AfDB + mayoral signed **letter of appointment** issued for contracted consultant.

Resource Requirements:

| Resource Types | Requirements |
|----------------------------|---|
| Time Resources | Request for Proposal response period – 4 weeks Request for Proposal evaluation period – 2 weeks Top-ranked consultants government no objection – 1 week Contract negotiation and signing with best-ranked consultant – 3 weeks |
| Financial Resources | <i>Equivalent to the scope of works as defined in the TOR (e.g. from UMDF)</i> |
| Human Resources | Technical and procurement experts of AfDB (and, where applicable, government) for management of procurement, evaluation of proposals, and contracting of consultant |
| Technical Resources | Understanding of TOR and procurement regulations to respond to clarification questions |
| Material Resources | None |

Key Considerations:

Consider involving government staff, e.g. City Focal Point, in proposal evaluation process as a way to further build capacity.

Be open to suggestions of consultants in response to the scope of works / TOR where those suggestions provide better value for money in relation to higher quality, increased efficiencies, or relevant innovations that can inform future city action planning activities or downstream preparation of high-priority projects.

Tasks:

1. **Publication:** AfDB to publish the Request for Proposal (RfP) with the standard AfDB procurement guidance, templates, and the specific TOR for the city action planning activities.

2. **Clarification:** AfDB to respond to consultant clarification questions within the indicated timelines.

3. **Preparation and Submission:** Consultants to prepare and submit their technical and financial proposals in the required formats and before the indicated deadline.

Note: *If inquired by consultants and/or where the risk exists that only a limited number of proposals may be received, AfDB may consider extending the submission deadline. This could, e.g., be recommended when the RfP falls into a typical holiday period, such as at the end of the year.*

4. **Evaluation:** Following the submission deadline, AfDB will collate the submitted proposals, separate technical and financial proposals, and proceed with its standard evaluation procedure which typically foresees the use of a mixed evaluation committee of both technical and procurement staff. The evaluation of technical proposals is usually followed by the evaluation of financial proposals of only those consultants who passed a minimum compliant score in their technical proposals. Some points to be considered:

a. **Evaluation guidance:** Where AfDB opts to involve government staff from the city or national level in the evaluation process,

it is useful if AfDB shares its procurement guidelines and further information with the involved government staff to help them in preparation of their expected participation in the evaluation.

b. **Value for money:** Following good practice of International Finance Institutions, the scoring of proposals should consider not just the cost by going for the lowest evaluated compliant bid, but take into account cost in balance with quality and other applicable factors (e.g. consultant mobilization readiness or location experience) as defined in the evaluation criteria prior to the RfP publication. Value for money also considers caution against abnormally low-cost bids.³¹

5. **No Objection:** Unless otherwise defined or regulated, AfDB shall obtain a no objection from the government (national government ministry and/or mayor of the concerned city government) for the top-ranked consultants. The list may include 3-5 top-ranked consultants. If the government expresses an objection with reasonable explanation for any of the top-ranked consultants – without unreasonably refuting the whole list – AfDB may correspondingly reduce the number of consultants for final consideration.

6. **Negotiation and Contracting:** Following the no-objection from government, AfDB will produce a final ranked list of consultants weighing up both technical and financial scores. The best-ranked consultant shall then be invited to contract negotiation, during which AfDB may request additional documentation, the replacement of non-compliant experts, or other items to be discussed and agreed between AfDB and Consultant. Following this, the standard AfDB contract shall be signed by the authorized signatories from AfDB and Consultant. Once the contract has been signed with the successful bidder, AfDB should inform the other bidders that they were unsuccessful on this opportunity.

Note: *AfDB may invite the second-ranked consultant to negotiations if no agreement can be found between AfDB and the best-ranked consultant. If no agreement can be achieved with the second-ranked consultant, then the third-ranked consultant shall be invited, etc.*

³¹ AfDB. 2015. Procurement Policy for Bank Group Funder Operations. Abidjan. https://www.afdb.org/fileadmin/uploads/afdb/Documents/Policy-Documents/Procurement_policy_for_bank_group_funded_operations.pdf

7. **Mobilization:** Upon completed contract signing, the consultant shall mobilize.

8. **Endorsement:** To support the effective start of the consultant into the city action planning process, it is recommended that AfDB and

the mayor issue an official endorsement letter indicating their joint endorsement and commitment to the consultant’s work and requesting involved stakeholders to actively participate and support related engagement activities.

Step 1.2.E. Hosting Launch Event with News Release





Having concluded the preparatory activities, the main phase of the city diagnostics and action planning activities can be launched. This presents an opportunity for the **mayor** to invite senior government officials and other key stakeholders to inform them about the planned activities and objectives. It also helps to **secure buy-in from stakeholders** to actively contribute to the activities. The launch event is an opportunity for the **AfDB** to lay out its strategic vision and commitment to the city and country where the support activities are taking place.

The city and/or national government should use digital platforms, e.g. **websites and social media channels**, to share information on the launch event to the wider public and stakeholders who cannot attend the event in person. In some situations, the launch event may also be attended by the contracted consultant as a first opportunity to engage with the city government and stakeholders. Depending on the format chosen, the event may also provide space to gather initial feedback from stakeholders and coordinate ensuing engagement activities.

IMPLEMENTATION GUIDANCE

Purpose: Official announcement of the start of the city diagnostics and action planning process with visible commitment of senior decision-makers from government and AfDB to the process.

Role Responsibilities:

| | | |
|---|---------------------------|--|
|  | AfDB | Co-organize and attend launch event. |
|  | City Government | Mayor to host launch event. City Focal Point to inform media and other stakeholders through appropriate channels. |
|  | Consultant | Attend launch event if already contracted and if suitable. |
|  | Other Stakeholders | National government to attend and express support at launch event. Media to attend and report on launch event. Other stakeholders to participate at launch event, as applicable. |

Outputs/Outcomes:

- ✓ **Launch event** hosted.
- ✓ **News release** on launch of the Action Planning Phase published.

Resource Requirements:

| Resource Types | Requirements |
|---------------------|---|
| Time Resources | Organization and conduction of launch event – 2 weeks |
| Financial Resources | Expense budget for hiring conference space and equipment, unless provided in-kind by government or event hosted at AfDB facilities. |
| Human Resources | Senior decision-makers, including mayor, to be available for launch event. Media to be invited to the launch event. |
| Technical Resources | There may be requirements for interpretation. |
| Material Resources | Conference room and equipment |

Key Considerations:

Check stakeholder list or other database on media contacts.

Use variety of channels to communicate invitation and information about the launch event.

Consider possible interpretation needs for the launch event.

Plan for alternative option for launch event (e.g. virtual) in case of adverse conditions (weather, COVID, etc.).

Check if the launch event could be hosted during a celebration or other auspicious date (e.g. World Cities Day)?

Tasks:

1. **Preparation:** The City Focal Point supported by AfDB Focal Points should identify a suitable date and location for the launch event and ensure availability of the mayor and other key senior officials from the city (and national) government, as appropriate.

2. **Invitation:** Informed by the Engagement Plan with stakeholder list, the City Focal Point shall issue official invites to stakeholders to attend the launch event. The invitation letter would ideally include background information on the AfDB Cities Program and its intended activities and objectives linked to the diagnostics and action planning for the city.

3. **Planning:** The City Focal Point in coordination with the mayor shall agree on the speakers of the launch event. Once confirmed, the different speeches need to be prepared and coordinated. At the same time, AfDB Focal Points should confirm which senior representative from AfDB will attend and speak at the launch event and correspondingly prepare their speeches. Prior to the event, it is recommended that the City Focal Point together with the AfDB Focal Points already prepares a draft news release, which can be swiftly finalized and shared with media immediately after the launch event.

4. **Hosting:** The City Focal Point together with the corresponding department at city and/or national government level (e.g. Public Relations Department or Ministry of Communications) shall facilitate the launch event. The mayor should recognize the consultant that has been appointed to undertake the city action planning activities and invite stakeholders to actively participate in the process. If a Steering Committee and/or Technical Working Group has been set up, information on these can be shared as well.

Note: *If the consultant has already been contracted and mobilized by the time of the launch event, the consultant could attend and/or contribute to the event as well.*

5. **News Release:** Following the event, the City Focal Point should liaise with media to distribute the government's official news release, for further use by different media outlets. In parallel, the government and AfDB can publish the news release on their respective online channels.


2. Action Planning Phase

The second phase of the ACP engagement with cities is the **Action Planning Phase**. It entails 3 stages (Figure 15): (i) **rapid city profiling (including city visit with City Profiling Workshop)**, (ii) **strategizing and prioritizing (including city visit with Action Planning Workshop)**, and (iii) **action plan development**. It undertakes a succinct analysis of key urban development challenges and opportunities within the city, engages stakeholders in the formulation and/or confirmation of a (existing) long-term development vision and strategic objectives, and identifies, narrows down, and develops high-priority actions, including both physical infrastructure investments ('hard' actions) and institutional improvement measures ('soft' actions) – all summarized in a **final Action Plan**, which forms the basis of the Investment

Preparation Phase (third phase). Alongside the Action Plan, **5 high-priority projects** are chosen from the shortlisted actions and further developed using a **Project Sheet Template**, which has been aligned to AfDB standard project preparation documents and similar requirements of other international finance institutions.

It is during this second phase of the ACP support that typically **external service providers** – individual consultants or a consultant firm – would **help implement the different activities**. It is estimated that the execution of the steps under this phase could **take close to 12 months**, depending on the individual circumstances in each city and notwithstanding any external impacts (e.g. delays due to public holidays, elections, or adverse weather events).

Figure 15. African Cities Program Action Planning Phase Overview

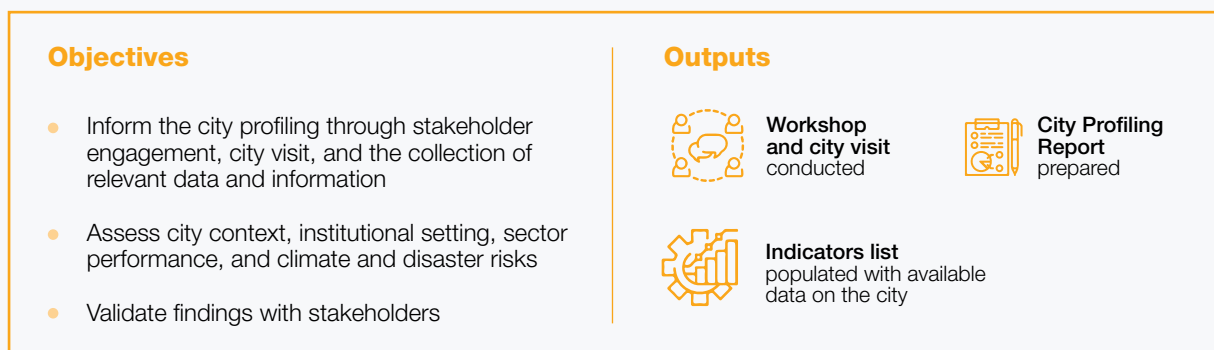
| PHASES | STAGES | STEPS | OUTPUTS |
|--|------------------------------------|--|--|
|  2. Action Planning Phase | 2.1. Rapid City Profiling | 2.1.A. Collecting Data and Information | City Profiling Report |
| | | 2.1.B. Conducting City Visit with City Profiling Workshop | |
| | | 2.1.C. Preparing City Assessments | |
| | | 2.1.D. Compiling City Profiling Report | |
| | 2.2. Strategizing and Prioritizing | 2.2.A. Confirming Strategic Development Direction with Vision and Objectives | Vision, Objectives, Prioritized Actions |
| | | 2.2.B. Scoping and Prioritizing Actions with Action Planning Workshop | |
| | 2.3. Action Plan Development | 2.3.A. Mapping Out Prioritized Actions with General Information | Action Plan with Project Sheets |
| | | 2.3.B. Developing Project Sheets for Top 3-5 Prioritized Actions | |
| | | 2.3.C. Devising Action Plan Implementation Mechanisms | |
| | | 2.3.D. Compiling, Validating and Launching Action Plan | |

2.1. Rapid City Profiling



The **Rapid City Profiling Stage** under the Action Planning Phase includes **4 steps**: (i) Collecting Data and Information; (ii) Conducting City Visit with City Profiling Workshop; (iii) Preparing City Assessments; and (iv) Compiling City Diagnostics Report, which are detailed in the following sections. The orange box below

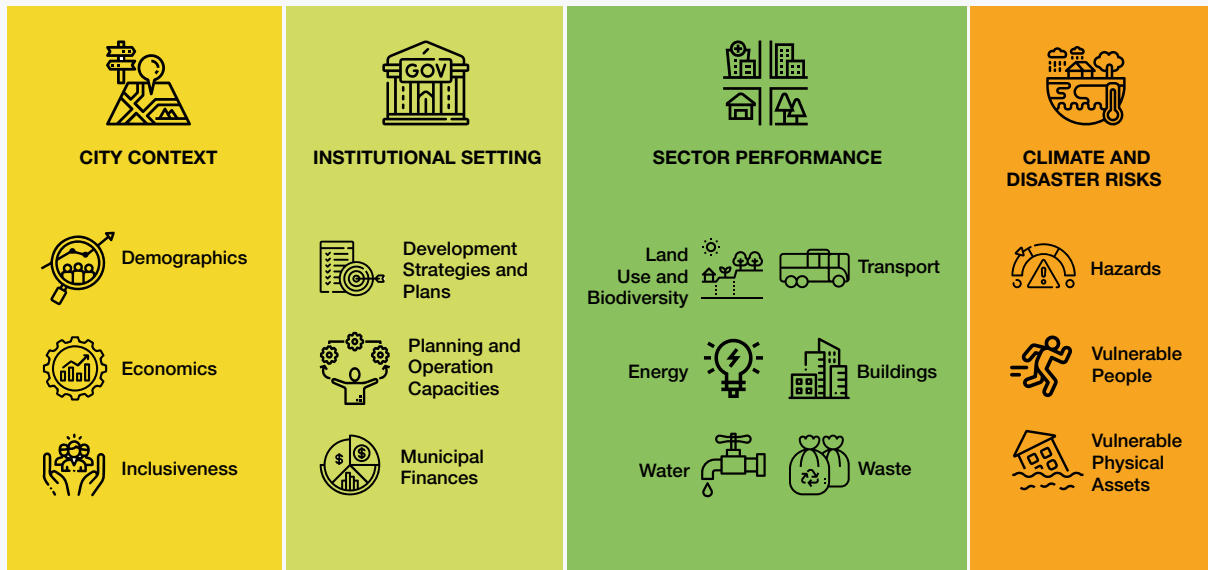
summarizes the objectives and outputs from this stage. As reminder: the last steps under the previous phase concluded with the procurement and contracting of **external service providers**, i.e. the consultants are mobilized by this point to start their work.



The objective of this stage is to undertake a **rapid 360-degree assessment of the city** to build a profile of the key issues and opportunities that can inform the city’s development. As summarized in Figure 16, the profiling **builds up on the same themes as the Planning Brief**

developed during the Initiation Phase. The first two steps of this stage relate to on-the-ground information gathering and desk-based data collection – although one is presented before the other, they can be implemented in a different order or in parallel.

Figure 16. Rapid City Profiling Themes



Source: AECOM, 2022.

Step 2.1.A. Collecting Data and Information

Informed by lessons learned from the pilot phase of the African Cities Program and the usually limited data availability in African cities, the list of data to be collected for the rapid city profiling has been consolidated to a smaller set of indicators, presented in the **Indicators List in Annex 1** (Table 16). In summary, the Indicators List features:

- **City Context** covering the topics of demographics (6 indicators), economics (5 indicators), and inclusiveness (7 indicators);
- **Institutional Setting** covering the topics of municipal finances (4 indicators);
- **Sector Performance** covering topics of land use and biodiversity (6 indicators), energy (10 indicators), water (10 indicators), transport (8 indicators), buildings (5 indicators), and waste (7 indicators); and

- **Climate and Disaster Risks** with only a limited set of pre-defined indicators (3) due to the location-specificity of each city.

It is very important to note that **no specific set of minimum or required indicators** can be prescribed generally, as the situation between cities across Africa is too varied. The selected indicators are offered as providing useful insights into the different topics but **obtaining data** for those shall be done **within the available time and budget**. Also, **other indicators can be added** where they are readily available and contribute to the rapid city profiling. **No primary data collection** is foreseen to take place.

For most indicators in the Indicators List, **interpretation guidance** is provided to assist non-sector users to more easily understand and analyze the data. Benchmarks are also provided for many indicators, applying a RAG rating

(Green / Amber / Red) to differentiate positive, neutral, and negative figures. Those benchmarks have been defined based on comparative data available for African countries, derived from global averages, or informed by work experiences across different sub-regions and cities in Africa. It is acknowledged that **data obtained will differ between regions, countries, and cities**. Therefore, in applying the Indicators List to a specific city, **benchmarks can be adjusted** where corresponding national or sub-national data is available that allow for a more meaningful





comparison and RAG rating, complemented with locally-informed expert judgement wherever possible.

Since the Indicators List only includes data that can be meaningfully benchmarked ('rated'), the Rapid City Profiling also requires other data and information. A meaningful **combination of quantitative and qualitative, spatial and non-spatial data** is required. The collected information furthermore contributes from **ground-truthing through site visits and feedback from local stakeholders**.

IMPLEMENTATION GUIDANCE

Purpose: Collation of available datasets and information to form the basis of the evidence-based Rapid City Profiling.

Role Responsibilities:

| | | |
|---|---------------------------|--|
|  | AfDB | Provide access to data platforms. |
|  | City Government | Prepare a list of available data sources and known data gaps. Facilitate data requests to national government and other data holders. |
|  | Consultant | Prepare a compiled set of data that is required for the Rapid City Profiling. |
|  | Other Stakeholders | National ministries and agencies to provide requested data. Other data holders (e.g. universities) to provide access to data. |

Outputs/Outcomes:

- ✓ **Indicators List** populated with available data on the city.
- ✓ **Other data** obtained and organized in an efficient manner.

Resource Requirements:

| Resource Types | Requirements |
|----------------------------|---|
| Time Resources | Data requests and collection – 3-6 weeks Data sorting and organization – 2 weeks |
| Financial Resources | None |
| Human Resources | Involvement of data holders in government and other institutions GIS experts, if applicable AfDB data staff support |
| Technical Resources | Indicators List List of other data to be requested GIS software, if applicable |
| Material Resources | Platform for transferring, storing, and organizing (larger) data (e.g. OneDrive, DropBox, WeTransfer) |

Key Considerations:

Consider the most efficient way to access data across the public domain and within government departments.

Where possible, build on existing analysis (e.g. ongoing or recently completed studies and plans).

Articulate clear deadlines to other stakeholders, beyond which no further data will be received and included in the analysis.

Co-lead this step with data units/departments in the city government or national government, if existing.

Explain the AfDB Cities Program support activities and rationale behind requesting the data.

Tasks:

1. **Approach:** The Consultants³² and the City Focal Point shall agree on an efficient approach to requesting, collecting, and organizing data for the Rapid City Profiling. The City Focal Point shall confirm with government colleagues if any specific data protocols or regulations need to be taken into account in this process.

2. **Preparation:** The Consultants shall put together a table of data they intend to obtain for the Rapid City Profiling, along the 4 themes of (i) city context; (ii) institutional setting; (iii) sector performance; and (iv) Climate and Disaster Risks. The data shall include items from the Indicators List, as well as other quantitative and qualitative, spatial and non-spatial data (Table 9). Before requesting this data, the Consultants work with the City Focal Point to confirm if this data exists for the city (or the country overall) and who is likely to hold this data. This exercise will help to avoid searching for non-existing datasets and contacting the right counterparts to request specific datasets.

Note: *The City Focal Point has already assessed available data during the Initiation Phase. It is*

recommended that data obtained during the earlier activities is shared with the Consultant. Likewise, the Planning Brief provides a useful point of departure regarding existing studies, plans, strategies, datasets, etc. that can inform this step.

3. **Request:** Once available data sets and their holders have been identified, the City Focal Point can issue a request for data access to the relevant departments and agencies. In parallel, the Consultants shall obtain data that is available from open sources, international data holders, and AfDB data repositories. Depending on the governance context, it may also be possible for the Consultants to directly request certain data from other government departments without having to go through the City Focal Point.

Note: *Key data is often held at the national government level including the National Bureau of Statistics. If this is not published on their websites, or otherwise accessible, the city government, e.g. through the mayor, can facilitate the dialogue of the Bureau with the Consultants to obtain the requested data sets.*

Note: *AfDB can contribute to the data collection given its own extensive databases. The AfDB Focal Points should support the Consultants by liaising with the AfDB Statistics Department (ESTA) and Economics and Research Department (EDRE), as well as the Country Economist. The Country Economist usually holds close relationships with national government statistics / data units and can facilitate data sharing with the Consultants.*

4. **Review:** Upon obtaining different data, the Consultants shall review the quality and usability to assess in how far the data suffices the needs of the Rapid City Profiling. This activity helps to confirm any remaining data gaps, potential use of national or international (proxy) data, and any final data requests that could be communicated as part of the city visit.

5. **Input:** Besides other data, the Consultants shall input obtain figures into the Indicators List and make it available to AfDB and the city as a deliverable as part of their scope of works.

³² The following steps will refer to "Consultants", which can refer to either individual consultants or a consulting firm contracted to implement a defined scope of works under the AfDB ACP. Alternatively, the steps can also be implemented by AfDB staff, city government staff, or experts from non-government or international organizations working with the city.

Table 9. Illustrative Data and Information to Inform Rapid City Profiling

| THEME | INDICATORS | EXAMPLES OF OTHER QUANTITATIVE DATA | EXAMPLES OF OTHER QUALITATIVE DATA |
|----------------------------|--|---|--|
| City Context | As per Indicators List and other available data sets | Labor market reports Gender assessments | Blog articles on the city Thematic map of the city |
| Institutional Setting | | GIS map / layers of the city Human resource/ capacity information on city government staff | Development strategy Urban masterplan |
| Sector Performance | | GIS layers of infrastructure network and assets Annual accounts of utilities | Landscape masterplan Real estate publications |
| Climate and Disaster Risks | | GIS layers of hazards Disaster impact statistics | Accounts/articles on historic disaster events Imagery (e.g. Google StreetView) illustrating conditions and vulnerabilities in different neighborhoods |

Source: AECOM, 2022.

Box 11. AfDB Data Platforms and Other Useful Links

AfDB

AfDB Data Portal: <https://projectsportal.afdb.org/dataportal/>

AfDB Data Finder Repository – Database on Socio-economic Indicators, Comparative Socio-economic Indicators and Selected Socio-economic Indicators: <https://dataportal.opendataforafrica.org/ydixwd>

AfDB Statistics Pocketbook: <https://www.afdb.org/en/documents/afdb-statistics-pocketbook-2022>

Other Links

Climdex <https://www.climdex.org/>

Conservation International Resilience Atlas <https://www.resilienceatlas.org/>

Esri Africa Geoportal: <https://www.africageoportal.com/>

GFDRR Innovation Lab: <https://www.geonode-gfdrrlab.org/>

Global Forest Watch Open Data Portal: <https://data.globalforestwatch.org/>

Global Quake Model: <https://www.globalquakemodel.org/gem>

NASA EarthData: <https://smap.jpl.nasa.gov/>

NASA Socio-Economic Data and Applications Centre (SEDAC): <https://sedac.ciesin.columbia.edu/data/sets/browse>

Partnership for Resilience and Preparedness: <https://www.prepdata.org/explore>

UN Office for Outer Space Affairs UN-SPIDER Knowledge Portal: <https://www.un-spider.org/>

World Bank Global Infrastructure Map: <https://maps.worldbank.org/>

Source: AECOM, 2022.

Step 2.1.B. Conducting City Visit with City Profiling Workshop

The Action Planning Phase features a **city visit** of the Consultants and AfDB to: (i) facilitate the data and information collection (previous step explained above); (ii) conduct site visits and technical meetings; and (iii) engage stakeholders in a **City Profiling Workshop**.

In addition to briefing the stakeholders on the process, the city visit provides a **critical opportunity to ‘ground-truth’ the Rapid City Profiling** – matching information obtained

through desk-based research with the latest conditions across the city and insights from stakeholders.

Depending on the phasing of activities, the **City Profiling Workshop can be combined with other on-the-ground activities**, for example the previously mentioned Launch Event ([Step 1.2.E.](#)) or activities of the ensuing [Step 2.2.](#) Strategizing and Prioritizing.

IMPLEMENTATION GUIDANCE

Purpose: Conducting a city visit to enable a participatory diagnostic assessment through technical meetings, stakeholder workshop, and site visits.

Role Responsibilities:

| | | |
|---|---------------------------|---|
|  | AfDB | Review mission plan. Participate in city visit and activities. |
|  | City Government | Support with mission planning and send invites for workshop and technical meetings. Coordinate participation / inputs of senior officials into workshop. Provide workshop facility to host stakeholder engagement. Organize transportation, as applicable, for site visits. Participate in workshop, technical meetings, and site visits. |
|  | Consultant | Prepare mission plan. Coordinate with city government on workshop, technical meetings, and site visits. Prepare materials for city visit. Conduct / facilitate activities during workshop and technical meetings. Record findings from workshop, technical meetings, and site visits. |
|  | Other Stakeholders | National government staff to join city visit activities, as appropriate. Other stakeholders participate in workshop, technical meetings, and/or site visits, as per invite. |

Outputs/Outcomes:

- ✓ **City visit with Diagnostic Workshop**, technical meetings, and site visits conducted.

Resource Requirements:

| Resource Types | Requirements |
|---------------------|---|
| Time Resources | Preparation of city visit – 2-4 weeks Conduct of city visit – 1 week Recording of findings – 1 week |
| Financial Resources | Expense budget for city visit (e.g. travel of Consultants and AfDB), as well as workshop and technical meeting facilities and equipment, unless provided in-kind by government. <i>Caveat: Depending on the regulatory or customary situation in a given city / country, remuneration or expense allowances for stakeholder participation in engagement events may be recommended or required.</i> |
| Human Resources | Senior decision-makers, including mayor, to be available for activities. Stakeholders to be available for activities. AfDB staff to be available for activities. Media to be invited, as appropriate. |
| Technical Resources | There may be requirements for interpretation during the engagement activities. Final data request list. Specific agendas for individual activities. |
| Material Resources | Workshop and technical meeting facilities and equipment |

Key Considerations:

Consider which approaches to be most effective at ensuring an inclusive and evidence-based city visit, varying formats for the different activities.

Identify what sites to include in the visit and consider how the site visit will add value to the diagnostic (i.e. climate change impacts, issues of equity/access), while being sensitive to areas and communities visited.

Revisit Engagement Plan with stakeholder list to ensure the right people are invited to the different activities.

Plan the city visit well in advance to ensure availability of stakeholders and senior officials, as well as facilities and travel options.

Be conscious of stakeholders' limited time and plan engagement activities accordingly.

Share information on the planned activities with stakeholders in advance so they can come prepared.

Leave contingency / leeway in the agenda of the city visit to manage unforeseen changes in schedule or ad hoc requests for additional meetings.

Tasks:

1. Preparation: Well in advance, the Consultants shall identify with the City Focal Point a suitable time for the city visit. The Consultants shall prepare a draft program for the visit and seek feedback from the City Focal Point and the AfDB Focal Points on the proposed activities. The proposed program shall include draft agendas for the different activities (workshop, technical meetings, site visits) and a preliminary list of stakeholders, based on the Engagement Plan with stakeholder list. The City Focal Point shall confirm availability of senior officials and other stakeholders. Similarly, the AfDB Focal Points will confirm availability of relevant AfDB participants in the city visit.

2. Invitation: Once date and program are confirmed, the City Focal Point shall coordinate the invitation of the corresponding stakeholders for the different activities. Where required, the mayor and/or national government shall be involved in issuing the invitations. The City Focal Point shall also note confirmations/declines to the invitations to conclude on the final number of participants.

Note: Besides regular update calls between the Consultants, the City Focal Point, and the AfDB Focal Points, it is recommended to touch base on a more regular basis in the run-up to the city visit to ensure all logistical and technical preparations are advancing as per plan and any issues can be addressed proactively.

3. Implementation of City Profiling Workshop:

The City Focal Point together with the Consultants facilitate the execution of the stakeholder workshop. The activities for this workshop will depend on the progress achieved to date in terms of data collection and desk-based research that inform the Rapid City Profiling. The overarching objective of the workshop is to brief stakeholders on the progress of the AfDB Cities Program support activities to date, obtain their inputs on the Rapid City Profiling, and achieve a final collection of data and information. Opening remarks by senior officials, e.g. the mayor or national government representative, and AfDB participant can express the importance of the event and wider activities and encourage stakeholders' active participation throughout the event.

Note: *Building up on the Engagement Plan with stakeholder list, it is important to capture participants information to keep track who attended which activities throughout the process. Additionally, it is recommended to ask for participants' feedback on the conducted activities (both positive and negative aspects) to improve future engagement formats (see **Implementation of Technical Meetings:** The City Focal Point together with the Consultants facilitate the execution of the technical meetings. Similar to the workshop, the specific agenda for the meetings will vary. It can be useful to organize the technical meetings along the themes of the Rapid City Profiling, e.g. with dedicated sessions for the municipal finance department, the urban planning department, the water utility, etc. In contrast to the workshop, the technical meetings are intended as deep dives into specific questions, data requests, or validation of findings that typically concern only corresponding sector experts and are thus not as suitable for discussion with a wider audience in a workshop format.*

Note: *For increased efficiency, it can be useful to organize technical meetings in parallel (with the Consultants splitting themselves between meetings) or to use a 'rotating door' principal – this format would have the technical meetings take place directly in the city government's offices and department staff would be called to the meeting once the previous department's technical meeting session has ended. This*

format is often more efficient and easier to attend by government staff who can easily go from their rooms to the technical meeting room and right back to their everyday work once the meeting concludes.

Implementation of Site Visits: The City Focal Point would conduct the site visits with the Consultants (and AfDB) towards pre-agreed locations in the city, covering sites that can inform the Rapid City Profiling (e.g. waste facilities, transport hub, informal settlement, urban growth area, industrial cluster, etc.). The site visits provide for visual inputs into the assessment and can also be used for one-on-one conversations with stakeholders on the ground, preferably facilitated by the City Focal Point or a government representative joining the site visits. It is recommended to inform stakeholders on the planned visit in advance.

4. Implementation of Other Activities: A variety of other activities can be conducted during the city visit, including preparatory and debriefing meetings (e.g. with the mayor). If appropriate, the City Focal Point with the Consultants and AfDB can also prepare a news release on the workshop and/or other activities for sharing with media outlets and/or publishing on the government's media channels.

Note: *Although the situation will vary between cities, it has often been useful to record key take-aways and follow-up actions from a city visit in a document (e.g. an Aide Memoire, Mission Debrief, or Back-to-Office Report) that the key involved parties – city government, AfDB, and Consultants – can refer to for a quick understanding and agreement of conducted activities and upcoming steps. This can then also form a basis for future visits to the city or virtual engagement with senior officials.*

5. Reporting and Follow-Up: In order to ensure that the city visit informs the Rapid City Profiling, the Consultants will need to record findings from the different activities (can be in words, pictures, audio, and other files, as useful). During the city visit or right after, the Consultants through the City Focal Point should also follow up on questions or requests that came up and could not be resolved during the activities.

Box 12. Template: Participant Feedback Questionnaire

| | | | | | |
|---|---|---|--|---|---|
| Event: | Date: | Age: | Gender (M/F): | | |
| How much do you agree with the following statements about the event? |  |  |  |  |  |
| | I strongly agree. | I somewhat agree. | I neither agree nor disagree. | I somewhat disagree. | I strongly disagree. |
| | Knowledge: I learned new things at the event. | | | | |
| | Skills: I strengthened my skills through the event. | | | | |
| | Satisfaction: I enjoyed the participation in the event. | | | | |
| | Methods: The exercises during the event were useful. | | | | |
| | Presentation: The presentations during the event were useful. | | | | |
| | Facilitation: The activities during the event were well facilitated. | | | | |
| | Venue/Platform: The event venue/online platform was well chosen. | | | | |
| | Overall Rating: Overall this was a worthwhile event. | | | | |
| In which training events have you previously participated? | ... | | | | |
| What did you enjoy the most about the event? | ... | | | | |
| What did you enjoy the least about the event? | ... | | | | |
| What recommendations do you have to improve the activities? | ... | | | | |
| What other additional comments do you have? | ... | | | | |

Source: AECOM, 2022.

Step 2.1.C. Preparing City Assessments

Based on the 2 preceding steps of (i) collecting data and information, and (ii) conducting city visit with City Profiling Workshop, the **Rapid City Profiling** can be done **in the form of succinct assessments** of the city across the 4 themes outlined below building up on the previously prepared Planning Brief ([Step 1.2.A](#)). **Data from the Indicators List and other sources** would be integrated into the assessment chapters where applicable and/or attached to the City Profiling Report.

Assessment of City Context

The **first theme under the Rapid City Profiling** is the **City Context**, under which 3 topics are assessed and presented in the City Profiling Report:

- **Demographics:** Assessing the general population features and trends that influence the urban make-up and development in the city;
- **Economics:** Assessing the economic performance, main economic sectors (agriculture, industry, manufacturing, services), and socio-economic features that influence the city's and its citizens' wealth and wellbeing (e.g. formal and informal employment, income, and poverty); and
- **Inclusiveness:** Assessing features that illustrate how inclusive the city and its services are to a diverse range of different citizens (e.g. consideration of health and education services, emergency response capabilities, access to internet, gender equity).

Before or as part of the City Context assessment, the City Profiling Report would also feature a brief introduction to the city (name, origin, role in country, history), accompanied by at least one topographic map and other visuals (e.g. photos of key sites) that provide contextualization to the reader.

Assessment of Institutional Setting

The second theme under the Rapid City Profiling is the Institutional Setting, under which 3 topics will be assessed and presented in the City Profiling Report:

- **Development Strategies and Plans:** Assessing key strategies and plans (including policies, guidance notes, regulations, or other publicly issued documents) that are directly relevant to urban development processes and decision-making in the city – attention should be paid to any existing long-term development vision and medium-term development objectives that the city government may have formulated, as these can form the basis of later Strategizing and Prioritizing activities;
- **Planning and Operation Capacities:** Assessing what powers the city government actually holds and how well equipped it is in terms of personnel, expertise, and equipment to adequately fulfil related functions, also in light of possible future population increase.
- **Municipal Finances:** Assessing the health and sustainability of the city government's finances with regard to revenues, expenditures, borrowing – ideally with data available from several years – as well as financial management and accounting standards (and information on a credit rating, if available) that may influence its access and use of different financing sources and instruments.

Before or as part of the Institutional Setting assessment, the City Profiling Report would typically also feature a **brief governance overview** of the city (e.g. mapping key stakeholders and responsibilities when it comes to urban development planning and

implementation; city government organization chart). As an **add-on**, the Institutional Setting assessment could provide an **overview of ongoing or planned activities** with the AfDB and other development partners in the area of urban development (if not covered under the Sector Performance assessment below).

Assessment of Sector Performance

The **third theme under the Rapid City Profiling** is the **Sector Performance**, under which 6 topics will be assessed and presented in the City Profiling Report:

- **Land Use and Biodiversity:** Assessing how the spatial pattern in the city has been changing, how land use is characterized, and what impact urban development activities have on the natural ecosystem (e.g. with regard to air, soil/land, and water quality);
- **Energy:** Assessing infrastructure quality, resource efficiency, access, and affordability of energy services, including production, supply, and consumption for electricity, cooking, heating, and cooling;
- **Water:** Assessing infrastructure quality, resource efficiency, access, and affordability of water services, including water resources / extraction, supply, consumption, sanitation, and wastewater treatment, as well as stormwater management / drainage;
- **Transport:** Assessing infrastructure quality, resource efficiency, access, and affordability of transport services, including individual and mass motorized and non-motorized transport on roads, rail, water, and air;
- **Buildings:** Assessing infrastructure quality, resource efficiency, access, and affordability of services in the buildings sector, including residential (formal and informal) housing, public (administrative) buildings, and private commercial buildings, and other facilities (as applicable); and

- **Waste:** Assessing the waste sector with regard to access to services, resource efficiency (recycling and disposal), and affordability, including residential, commercial, and industrial waste sub-sectors.

Each sector assessment should reflect on the **current status**, any existing **gaps** and possible **planning/ policy/ regulatory shortfalls or barriers**, as well as **development opportunities** and related **investment needs**, including information on **ongoing or planned activities** with the AfDB and development partners in the particular sector. In order to enable a rapid assessment, it is necessary to **narrow down the analysis for each sector through a fact-based, data-driven approach**, concluding on which sub-sectors or features are most pertinent to influencing urban development and service provision in the city.

All of the above sectors include one proposed indicator on the **sector's contribution to the city's emissions** in the **Indicators List** (Table 16). If such information can be obtained, the Sector Performance assessment in the City Profiling Report can include a **discussion on climate mitigation features in the city** (e.g. carbon-intensive industries and air pollution), which can furthermore inform the identification and development of corresponding climate mitigation investments (climate adaptation is covered under the fourth assessment theme presented in the next section).

Assessment of Climate and Disaster Risks

The **fourth theme under the Rapid City Profiling** is the **Climate and Disaster Risks Assessment**, under which 3 topics will be assessed and presented in the City Profiling Report:

- **Hazards:** Assessing the main hazards the city is exposed to, with regard to frequency (likelihood) and intensity of related hazard events – including both climatic hazards (e.g. storms) and non-climatic hazards (e.g. earthquakes) – based on open-source climate scenarios from IPCC and national meteorological agencies;

- **Vulnerable People:** Assessing the characteristics of different demographic and socio-economic groups within the city in terms of their vulnerability (sensitivity versus adaptive (coping) capacity) to different hazards, possibly accompanied by annual average impact data (people affected, injured, killed) where available; and
- **Vulnerable Physical Assets:** Assessing the characteristics of different physical assets, e.g. infrastructure facilities and networks, within the city in terms of their vulnerability (sensitivity versus adaptive (coping) capacity) to different hazards, possibly accompanied by annual average impact data (damages and losses, expressed in financial terms) where available.

Given the spatial nature of climate and disaster risks, this assessment must include the **mapping of hazards (and vulnerabilities)** where sufficient

information is available – possibly processed through a geographic information system (GIS) if the city government (or a collaborating national government ministry/agency) can provide or source the relevant GIS data layers (also see Box 11).

It is important that the Climate and Disaster Risks Assessment reflects on **past events, current situation, and future trends**, especially with regard to their interlinkages with **climate change impacts**. The climate and disaster risk assessment is to at least include IPCC climate scenarios. This assessment would also inform the identification of **opportunities and related investment needs for climate adaptation and disaster resilience**, including information on **ongoing or planned activities** with the AfDB and other development partners in this area (climate mitigation is covered under the third assessment theme presented in the previous section). Examples of tools that can be used to help undertake climate and disaster risk assessments are shown below in Box 13.

Box 13. **Example Tools for Undertaking Climate and Disaster Risk Assessments**

World Bank Climate and Disaster Risk Screening Tools for Agriculture, Energy, Finance, Health, ICT, Industry, Natural Resources, Social Development, Urban Development, Transportation and Water (national and subnational levels): <https://climatescreeningtools.worldbank.org/>

World Bank Risk Stress Tool (RiST): <https://www.worldbank.org/en/topic/climatechange/brief/risk-stress-test-tool>

World Bank and GFDRR ThinkHazard Tool: <https://thinkhazard.org/en/>

UNDRR Quick Risk Estimation Tool (QRE): <https://mcr2030.undrr.org/quick-risk-estimation-tool>

World Resources Institute Aqueduct tool: <https://www.wri.org/aqueduct>

Resilience Shift Resilience Toolbox: <https://www.resilienceshift.org/tools/>





C40 Assessing Risks in Cities Toolbox: <https://resourcecentre.c40.org/resources/assessing-risks-in-cities>

Source: See hyperlinks for each tool.

IMPLEMENTATION GUIDANCE

Purpose: Rapid assessment of a city across key themes to understand urban development challenges and opportunities under current conditions and in the future.

Role Responsibilities:

| | | |
|---|---------------------------|--|
|  | AfDB | Review and agree structure of City Profiling Report. |
|  | City Government | Understand assessment themes and respond to questions arising during the assessment. |
|  | Consultant | Propose a structure for the City Profiling Report. Assess a city across the 4 themes. Liaise with city government and other stakeholders on questions arising during the assessment. |
|  | Other Stakeholders | Provide additional inputs / responses to assessment questions and themes. |

Outputs/Outcomes:

- ✓ **Assessment sections** across the 4 themes drafted, including presentation of data obtained from desk-based research and city visit with City Profiling Workshop.

Resource Requirements:

| Resource Types | Requirements |
|----------------------------|---|
| Time Resources | City Profiling Report structure draft and agreement – 2 weeks Rapid City Profiling assessment drafting – 4-8 weeks Rapid City Profiling assessment follow-up questions – 2-3 weeks |
| Financial Resources | None. |
| Human Resources | Different sector specialists from the Consultants City Focal Point's (and other stakeholders') availability for follow-up questions AfDB Focal Points' availability to review City Profiling Report structure GIS experts, if applicable |
| Technical Resources | GIS software, if applicable Indicators List and other data previously obtained |
| Material Resources | Platform for transferring, storing, and organizing (larger) data (e.g. OneDrive, DropBox, WeTransfer) – as previously set up |

Key Considerations:

Consider what mix of data will be most effective in providing an insightful picture of the current and possible future situation in the city across the 4 assessment themes.

Consider benchmarking them against other similar cities, within the country or other cities, for contextualization, when reviewing emerging trends.

Use historical data to identify historic climate disasters in the city and consider if this may point towards possible trends.

Compare the findings from desk-based research, government-issued reports and plans, and the city visit to arrive at an evidence-based conclusion of key findings across the 4 themes.

Clarify where data and information are insufficient or no clear conclusion can be drawn, and point out future areas for further investigation.

Consider any political reforms taking place in the country which may result in any emerging policy, development programs, and investments.

Tasks:

1. **Review and Agreement:** The Consultants shall prepare a structure for the City Profiling Report for review and agreement with AfDB Focal Points. The City Focal Point can also be involved in this discussion. It is useful to also agree the envisaged style and format of the output already at this point. As part of this discussion, the Consultants shall also propose an updated timeline for the assessment, report production, and review, to be agreed with AfDB Focal Points and City Focal Point.

2. **Analysis:** The Consultants with their sector specialists will analyze the previously obtained data and information to draft up the assessments across the 4 themes as illustrated above. At this point, they may also share further clarification questions or final data requests with the City Focal Points and other stakeholders.

3. **Internal Review:** The Consultants should organize an internal review process for the drafted assessments before proceeding to the next [Step 2.1.D.](#) of ‘Compiling City Profiling Report’.

Step 2.1.D. Compiling City Profiling Report

Once the assessments across the 4 themes have been prepared and internally reviewed by the Consultants, key findings need to be compiled into a succinct City Profiling Report. While the style and structure of this report will vary between the different cities participating in AfDB’s Cities Program, the following key elements should be included in the report:

→ **Executive Summary** drawing out conclusions on (i) City Context, (ii) Institutional Setting, (iii) Sector Performance, and (iv) Climate and Disaster Risks, which can directly inform the ensuing steps of ‘Strategizing and Prioritizing’ and ‘Action Planning’ (e.g. by using a strengths, weaknesses, opportunities and threats (SWOT) matrix or problem tree) – the summary text shall be accompanied by a thematic map of the city that illustrates key challenges and opportunities, as well as other key information to the reader;

- **Overview of the diagnostics activities**, including how data and information were obtained, outcomes from the city visit with City Profiling Workshop, references used, and next steps in the process; and
- **Findings** organized into the 4 assessment themes – with each topic presented on a double page (i.e. 2 pages x 15 topics = 30 pages in total).





The review of the City Profiling Report can be done during the city visit with City Profiling Workshop if that trip is ‘back-loaded’ to this step. Alternatively, the review can be done virtually by key city government departments reviewing those sections that relate to their sector. Similarly, AfDB Focal Points should review the draft report and potentially involved AfDB sector colleagues as appropriate.

Keeping in mind the diverse audience of the City Profiling Report, the Consultants should aim for an **easily accessible document** that provides **succinct findings and messages in clear text and visuals**.

IMPLEMENTATION GUIDANCE

Purpose: Key findings across the 4 assessment themes compiled into an easily accessible City Profiling Report with succinct findings and messages in clear text and visuals.

Role Responsibilities:

| | | |
|---|---------------------------|---|
|  | AfDB | Review and comment on the City Profiling Report. |
|  | City Government | Review and comment on the City Profiling Report. Obtain other stakeholders' review comments on the City Profiling Report where applicable. |
|  | Consultant | Compile assessments into draft City Profiling Report. Update City Profiling Report based on comments received from AfDB and city government. |
|  | Other Stakeholders | Where applicable, other stakeholders may contribute review comments to the City Profiling Report. |

Outputs/Outcomes:

- ✓ Comprehensive **City Profiling Report** compiled, reviewed, and finalized.

Resource Requirements:

| Resource Types | Requirements |
|----------------------------|---|
| Time Resources | Compilation of assessments into draft report – 2 weeks Review of draft report – 2 weeks Finalization of report – 1 week |
| Financial Resources | None. |
| Human Resources | Different sector specialists from the Consultants City Focal Point's (and other stakeholders') availability for review AfDB Focal Points' (and other AfDB sector colleagues') availability for review Graphic design support if needed for report finalization |
| Technical Resources | GIS and/or graphic software if needed for report visuals and layout |
| Material Resources | Online platform to access report for review, if applicable, and/or comments register |

Key Considerations:

Consider how spatial data, maps, and visuals can be used to present findings and analysis in an engaging and informative way.

Put extra effort into deriving a select set of findings and messages across the 4 themes to enable an easier understanding of how the City Profiling Report can inform the ensuing activities under the AfDB Cities Program support process.

Include, where appropriate, indicative opportunity and investment areas under the relevant topics.

Use comments register (e.g. in Excel) to compile review comments in the same document and to track responses to those comments.

Communicate review timeline well in advance to ensure availability of reviewers.

Tasks:

1. **Compilation:** The Consultants compile findings and messages, alongside relevant graphics, from the assessment across the 4 Rapid City Profiling themes into a succinct report based on the previously agreed structure (Table 10). They also add an Executive Summary and a description of the process taken to develop this report, as well as outlining next steps in the process.

Note: *The City Profiling Report may include appendices, for instance, to present the Indicators List, additional maps, or other analysis. However, the report is intended to be as succinct as possible and appendices are often overlooked by readers; thus, they should not contain any critical information.*

2. **Review:** A draft of the City Profiling Report shall be shared with the City Focal Point to enable a review by relevant staff in city government departments, as well as national government or other stakeholder groups, as applicable to the agreed process. Using a comments register or similar approach, it is important that the City Focal Point compiles a single set of feedback from the city government that can facilitate an efficient incorporation of comments into the updated report by the Consultants. Alongside this review, AfDB Focal Points shall also review the draft report and, where applicable, seek feedback from AfDB sector colleagues – again compiled into a single set of comments. A firm

deadline should be set for this review process, with clear communication that late feedback beyond the deadline cannot be considered in the report finalization.

3. **Finalization:** The Consultants shall update the City Profiling Report based on the comments received from the City Focal Point and the AfDB Focal Points within the agreed deadline. Where a comments register is used, the Consultants shall also record their response to the comments for easier tracking of how feedback was able to be addressed in the updated version of the report.

4. **Submission and Planning:** The Consultants shall submit the finalized City Profiling Report to AfDB for sign-off. At this point, the Consultants can also reconfirm with AfDB Focal Points and City Focal Points the next steps in the AfDB Cities Program support process.

Note: *The city government may request that the Consultants present the findings to the mayor and senior officials, with the option for AfDB to participate. Such presentation can take place as part of the draft report submission or after its finalization and provides a useful opportunity to brief senior officials about the implementation progress and confirm next steps.*

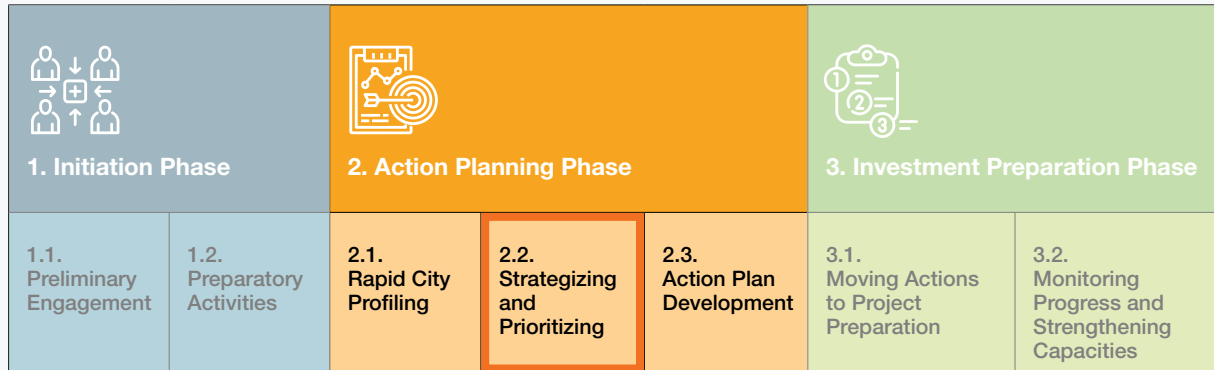
Note: *Depending on AfDB and the city government, the final City Profiling Report may be made available to the public through AfDB's or the government's website.*

Table 10. **Template: City Profiling Report Structure with Indicative Page Numbers (Example)**

| Key Sections | Indicative Page Numbers |
|--|-------------------------|
| Front and Back Cover, Table of Contents, Disclaimer etc. | 4 |
| Executive Summary | 3 |
| Visualization of Findings | 1 |
| Thematic Map | 1 |
| Process Description | 1 |
| Assessment Chapters (across the 4 Themes / 15 Topics in total) | 30 |
| TOTAL | 40 |
| Appendices (if useful/required, e.g. Indicators List) | TBC |



Source: AECOM, 2022.

2.2. Strategizing and Prioritizing



The **Strategizing and Prioritizing Stage** under the Action Planning Phase includes **2 steps**: (i) Confirming Strategic Direction with Vision and Objectives; and (ii) Scoping and Prioritizing

Actions with Action Planning Workshop, which are detailed in the following sections. The orange box below summarizes the objectives and outputs from this stage.

| | |
|--|--|
| <p>Objectives</p> <ul style="list-style-type: none"> • Confirm or define a long-term vision and strategic objectives for the city's development • Scope and prioritize a select number of actions that can put the city on a path towards achieving its vision and objectives | <p>Outputs</p> <div style="display: flex; align-items: center;">  <div style="margin-left: 10px;"> <p>Vision and strategic objectives for the city agreed</p> </div> </div> <div style="display: flex; align-items: center; margin-top: 10px;">  <div style="margin-left: 10px;"> <p>List of actions scoped and prioritized</p> </div> </div> |
|--|--|

Step 2.2.A. Confirming Strategic Development Direction with Vision and Objectives

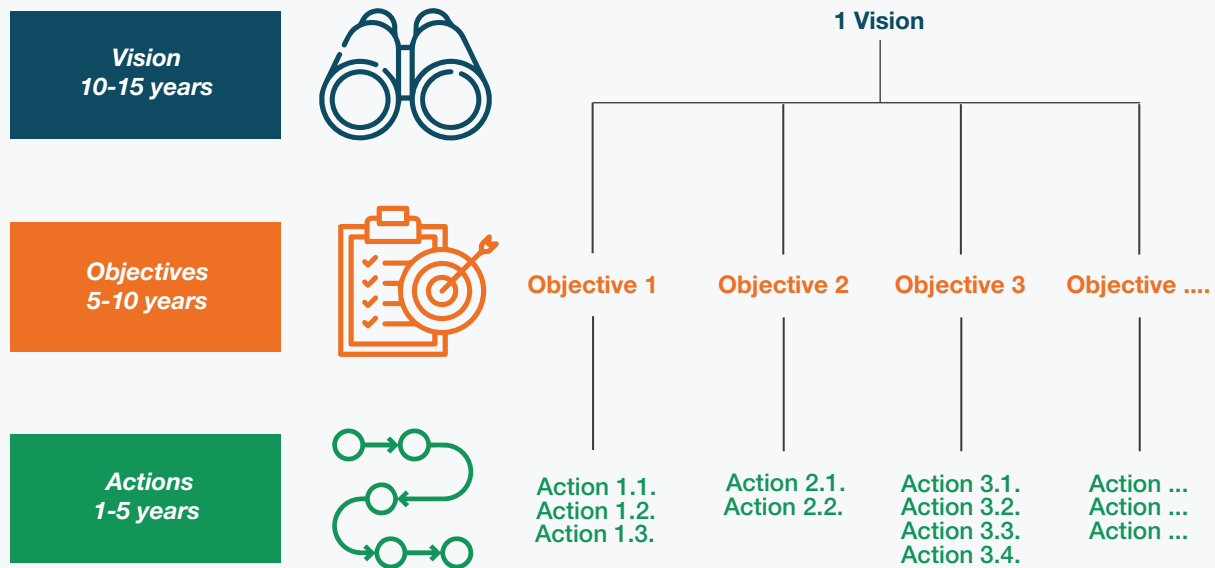
Using the City Profiling Report as a baseline, the next step in the process is to clarify under which strategic urban development frame the city's Action Plan is going to sit. As such, this step is meant to **confirm the strategic development direction** of the city to enable a **logical and**

data-informed linkage from longer-term vision (typically 10-15 years) **and medium-term objectives** (typically 5-10 years) through to shorter-term actions (typically 1-5 years) (Figure 17).

Typically, there would be **one vision** to capture the city’s overarching development ambition and **several objectives**, which can be organized along categories, such as (i) economic, environmental, and social; (ii) people, infrastructure, and nature; or (iii) sectors and topics. Flowing out of the formulation of the vision and objectives are

the scoping and prioritizing of the **actions** as explained in the next section and illustrated in Figure 17. All three elements together form the basis for the Action Plan progress monitoring as described in the third phase of this process ([Stage 3.2.](#)).

Figure 17. **City Vision, Objectives, and Actions**



Source: AECOM. 2022

Depending on the city’s existing strategies and plans, as assessed under the Institutional Setting theme of the City Profiling Report, there are **two options** in this step:

Option 1 – Existing Vision/Objectives: The city already has a development vision and strategic objectives – in this case, they can be reviewed and amended as required; or

Option 2 – No Existing Vision/Objectives: The city does not yet have a development vision, or its vision is very outdated or lacks clearly formulated strategic objectives – in this case, vision and objectives need to be formulated based on key findings from the City Profiling Report, in coordination with city government staff and other stakeholders.





In either case, vision and objective formulations should **take into account major strategies and policies at the national and subnational level** to allow for the Action Plan to be aligned with key development objectives and related investment priorities. It is also important to **confirm the vision and objectives with senior decision-makers of the city and other stakeholders** involved in urban development matters, as buy-in for the broader strategic development direction is a critical platform on which the more specific implementation of individual actions can build.

As noted under the previous stage, stakeholder engagement on vision and objectives can be done during the **City Profiling Workshop** (‘frontloaded’ activity) or during the **Action Planning Workshop** (‘backloaded’ activity, see next stage).

IMPLEMENTATION GUIDANCE

Purpose: Establishing an agreement among stakeholders of the city's long-term vision and strategic objectives to frame actions scoping and prioritization.

Role Responsibilities:

| | | |
|---|---------------------------|---|
|  | AfDB | To provide guidance and support to the city government, where required. |
|  | City Government | Confirm existing vision / objectives or engage stakeholders for defining the city's vision / objectives. |
|  | Consultant | Provide key findings from the City Profiling Report to inform the definition, amendment, or confirmation of the city's vision / objectives. Facilitate the vision / objectives process. |
|  | Other Stakeholders | Participate in the vision / objectives process as applicable. |

Outputs/Outcomes:

- ✓ **Urban development vision and objectives** of the city confirmed.
- ✓ **Visioning activity** conducted with stakeholders, if applicable

Resource Requirements:

| Resource Types | Requirements |
|----------------------------|--|
| Time Resources | Option 1 (existing vision/objectives, with amendments) – 2-4 weeks Option 2 (vision/objectives development with stakeholders) – 4-6 weeks |
| Financial Resources | None. |
| Human Resources | Consultants with relevant sector specialists (e.g. policy expert) City Focal Point's availability and knowledge of existing city vision and objectives City government and other stakeholders' availability if vision / objectives need to be developed AfDB Focal Points' availability if vision / objectives need to be developed |
| Technical Resources | City Diagnostics Report Existing vision / objectives document |
| Material Resources | <i>None – if visioning activity is to take place, it would be part of the City Profiling Workshop or Action Planning Workshop (see there for financial and material resource requirements)</i> |

Key Considerations:

Check if the city already has a vision and objectives and in how far they speak to the findings of the City Profiling Report. Where possible, amend an existing vision and objectives instead of fully replacing it.

Consider cross-cutting aspects relevant to the city's urban development (e.g. gender inclusiveness, smart city opportunities, climate change resilience, migration, post-conflict setting, etc.).

Consider whether there are critical issues that emerged from the City Profiling Report that can be used as the basis for the visioning process. It is often easier for stakeholders to engage with some prompts, so having a few key issues from the City Profiling Report or existing vision will be helpful.

When amending an existing or defining a new vision and objectives, **be specific** and avoid adding numerous 'buzzwords' into a long-winded statement.

Be ambitious – the vision is meant as an optimistic guiding star for the city’s development over the next 10-15 years.

Tasks:

1. **Reconfirm:** Based on the previous assessment steps, the Consultants should know and reconfirm with the City Focal Point if an urban development vision with objectives already exists for the city. In that case, they should jointly review and agree if the vision and objectives relate well to the findings in the City Profiling Report – e.g. with regard to the identified development opportunities. If this is indeed the case, then the existing vision and objectives can be used to inform the next Step 2.2.B. on ‘Scoping and Prioritizing Actions’. It is recommended, in this case, that the City Focal Point shares this conclusion with the mayor to seek confirmation to proceed with the activities without having to amend the vision or objectives.

2. **Amend or Define:** In the case that the existing vision or objectives require amendments or if a new vision and objectives have to be defined, the Consultants shall discuss with the City Focal Points and the AfDB Focal Points if such activity is best conducted as part of the City Profiling Workshop or the Action Planning Workshop. Within the corresponding workshop, an exercise shall be conducted for stakeholders to (i) develop the city’s urban development vision (agreeing on a single vision that captures the city’s ambition

for the next 10-15 years and responds to the City Profiling Report findings), and (ii) formulate medium-term objectives (that reflect thematic or sector-related opportunities and challenges to be addressed over the next 5-10 years).

Note: *A city’s urban development vision requires broad buy-in from a variety of stakeholders. Therefore, the City Focal Point in consultation with the mayor shall carefully consider the invitation and participation of different stakeholder groups from the public sector, private sector, and civil society. Informed by the Engagement Plan with stakeholder list, particular attention should be paid to vulnerable or potentially underrepresented groups. AfDB with its long-standing experience across the continent and the Consultants may provide further guidance and recommendations to the City Focal Point on how to achieve effective stakeholder engagement in this activity.*

3. **Endorsement:** Once amended / defined, the vision and objectives shall be shared in written form with the mayor and, as applicable, the city council, executive committee, or similar for final review and endorsement, following existing processes and regulations of the government. As the vision and objectives inform the ensuing scoping and prioritization of actions and also frames the Action Plan, it is of critical importance that senior endorsement of these is achieved at this point in time to avoid any later contradictions or delays.

Box 14. The Vision for Conakry (Guinea)

In 2022, the City of Conakry through the AfDB African Cities Program developed and adopted a new vision: ‘Conakry – A Healthy, Safe and Open City’. Together with the citizens of Guinea’s capital city, the Governate of Conakry formulated this long-term, aspirational, and strategic vision to harmonize territorial development, modern urban infrastructure and service delivery, and mitigate climate change vulnerabilities.

The vision is organized across three key pillars that direct distinct and interlinked actions for the city:

- **Healthy City:** Conakry is a city that provides residents with improved housing, healthy neighborhoods, clean air, safe water supply, and accessible sanitation facilities that ensures good quality of life and wellbeing.
- **Safe City:** Conakry is a city which is safe, accessible and livable for all people through comprehensive, city-wide and community-based urban safety and crime-prevention strategies.
- **Open City:** Conakry is a city that is thriving, smart and well-connected with a diverse local economy, international trade links, vast tourism potential, and strong local human resource capacity.

Source: AfDB. 2022. *Conakry City Diagnostic and Action Plan*. Abidjan.

Step 2.2.B. Scoping and Prioritizing Actions with Action Planning Workshop

This step aims to **scope and prioritize actions on both physical investments and institutional improvement measures** to help the city on its path to realizing its long-term vision and medium-term objectives. Those actions shall be focused on what can be implemented – or at least initiated – within the next 5 years (Box 15). Following from an initial **longlist of actions** will be a shortlist of actions, which are further developed in the next stage of ‘Action Plan Development’.

A basis for developing the longlist of actions are any **ongoing or planned urban development activities** of the government (with the AfDB or other development partners) as identified during the Rapid City Profiling. Additionally, the City Profiling Report – including the workshop activities with stakeholders – will have drawn out **opportunities across the 4 assessment themes** (city context, institutional setting, sector performance, and climate and disaster risks), which allow for the identification of actions to be included in the longlist.

It is important to recognize that physical infrastructure investments alone are not sufficient to support a city realize its urban development vision. Attention should also be paid to so-called **‘soft’ measures** that could include investments into:

- Urban planning, operation, and management **tools and systems**;
- Targeted **capacity development** initiatives for municipal staff and other stakeholders;
- Updates to **regulations, plans, guidelines, asset inventories**, etc.; and
- **Outreach campaigns, community initiatives, information sharing platforms**, etc.

When scoping actions, consideration needs to be given to **cross-cutting aspects** that help to strengthen the effectiveness of actions, as well as future-prove the city’s development. Those aspects include e.g. gender inclusiveness, climate resilience, smart city technologies and other innovations.

One option to prioritize actions is to use a **multi-criteria analysis (MCA)**. A MCA can help narrow down the longlist to a select set of 10-30 actions; it shall, however, not be used to rank those shortlisted actions, as this would complicate the process and potentially create prolonged discussions about why one shortlisted action is ranked better than another shortlisted action. A MCA matrix has been developed as a template for scoring longlisted actions against 3 categories – each with 4 criteria, which can be adjusted to individual cities / circumstances (Table 11):

- **Environment and Climate:** 4 criteria on environmental quality, resource use efficiency, climate mitigation (greenhouse gas emission reductions), and climate resilience;
- **Economic and Social:** 4 criteria on economic growth/job creation, private sector involvement, infrastructure services access, gender equity/social inclusiveness; and
- **Strategy and Feasibility:** 4 criteria on regulatory/policy framework, technical/administrative capacity of the city, innovation/transformational effect, financial sustainability of the city.

The shortlisting of actions should be done through stakeholder engagement in an **Action Planning Workshop**, as further explained below.

Based on successful action planning experiences of other cities, it is recommended that the **Shortlist of Actions** contains a well-selected,

small number of actions that can be realistically planned and implemented by the city government and other required stakeholder organizations within the next 5 years – with a **balance of different action types** (physical investments and ‘soft measures’) **across different sectors**. Depending on city size and city government capacities, a **shortlist of 10-30 actions** may be most effective.

It is worth noting that the MCA of the actions does not explicitly evaluate the actions for their feasibility of being financed exclusively by the city government, as **many actions are likely to be co-financed**, e.g., by national government





ministries, utilities, private sector investors, or international development partners.

As a critical step in the run-up to the Action Plan Development ([next Stage 2.3](#)), the prepared shortlist of actions needs to be **reviewed by the city government and AfDB and endorsed by the mayor**. Given the centralized governance structure in many African countries, it can also be advisable to seek **review and endorsement of the prioritized actions by the national government** – e.g. the Ministry of Finance – to confirm alignment of the shortlisted actions with policy and investment priorities at the national level.

IMPLEMENTATION GUIDANCE

Purpose: Scoping and prioritizing key actions for the city to be delivered over the next 5 years towards achieving its vision and objectives across a variety of sectors and themes.

Role Responsibilities:

| | | |
|---|---------------------------|--|
|  | AfDB | Review longlist and shortlist of actions. Participate in Action Planning Workshop |
|  | City Government | Contribute to the longlist of actions. Participate in the multi-criteria analysis of the actions. Coordinate participation / inputs of senior officials into Action Planning Workshop. Provide workshop facility to host stakeholder engagement. Participate in Action Planning Workshop and technical meetings. Obtain mayoral endorsement of shortlist of actions. Liaise with national government on endorsement of shortlist of actions, as appropriate. |
|  | Consultant | Develop longlist of actions. Conduct multi-criteria analysis of the actions. Prepare mission plan. Coordinate with city government on workshop and technical meetings. Prepare materials for Action Planning Workshop. Conduct / facilitate activities during workshop and technical meetings. Record findings from workshop and technical meetings. Prepare shortlist of actions for government endorsement. |
|  | Other Stakeholders | National government staff to Action Planning Workshop, as appropriate. Other stakeholders participate in workshop and technical meetings, as per invite. National government to review (and endorse, as applicable) shortlist of actions. |

Outputs/Outcomes:

- ✓ **Action Planning Workshop** conducted.
- ✓ **Longlist and shortlist of actions** prepared (organized into short, medium, and long-term actions where useful).
- ✓ **Shortlist of actions** endorsed by city and national government.

Resource Requirements:

| Resource Types | Requirements |
|---------------------|---|
| Time Resources | Development of multi-criteria analysis tool – 1-2 weeks Preparation of longlist of actions – 2-3 weeks Preparation of workshop and technical meetings – 2-4 weeks Conduction of workshop and technical meetings – 1-2 weeks Recording of findings – 1 week Preparation of shortlist of actions – 1 week Endorsement of shortlist of actions – 2-3 weeks |
| Financial Resources | Expense budget for city visit (e.g. travel of Consultants and AfDB), as well as workshop and technical meeting facilities and equipment, unless provided in-kind by government. <i>Caveat: Depending on the regulatory or customary situation in a given city / country, remuneration or expense allowances for stakeholder participation in engagement events may be recommended or required.</i> |
| Human Resources | Senior decision-makers, including mayor, to be available for activities. Stakeholders to be available for activities. AfDB staff to be available for activities. Media to be invited, as appropriate. |
| Technical Resources | Multi-criteria analysis tool Information on ongoing/planned investments Information on national government policy and investment priorities There may be requirements for interpretation during the engagement activities |
| Material Resources | Workshop and technical meeting facilities and equipment |

Key Considerations:

Check if the MCA matrix (criteria and their weighting) should be adjusted to the city's particular circumstances and/or as informed by the agreed vision/objectives or other government guidelines on assessing and prioritizing actions.

Review the longlist of actions before the MCA to remove duplicates, overly generic entries (that are not actions), or items that do not fall into the spatial or administrative area of the city government.

Ensure that both 'hard' and 'soft' actions are reflected in the longlist.

Aim for a balance between different sectors and themes.

Include actions of different ambition/difficulty, from quick wins and low-hanging fruits through to more complex or technically advanced actions.

Consider different engagement formats to reach a variety of stakeholder groups in the review and shortlisting of actions, supported by AfDB e.g. in the hosting of town hall meetings or consultations and exhibitions.

Closely involve the mayor and other senior officials in the longlisting and shortlisting of actions due to its critical importance in the process.

Tasks:

1. **Scoping:** Based on the City Profiling Report, other existing plans and studies, technical meetings with city government and other stakeholders, as well as inputs obtained during the City Profiling Workshop and any site visits, the Consultants prepare a longlist of actions in a table format (e.g. Excel, Table 11). The City Focal Point should assist in making relevant information available on any investment plans and ideas. In addition to existing actions, the Consultants can scope additional actions that align with achieving the city's vision and objectives.

Note: *During the City Profiling Workshop or the visioning activities with stakeholders, the Consultants may have obtained additional action ideas that can be reflected in the longlist.*

2. **Sorting and Review:** The Consultants together with the City Focal Point shall categorize and sort the actions (Table 11), removing any duplicates and sharpening any actions that are not yet clearly saying what they intend to achieve

(e.g. ‘making the city greener’ is not an action but rather a loosely defined development objective; ‘expanding green spaces across the city’ would sound more actionable). The City Focal Point and the AfDB Focal Points may also use this task to add other action ideas to the table.

3. Devising: The Consultants shall prepare an MCA with criteria and proposed weighting to discuss with the City Focal Point and AfDB. Depending on the approach chosen, the criteria and weighting may be decided by this smaller group, confirmed by the mayor, and/or finalized by stakeholders in the Action Planning Workshop.

Note: *The weighting of the different criteria can be informed by the agreed vision and objectives of the city (Box 16). These would put emphasis on certain aspects, which in turn could be given more weight in the MCA. It is also possible to run the MCA with all criteria having equal weight and to then compare the results against the actions assessed against the differently weighted criteria.*

4. Analyzing: The Consultants may opt to run the MCA of the longlist of actions prior to the Action Planning Workshop. Doing so would allow the Consultants to arrive at an initial evaluation of the actions, which can form a basis for discussion and further analysis in the workshop. Alternatively, the MCA can be conducted from scratch during the workshop.

Note: *In some cases, it may be useful to further organize the shortlisted actions into short, medium, and long-term actions, particularly where there are interdependencies between actions (i.e. one activity needs to be completed first, before another activity can follow) or where a programmatic approach is devised that foresees several interlinked actions to build up on each other, run partially in parallel, and target a joint outcome (e.g. for a comprehensive neighborhood upgrading intervention).*

5. Preparation: Well in advance, the Consultants shall identify with the City Focal Point a suitable time for the city visit that will include the Action Planning Workshop. The Consultants shall prepare a draft program for the visit and seek feedback from the City Focal Point and the AfDB Focal Points on the proposed activities. The proposed program shall include draft agendas for the different activities (workshop and technical meetings) and a preliminary list of stakeholders,

based on the Engagement Plan with stakeholder list. The City Focal Point shall confirm availability of senior officials and other stakeholders. Similarly, the AfDB Focal Points will confirm availability of relevant AfDB participants in the city visit.

6. Invitation: Once date and program are confirmed, the City Focal Point shall coordinate the invitation of the corresponding stakeholders for the different activities. Where required, the mayor and/or national government shall be involved in issuing the invitations. The City Focal Point shall also note confirmations/declines to the invitations to conclude on the final number of participants.

Note: *Besides regular update calls between the Consultants, the City Focal Point, and the AfDB Focal Points, it is recommended to touch base on a more regular basis in the run-up to the city visit to ensure all logistical and technical preparations are advancing as per plan and any issues can be addressed proactively.*

7. Implementation of Workshop: The City Focal Point together with the Consultants facilitate the execution of the stakeholder workshop. The overarching objective of the workshop is to brief stakeholders on the progress of the AfDB Cities Program support activities to date and obtain their inputs into the MCA of the actions. Depending on when the workshop is conducted, the engagement with stakeholders may feature other exercises, such as scoping of additional actions, preliminary development/description of some actions, discussion and agreement on high-priority projects ([Step 2.3.](#)), confirmation of structure of the Action Plan. Opening remarks by senior officials, e.g. the mayor or national government representative, and AfDB participant can express the importance of the event and wider activities and encourage stakeholders’ active participation throughout the event.

Note: *Building up on the Engagement Plan with stakeholder list, it is important to capture participants information to keep track who attended which activities throughout the process. Additionally, it is recommended to ask for participants’ feedback on the conducted activities (both positive and negative aspects) to improve future engagement formats (see **Implementation of Technical Meetings:** In order to inform the MCA and to potentially already obtain more detailed information on*

shortlisted actions – in particular the potential 5 high-priority projects – the Consultants may want to use the city visit to conduct in-depth technical meetings with relevant action owners (e.g. sector departments or utilities). The City Focal Point together with the Consultants would facilitate the execution of the technical meetings.

Note: *For increased efficiency, it can be useful to organize technical meetings in parallel (with the Consultants splitting themselves between meetings) or to use a ‘rotating door’ principal – this format would have the technical meetings take place directly in the city government’s offices and department staff would be called to the meeting once the previous department’s technical meeting session has ended. This format is often more efficient and easier to attend by government staff who can easily go from their rooms to the technical meeting room and right back to their everyday work once the meeting concludes.*

8. Implementation of Other Activities: A variety of other activities can be conducted during the city visit, including preparatory and debriefing meetings (e.g. with the mayor). If appropriate, the City Focal Point with the Consultants and AfDB can also prepare a news release on the workshop and/or other activities for sharing with media outlets and/or publishing on the government’s media channels. The visit could also be used to confirm the later review and approval process of the Action Plan ([Stage 2.2.](#)).

Note: *Although not foreseen during this city visit, additional site visits can be useful where they inform the shortlisting or further development of prioritized actions.*

Note: *Although the situation will vary between cities, it has often been useful to record key take-aways and follow-up actions from a city visit in a document (e.g. an Aide Memoire, Mission Debrief, or Back-to-Office Report) that the key involved parties – city government, AfDB, and Consultants – can refer to for a quick understanding and agreement of conducted activities and upcoming steps. This can then also form a basis for future visits to the city or virtual engagement with senior officials.*

9. Reporting and Follow-Up: In order to ensure that the city visit informs the Action Plan development (next stage), the Consultants will need to record findings from the different activities (can be in words, pictures, audio, and other files, as useful). During the city visit or right after, the Consultants through the City Focal Point should also follow up on questions or requests that came up and could not be resolved during the activities.

10. Shortlisting, Review, and Endorsement: The Consultants will process the outputs from the MCA and create a shortlist of actions. This shortlist should be reviewed by AfDB Focal Points, as it allows for an early sighting of potential investment project ideas to be taken up at a later point. The City Focal Point should coordinate the review and endorsement of this list within the city government, including the mayor and city council, executive committee, or similar, as appropriate. Given the importance of national government in many African countries, it will likely be critical that the City Focal Point – potentially through the mayor – seeks review and endorsement of the shortlisted actions by the national government ministry, e.g. the Ministry of Finance or the Ministry of Local Governments. At the end of this step, the shortlist of actions should have been endorsed by the government in writing, as a gate towards the next activities. It is important to underscore that the output of this exercise is a shortlist of actions – the exercise shall not define a ranking of those shortlisted actions, as this creates unnecessary complexity and potential conflict in the process. Instead, the process facilitates the narrowing down of impactful actions from an original longlist.

Note: *Recognizing the capacity of city governments, a prioritized list of some 10-30 actions may be recommendable to be put forward for the Action Plan, with the intention of preparation and implementation over the next 5 years.*

Note: *It can be useful to organize a presentation of the shortlist of actions to senior officials of the city government and/or national government, with attendance of the AfDB. This presentation could take place as part of the Action Planning Workshop city visit, or afterwards.*

Box 15. From Strategizing to Prioritizing – AfDB African Cities Program Support to Dodoma (Tanzania)

In 2021, African Development Bank under the African Cities Program with support from its Urban and Municipal Development Fund (UMDF) commissioned SWECO to conduct an urban Action Planning process for the city of Dodoma. The purpose of this study was to provide a comprehensive city profiling assessment to understand Dodoma’s main urban issues, needs, priorities and opportunities.

Following the diagnostic process, an urban visioning exercise was conducted, centered in the Dodoma National Capital City Master Plan (2019-2039). The vision projects Dodoma to become the most productive, livable and smart capital city in Sub Saharan Africa by 2050. The key strategic priorities underpinning the vision were improving city productivity, competitiveness, smartness, livability and resilience.

Building up on the diagnostics and vision, an Action Plan was prepared with projects on formalizing and digitizing waste collection processes, flood mitigation measures, diversifying energy sources, improving water supply, and designing a bus-rapid transit (BRT) system, and active travel.

Strong stakeholder engagement, including extensive efforts to enable the meaningful participation of a diverse set of urban actors through digital means during the COVID-19 pandemic, meant that the diagnostic and participatory planning process was robust and led to the development of a solid urban vision, strategy and action plan. It is to be seen which follow-on investments will come out of this process.

Action plan: City of Dodoma
Which of these proposed interventions do you find most/least important?

Please select **three (3) interventions that you find most important** and **one (1) intervention that you find least important**.

| | Most important | Least important |
|---|--------------------------|--------------------------|
| Household waste separation and collection | <input type="checkbox"/> | <input type="checkbox"/> |
| Digital billing for waste collection | <input type="checkbox"/> | <input type="checkbox"/> |
| Solar PV plant (finance already agreed) | <input type="checkbox"/> | <input type="checkbox"/> |
| Household biogas production (from food waste) pilot project | <input type="checkbox"/> | <input type="checkbox"/> |
| Sustainable and affordable housing pilot project | <input type="checkbox"/> | <input type="checkbox"/> |
| Water resource management plan | <input type="checkbox"/> | <input type="checkbox"/> |
| Flood risk management plan | <input type="checkbox"/> | <input type="checkbox"/> |
| Community based entrepreneurship initiatives | <input type="checkbox"/> | <input type="checkbox"/> |
| Bus Rapid Transport (BRT) | <input type="checkbox"/> | <input type="checkbox"/> |
| Walking & cycling masterplan & pilot project | <input type="checkbox"/> | <input type="checkbox"/> |
| Capacity building for improved revenue collection with postcode implementation | <input type="checkbox"/> | <input type="checkbox"/> |
| Improved digital connectivity (broadband and/or mobile) with virtual community services pilot project | <input type="checkbox"/> | <input type="checkbox"/> |

| | Most important | Least important |
|---|----------------|-----------------|
| Household waste separation and collection | ● | ● |
| Digital billing for waste collection | ● | ● |
| Solar PV plant (finance already agreed) | ● | ● |
| Household biogas production (from food waste) pilot project | ● | ● |
| Sustainable and affordable housing pilot project | ● | ● |
| Water resource management plan | ● | ● |
| Community based entrepreneurship initiatives | ● | ● |
| Bus Rapid Transport (BRT) | ● | ● |
| Walking & cycling masterplan & project | ● | ● |
| Capacity building for improved revenue collection with postcode implementation | ● | ● |
| Improved digital connectivity (broadband and/or mobile) with virtual community services pilot project | ● | ● |

Sources: Ministry of Lands, Housing and Human Settlements Development, the United Republic of Tanzania. 2019. Dodoma.; AfDB. 2022. Action Plan for Dodoma. Abidjan.; AfDB. 2022. Urban and Municipal Development Fund Annual Report 2020-21. Abidjan.

Box 16. Longlisting and Prioritizing Resilience Actions in Fez (Morocco)

The Resilience Strategy for Fez, Morocco, was developed through interactive workshops with the World Bank, the national Ministry of Interior, city stakeholders and the Commune of Fez to lay out the city's development vision and medium-term strategic objectives.

Based on a diagnostic, a longlist of interventions was prepared by a consultant team using inputs gathered throughout the diagnostic from the Commune and local and international experts. Specific criteria were selected to prioritize and weight actions across environmental, social, economic, and institutional themes. The longlist was sifted using the criteria and participatory stakeholder engagement sessions.



Actions were then detailed and collated into a Resilience Strategy with an action plan for 2020-2025 to support progressing actions for financing and implementation. Overall, the diagnostic, subsequent resilience strategy and action plan have laid the foundation of Fez's future approach to disaster risk management, building capacity, identifying policy changes, and directing short- and long-term investments for resilient urban development.



The methodology has also informed the development of a technical handbook for municipalities in Morocco to guide them through the same process, with a focus on climate and disaster resilience and to develop resilience strategies and action plans for other cities.

Source: AECOM. 2022.

Table 11. Template: Actions Multi-Criteria Analysis Matrix (with Illustrative Weighting and Application Example)

| Assessment Categories | Criteria | Illustrative Weighting | Combined Weighting per Category |
|--------------------------|--|------------------------|---------------------------------|
| ENVIRONMENT AND CLIMATE | C1. Is the action tangibly contributing to improving the quality of the city's environment? | 7% | 33% |
| | C2. Is the action improving resource use efficiency? | 9% | |
| | C3. Is the action contributing to reducing greenhouse gas emissions? | 7% | |
| | C4. Is the action contributing to building resilience to climate change and natural disasters? | 10% | |
| ECONOMIC AND SOCIAL | C5. Is the action expected to contribute to economic growth and job creation? | 8% | 34% |
| | C6. Is the action promoting private sector involvement, in implementation and/or financing? | 8% | |
| | C7. Is the action improving access to physical and social infrastructure services? | 10% | |
| | C8. Is the action supporting gender equity and social inclusiveness? | 8% | |
| STRATEGY AND FEASIBILITY | C9. Is the action implementable within the current regulatory and policy framework? | 10% | 33% |
| | C10. Is the action within technical and administrative capacities of the city? | 8% | |
| | C11. Is the action featuring highly innovative solutions or has a considerable transformative effect? | 5% | |
| | C12. Is the action contributing to the financial sustainability of the city (e.g. revenue generation or cost savings)? | 10% | |
| | | 100% | 100% |

Applied to actions scoring and ranking:

| General Information | Environment and Climate | | | | Economic and Social | | | | Strategy and Feasibility | | | | Scoring | | Ranking for Inclusion in Shortlist (e.g. cutoff after action rank 15) | |
|---------------------|-------------------------|-------------|--------|----|---------------------|----|-----|----|--------------------------|-----|-----|-----|---------|----------------|---|---------------|
| | C1 | C2 | C3 | C4 | C5 | C6 | C7 | C8 | C9 | C10 | C11 | C12 | Score | Weighted Score | Rank | Weighted Rank |
| Action ID | Action Title | Action Type | Source | 7% | 9% | 7% | 10% | 8% | 8% | 10% | 8% | 10% | | | | |
| 1 | ... | ... | ... | 1 | 2 | 1 | 2 | 1 | 1 | 2 | 2 | 2 | 17 | 1.45 | 1 | 1 |
| 2 | ... | ... | ... | 1 | 0 | 2 | 0 | 1 | 2 | 1 | 1 | 2 | 14 | 1.11 | 4 | 4 |
| 3 | ... | ... | ... | 2 | 1 | 2 | 2 | 1 | 1 | 1 | 0 | 2 | 15 | 1.21 | 2 | 3 |
| ... | ... | ... | ... | 1 | 1 | 1 | 3 | 0 | 0 | 1 | 2 | 2 | 15 | 1.30 | 2 | 2 |

Note: The ranking column at the end of the table shall facilitate a 'cutoff' between those actions that are included in the shortlist and those that did not achieve a sufficiently high score to be shortlisted. It is strongly advised to not engage into prolonged discussions of why one action ranks e.g. number 2, while another action ranks e.g. number 4 in a situation where both of these actions are included in the shortlist.

Source: AECOM. 2022.

2.3. Action Plan Development



The **Action Plan Development Stage** under the Action Planning Phase includes **4 steps**: (i) Mapping Out Prioritized Actions with General Information; (ii) Developing Project Sheets for Top 3-5 Prioritized Actions; (iii) Devising Action Plan

Implementation Mechanisms; and (iv) Compiling and Validating the Action Plan, which are detailed in the following sections. The orange box below summarizes the objectives and outputs from this stage.

| | |
|--|---|
| <p>Objectives</p> <ul style="list-style-type: none"> • Compile an action plan report that supports the prioritized actions with business cases • Develop a delivery time frame for the actions and assigning responsibilities | <p>Outputs</p> <ul style="list-style-type: none">  Action Plan compiled and validated  Project Sheets for priority actions developed |
|--|---|

Step 2.3.A. Mapping Out Prioritized Actions with General Information

A key part of a city’s Action Plan is the presentation of its prioritized long-term, medium-term and short-term actions. With actions shortlisted and agreed in the previous step, the focus now turns to **mapping out general information** on the prioritized actions to support the Action

Plan audience to quickly understand what each action is about. In order to keep the Action Plan succinct, **each prioritized action should be presented very succinctly on a maximum of 1 page** (see Template in Table 12). Only for the top 3-5 prioritized actions will detailed project sheets

be prepared ([next Step 2.3.B](#)). As the template follows similar categories as the Project Sheet Template (Table 17), it is efficient to later on build up on the general information to capture more details for the top 3-5 prioritized actions.

For the shortlisted actions, it is advisable that relevant sector departments or similar entities are involved at an early stage to ensure that each **proposed action is being “owned”** by someone. As financing is of critical importance, the prioritized actions should show **indicative information on possible financing mechanisms**. This includes aspects such as the parties and sources, as well





as the type of finance that could be applicable for an action – considering, as well, the involvement of the **private sector** in project finance and delivery (Box 17), as well as the eligibility of a city’s actions for **climate finance**, e.g. through the AfDB (Box 18).

As previously mentioned, the **Action Planning Workshop** under [Step 2.2](#) may include activities that can support the mapping out of general information on the shortlisted actions. Additionally, engagement with the action owners can inform the drafting process.

IMPLEMENTATION GUIDANCE

Purpose: To map out shortlisted actions with general information to form a key part of the Action Plan.

Role Responsibilities:

| | | |
|---|---------------------------|--|
|  | AfDB | AfDB Focal Points (and sectoral colleagues as applicable) to review of the mapped out actions. Share mapped out actions with climate finance and private sector colleagues for early identification of corresponding potential. |
|  | City Government | City Focal Point to coordinate with relevant action owners to obtain technical inputs, review, and buy-in for the shortlisted actions. |
|  | Consultant | Map out and update shortlisted actions. Obtain inputs from action owners. Finalize shortlisted actions based on comments received. |
|  | Other Stakeholders | Action owners to provide technical knowledge and review into the mapping of shortlisted actions, as applicable. |

Outputs/Outcomes:

- ✓ 10-30 shortlisted actions mapped out with general information.

Resource Requirements:

| Resource Types | Requirements |
|----------------------------|--|
| Time Resources | Mapping out of shortlisted actions – 4-6 weeks Review of mapped out actions – 2-4 weeks Updating of shortlisted actions – 2-3 weeks |
| Financial Resources | None. |
| Human Resources | Different sector specialists from the Consultants City Focal Point’s (and other stakeholders’) availability for technical inputs and review AfDB Focal Points’ (and sector colleagues’) availability to review AfDB climate finance and private sector colleagues’ availability to review |
| Technical Resources | Understanding of applicable technical, regulatory/policy, and financial solutions for each action |
| Material Resources | None |

Key Considerations:

Keep the description of each action short and simple.

Refer to similar actions in other cities to describe the shortlisted action in the absence of more concrete data (e.g. with regard to timeframes, delivery modes, and estimated costs).

Highlight any existing activities, studies, or communication with potential investors that clarify which stage the action is currently at.

Consider if the city government has experience in delivering non-traditional infrastructure projects (e.g. PPPs) and what delivery modes can correspondingly be proposed.

Consider if an action could be eligible for climate finance.

Reflect on other cross-cutting aspects such as gender inclusiveness and smart technology solutions.

Estimate potential benefits and impacts from the action and provide quantified estimates where possible.

Ensure that action owners ('project clients') understand and indicate buy-in for the proposed actions.

Tasks:

1. **Drafting:** Based on the agreed prioritized actions from the previous steps, the Consultants map out each action following the proposed template (Table 12). The Consultants should ask the City Focal Point to feed into the development of the actions, in particular, coordinate with relevant sector departments or similar that would be the action owners ('project clients') for each action. Where applicable, national government actors may also be involved in feeding into the actions, where appropriate.

Note: *It is acknowledged that detailed information will likely not be available for many shortlisted actions. The Consultants should use reference cases and discuss with city stakeholders and AfDB on applicable comparable projects from other cities onto which the general information for each action can be based upon.*

Note: *Although each mapped out action shall not be longer than 1 page, it is up to the Consultants to attach further information or expand on individual sections of the template in situations where additional details are readily available on an action. Alternatively, reference in the template can be made to other existing studies.*

2. **Engagement and Review:** The City Focal Point shall assist the Consultants in involving the potential action owners, e.g. by seeking their written inputs or have them join virtual calls or set up technical meetings as part of the Action Planning Workshop ([Step 2.2.](#)). They can both provide technical inputs and review the draft actions. Alongside this, AfDB Focal Points shall review the draft actions as well and obtain inputs from sector colleagues and climate finance and private sector specialists, as appropriate.

Note: *As the drafting of the actions may progress at different speeds, the Consultants may agree with the City Focal Point and AfDB Focal Points to share draft actions whenever they become available, instead of waiting for all actions to be drafted before sharing them for review. As such, this process would foresee a continuous review process, with some flexibility needed from all experts involved.*

3. **Confirmation:** After having received comments from the city government and AfDB, the Consultants will update the actions and forward the final set to the City Focal Point to share with the mayor for seeking confirmation that the developed actions are okay to be included as such in the ensuing Action Plan. In case the national government, e.g. through the Ministry of Finance, is already well involved in the AfDB Cities Program support process for this city, it may choose to also review and provide its confirmation for the mapped out actions.

Table 12. Template: Mapped Out Action (with the Illustrative Example of “Bizerte Smart City – Digital Free Zone Development Project (Tunisia)”)

| Project Title | Bizerte Smart City – Digital Free Zone Development |
|------------------------------------|---|
| Project Type | <i>Investment project development</i> |
| Project Objective | <i>To establish a ‘Digital Free Zone’ business ecosystem specialized in data processing and digital services.</i> |
| Simplified Theory of Change | <i>The development of a ‘Digital Free Zone’, including an intercontinental digital port and big data hub will catalyze economic growth for Bizerte and surrounding regions.</i> |
| Project Description | <i>The city intends to leverage the potential of the marine cables, the trunk global data-in-frastructure, that pass very close to Bizerte. Construction of a new cable landing station, investments in datacenters, and a suite of supporting smart city projects will help Bizerte access the data highway and position itself at the center of one of Tunisia’s key economic centers for the 21st Century. The technical assistance will focus on a series of feasibility studies for the various proposed investment components. Additionally, capacity development support will be provided to the Municipality of Bizerte through the knowledge exchange between Tunisian and Korean counterparts facilitated by collaboration with the City of Busan, a leader in smart city technology in Asia.</i> |
| Status of Preparation | <i>Proposed (pending approval), no detailed studies conducted yet</i> |
| Timeframe | <i>12 months</i> |
| Project Client | <i>The Municipality of Bizerte</i> |
| Project Partners | <i>AfDB; UMDf; Bizerte 2050; Tunisian Smart Cities; Bizerte Governate; Government of Tunisia; Bizerte 2050; Tunisian Smart Cities; The Government of Korea</i> |
| Key Benefits | <i>Local economic growth; Job creation and employment; Livelihood development; Smart City development; Local human resource development</i> |
| Financing Approach | <i>Technical assistance grant (Government of Korea) Non-sovereign loan (AfDB)</i> |
| Estimated Project Cost | <i>Pre-Investment: USD 0.6 million (AfDB grant) Investment: USD 50-60 million (AfDB non-sovereign loan)</i> |

Source: Template developed by AECOM, 2022. Illustrative example information sourced from AfDB. 2021. Bizerte City Diagnostic and Action Plan. Abidjan; AfDB. 2022. Urban and Municipal Development Fund. Interim Report 2022. Abidjan.

Box 17. Importance of Public-Private Partnerships in Delivering Urban Infrastructure in Africa

Poor infrastructure continues to hinder economic growth in most African cities and countries. Increasing impacts of climate change mean that already unreliable infrastructure services will be greatly affected and that the existing financing gap of \$100 billion per year by 2025 in the continent is likely to increase. Infrastructure in Africa is largely financed by national governments, accounting for 37% (US\$37.5 billion) of total commitment in 2018, however only 10% of priority infrastructure projects make it to project close, with 80% falling at the feasibility stage.

Therefore, equally important to developing more infrastructure projects is to mobilize public and private climate-resilient investments and to ensure access to finance to take on the adaptation and resilience components of these projects. Public-Private Partnerships (PPPs) are a key entry point to integrate climate adaptation and resilience into urban infrastructure projects.

Over the last decade, governments and multilateral bodies in Africa are increasingly turning to PPPs to attract private capital for infrastructure projects and bridge the existing investment gap. These institutions have invested significantly in building PPP frameworks to provide an enabling environment for project implementation across various sectors and geographies. Successful PPPs for resilient infrastructure in Africa include Egypt's West Delta Irrigation, Senegal's Dakar-Diamniadio Toll Highway, Niger's Dry Port, Kenya's Lake Turkana Wind Power Project, and South Africa's Gautrain Rapid Rail Link.

Source: UN. 2017. Africa Renewal. Partnerships giving Africa a new look: Private sector invests in mega projects; World Bank. 2021. Address today's challenges to build a sustainable long-term PPP strategy for Africa; World Bank. 2022. PPPs in Sub-Saharan Africa: Case Studies for Policymakers. Washington D.C.; AfDB. 2022. PPP Strategic Framework 2021-2013. Abidjan.

Box 18. AfDB's Efforts to Make Climate Finance Accessible to African Cities

Since mid-2021, the African Development Bank's Urban and Municipal Development Fund (UMDF) has been taking steps to ensure that a climate-informed approach be built into the African Cities Program and to ensure that projects and climate-specific components and activities under projects be developed and structured so as to be eligible to mobilize climate-specific financing from the wide array of dedicated climate funds and facilities. Further guidance will become available that can inform the AfDB African Cities Program support to city and national governments in identifying, prioritizing, and preparing projects with the aim to access climate finance for both climate mitigation and adaptation actions. Future updates to this Methodology can reflect related guidance and strategic directions.

Source: Jexium. 2022.

Step 2.3.B. Developing Project Sheets for Top 3-5 Prioritized Actions

Dedicated to making a city's Action Plan a highly useful document that supports the link between planning and investment, the Action Plan Development Stage features the step of **developing more detailed project sheets for the Top 3-5 Prioritized Actions**.

The **Template** for this (Table 17) has been **streamlined** in terms of structure and categories **to the templates used by AfDB in standard project preparation, appraisal, and loan approval**. As such, the resulting 5 project sheets can be taken forward by the government, AfDB and similar development partners, and/or the private sector towards feasibility studies, etc. In contrast to the succinct mapping of shortlisted actions in the previous step, the Top 3-5 Prioritized Actions are meant to be developed in much more detail, so that the resulting sheets provide a **clear overview of the proposed investment as a business case for further engagement** with potential investors.

If the Top 3-5 Prioritized Actions have not already been discussed and chosen during the Action Planning Workshop, they may be selected based on some of the following criteria: (i) by taking the 5 top-ranked actions from the MCA ([Step 2.2.](#)); (ii) by selecting those 5 actions that are most urgent; (iii) by selecting those 5 actions





that are most ready to be moved towards project preparation and implementation; and/or (iv) by selecting a mix of high-priority actions that are 'quick wins' (i.e. providing rapid results), 'low-hanging fruits' (i.e. being reasonably easy to implement), or particularly 'transformative' (i.e. having great potential to positively impact urban development in the city).

It should be noted that the shortlisted actions of a city may not always be "projects" in the strictest sense of the definition. A city's Action Plan is likely to feature a variety of action types that can relate to physical infrastructure investments, larger investment programs, as well as 'soft' measures around institutional improvement efforts (Box 19). For the **Top 3-5 Prioritized Actions**, however, it is necessary to tailor them into an actionable investment project – **a distinct bundle of activities that can be financed through a specific transaction**. This means, for instance, that a more programmatic action around "expanding peri-urban transit options through clean bus transport" could become a project for "Purchasing Electric Buses for Peri-Urban Transport"; or a 'soft' measure around "improving collection and use of spatial data in urban planning" could become a project on "Roll-Out of Geographic Information System for Municipal Spatial Planning Operations".

IMPLEMENTATION GUIDANCE

Purpose: Agreeing the Top 3-5 Prioritized Actions for more detailed development into project sheets.

Role Responsibilities:

| | | |
|---|---------------------------|--|
|  | AfDB | Provide advice to the government in selecting the Top 3-5 Prioritized Actions. Review the project sheets of the Top 3-5 Prioritized Actions, including inputs from sector colleagues as applicable. |
|  | City Government | Select the Top 3-5 Prioritized Actions. Obtain national government confirmation on the selection, if required. City Focal Point to coordinate with relevant action owners to obtain technical inputs, review, and buy-in for the Top 3-5 Prioritized Actions. Review the project sheets of the Top 3-5 Prioritized Actions. |
|  | Consultant | Provide advice to the government and AfDB in selecting the Top 3-5 Prioritized Actions. Prepare project sheets for Top 3-5 Prioritized Actions. Obtain inputs from action owners into the project sheet development. Finalize project sheets based on comments received. |
|  | Other Stakeholders | National government to confirm selection of Top 3-5 Prioritized Actions, if required. Action owners to input technical knowledge and review into the project sheets developments. |

Outputs/Outcomes:

- ✓ **Project sheets for Top 3-5 Prioritized Actions** developed.

Resource Requirements:

| Resource Types | Requirements |
|---------------------|--|
| Time Resources | Drafting of project sheets – 4-6 weeks Review of project sheets – 2-3 weeks Finalization of projects sheets – 2 weeks |
| Financial Resources | None. |
| Human Resources | Different sector specialists from the Consultants City Focal Point's (and other stakeholders') availability for technical inputs and review AfDB Focal Points' (and sector colleagues') availability to review |
| Technical Resources | Understanding of applicable technical, regulatory/policy, and financial solutions for each action |
| Material Resources | None |

Key Considerations:

Consider how much the Top 3-5 Prioritized Actions will contribute to achieving the agreed vision and objectives of a city government and choose from the shortlisted actions accordingly.

Ensure that the shortlisted actions chosen for project sheet development are actionable (investment) projects with clear rationale, outcome and outputs, as well as indicative information on potential implementation modalities.

Refer to similar actions in other cities to develop information in the project sheet template (e.g. with regard to timeframes, delivery modes, and estimated costs).

Be as specific as possible yet retain succinctness in presenting the information.

Use appendices to the project sheet to share additional material available for an action, e.g. maps, studies, or calculations.

Engage action owners ('project clients') to ensure proposed approaches, solutions, and delivery modes for an action are considered feasible and can be owned by them.

Put effort into aligning actions within the existing policy and strategy framework globally (e.g. SDGs), regionally (e.g. African Union Agenda 2063), nationally (e.g. country development strategy), and subnationally (e.g. city masterplan).

Reflect on other cross-cutting aspects such as gender inclusiveness and smart technology solutions.

Quantify information where possible. Use ranges where estimates cannot be more concrete at this point in time.

Tap AfDB staff's experience in devising project sheets for actions.

Tasks:

1. **Selection:** The City Focal Point needs to seek senior officials' decision on which 3-5 of the shortlisted actions to take forward for project sheet development. Depending on the governance context, this selection may be taken by the mayor, in consultation with the city council, executive committee, or similar; and/or possibly including the involvement of the national government, e.g. the Ministry of Finance; and/or be informed by a stakeholder consultation, e.g. as part of the Action Planning Workshop ([Step 2.2.](#)). The selection of the 3-5 high priority projects may be determined based on criteria such as urgent need for the infrastructure or services, projects' technical feasibility, the likely availability of finance, expressed interest of commitment from donors or investors, etc. This selection should not be informed by the use of the previous MCA matrix. Furthermore, it is not advised to discuss a ranking within the 3-5 high priority projects, as each of them is likely to have their own value. The Consultants can provide technical advice

on which shortlisted actions could be chosen. At the same time, the AfDB Focal Points should be in conversation with the city and national government to arrive at a selection.

Note: *AfDB has different engagement and communication modes with national and city governments. It can use different avenues to discuss the selection of the government for the Top 3-5 Prioritized Actions. As further elaborated in [Step 3.1.](#), it should be clear to senior officials that the AfDB through the UMDF commits to support the further development of 1 of the Top 3-5 Prioritized Actions e.g. through feasibility studies or similar assessments. Therefore, it is critical to include this 1 project among the 5 shortlisted actions for project sheet development.*

2. Develop: Following a selection of 3-5 shortlisted actions for project sheet development, the Consultants will use the previously mapped out general information for those 3-5 actions and build up the project sheet template for each. Similar to the previous step, the City Focal Point shall help coordinate with relevant sector departments or similar action owners ('project clients') to obtain their technical inputs, buy-in, and review of the project sheets.

3. Review: Besides the City Focal Point coordinating the review of the draft project sheets by relevant sector colleagues from both city and national government, the AfDB Focal Points should coordinate the review by their sector colleagues. Involvement of the AfDB Country Program Officer, cross-cutting specialists (e.g. for gender, safeguards, climate finance), and private sector colleagues can also be advisable.

4. Update and Confirmation: Based on comments received from government and AfDB, the Consultants will update the 5 project sheets. The City Focal Point shall seek confirmation of the final project sheets from the mayor and national government, e.g. Ministry of Finance or applicable line ministry of each action, if applicable.

Note: *If useful and requested, the Consultants together with the City Focal Point and AfDB Focal Points may present the Top 3-5 Prioritized Actions through a virtual call to government and AfDB staff, as well as other stakeholders, if appropriate.*

Box 19. Five Prioritized Actions from Antananarivo’s Action Plan (Madagascar)

In 2021, AfDB under its African Cities Program with support from the Urban and Municipal Development Fund (UMDF) commissioned Madexpertise and CityLinks to undertake an urban diagnostic and action plan for the city of Antananarivo.

The study consisted of the rapid diagnostics phase undertaken for the Commune Urbaine d’Antananarivo (CUA) and is structured around Vision Antananarivo 2025-2040 with three pillars: (i) A polycentric, connected and productive city; (ii) inclusive, accessible and secure city; and (iii) a resilient, green and healthy city.

The vision was developed following extensive stakeholder engagement, and the action plan is further structured around the main strategic pillars of the vision.

The Action Plan focused on urban mobility and accessibility as one of the city’s development priorities, and references the need for multiple investments, from preparation of the sustainable urban mobility plan (SUMP) to feasibility studies for the extension of the rail network, and design of a bus-rapid transit (BRT) network. There is also the emphasis on polycentric development, extending transport networks into the peripheries, optimizing land use and completing market relocation studies to identify more suitable locations for key industrial activities. The diagnostic study provided an overview of priority projects that can form the basis of critically needed investments into sustainable and resilient infrastructure in Antananarivo. The 5 Priority Actions are:



- 1. Sustainable Urban Mobility Plan (SUMP) and Bus Rapid Transit (BRT) system:** A USD 40-50 million investment for the Development of BRT Line and multimodal transport hub construction
- 2. Polycentric City & Transit-oriented development (TOD):** A USD 25-50 million investment for development of 2 urban sub-centers and industrial zones
- 3. Affordable and Collective Housing:** USD 62 million investment for construction of 5,000 housing units
- 4. Urban Resilience and Sponge City Projects:** USD 15 million investment for a pilot project on ‘Resilient Fokontany’ subdivision

Source: AfDB. 2021. Antananarivo City Diagnostic and Action Plan. Abidjan.

Step 2.3.C. Devising Action Plan Implementation Mechanisms

Another critical element of a city's Action Plan is the **delivery timeframe and governance mechanisms**. This can include the development of a **Gantt chart** to illustrate proposed sequencing of all the shortlisted actions. The city government needs to agree how it envisages to implement the Action Plan and how to monitor its implementation progress over time. For instance, the City Focal Point may continue to function as a coordinator of the Action Plan's execution. Similarly, if a Technical Working Group or similar committee was set up assist in the implementation of the AfDB ACP support process





so far, it may be useful to have them continue in their role during the Action Plan's execution.

This aspect is directly linked to **progress monitoring**. In order to ensure accountability and follow-through of the Action Plan, the city government with AfDB should regularly review how the Action Plan is being implemented and how the prioritized actions presented in the Action Plan are progressing from planning to financing, implementation, and operation. Related activities are further explained in [Step 3.2](#).

IMPLEMENTATION GUIDANCE

Purpose: Devising governance arrangements for the Action Plan implementation.

Role Responsibilities:

| | | |
|---|---------------------------|--|
|  | AfDB | Provide guidance on and review implementation mechanisms. |
|  | City Government | City Focal Point to co-develop implementation mechanisms. City Focal Point to obtain confirmation for proposed implementation mechanisms. |
|  | Consultant | Co-develop and update based on received feedback the implementation mechanisms. |
|  | Other Stakeholders | National government to review and confirm implementation mechanisms, if applicable |

Outputs/Outcomes:

- ✓ Arrangements for Action Plan implementation confirmed.

Resource Requirements:

| Resource Types | Requirements |
|----------------------------|--|
| Time Resources | Implementation arrangements drafted – 1-2 weeks Implementation arrangements reviewed – 1-2 weeks Implementation arrangements finalized – 1 week |
| Financial Resources | None. |
| Human Resources | Consultants with relevant sector specialists (e.g. policy expert) City Focal Points' availability and ownership AfDB Focal Points' availability for review and advice Senior officials (city and national) support |
| Technical Resources | Implementation planning and governance structure expertise |
| Material Resources | None. <i>Caveat: While this step in itself does not come with material or financial resource requirements, the role of coordinating the Action Plan implementation may be an additional responsibility for a city government staff and thus require availability of additional time and financial resources to enable that person to take up the task.</i> |

Key Considerations:

Consider previous projects and plans that the city government has delivered that have worked well and check if a similar approach could be replicated.

Discuss honestly among city government staff where capabilities and resources are best found to take up a coordination role for the Action Plan implementation.

Confirm buy-in of sector departments into the individual actions, as this will lift weight off the shoulders of the coordination lead.

Try to use existing functions and processes instead of creating new ones.

Tasks:

1. **Implementation planning:** The Consultants should use some tool to illustrate the Action Plan implementation (e.g. a Gantt chart). The output from this should be reviewed by the City Focal Point and AfDB Focal Points and accordingly updated, before being included in the Action Plan ([next Step 2.3.D](#)).

2. **Implementation arrangement:** The Consultants with AfDB Focal Points should discuss with the City Focal Point what approach for the Action Plan implementation and monitoring can work in the city government. Once the arrangements have been drafted, they should be discussed and agreed with the mayor and other relevant senior officials in the city government. The resulting approach shall be captured in a

short document (typically only 1-2 pages long), defining:

- How the Action Plan will be implemented;
- How the Action Plan’s implementation will be coordinated and monitored (see Table 15 for a monitoring template);
- Who is tasked with implementation and coordination; and
- How implementation and coordination will be supervised and progress discussed accordingly.

Note: *As mentioned above, the coordination role for the Action Plan implementation comes with additional capability and time requirements, which should be honestly discussed with senior officials of the city government to ensure that the assigned person(s) is (are) indeed able to fulfill their tasks.*

Note: *As the AfDB Cities Program is expanding its support to more and more cities, new insights will be gained on how different cities approach their Action Plan implementation. Through peer-to-peer learning, city governments at this stage in the process can learn from those that have already completed their Action Plan (also see [Step 3.2](#) on capacity development).*

Note: *If useful, the city government may decide to establish a Project Implementation Unit (PIU) that can oversee both the Action Plan implementation, as well as coordinate the different activities for the individual shortlisted actions, in particular the Top 3-5 Prioritized Actions.*

Step 2.3.D. Compiling and Validating the City Action Plan





After having mapped out the prioritized actions, prepared project sheets for the Top 3-5 Prioritized Actions, and outlined the implementation timeline and governance structure, the **Action Plan** can be compiled. The **style of the document** should cater to a diverse audience, be factual, avoid overly complex technical wording, and provide visually attractive content (e.g. by using photos, infographics, and maps). A **proposed structure for the Action Plan** is provided in Table 13.

It is anticipated that the review of the draft Action Plan shall not be too time-consuming as **all components of the plan have previously been developed with, reviewed by, and confirmed/endorsed by city government and other relevant stakeholders**. The approach to the review will vary from city to city as further explained in the tasks section below. Depending on the governance context, it is envisaged that the final approved Action Plan would be **made available to the general public** through the government's website and AfDB's website.

IMPLEMENTATION GUIDANCE

Purpose: To compile and validate key outputs from the AfDB Cities Program support process into a succinct Action Plan document.

Role Responsibilities:

| | | |
|---|---------------------------|---|
|  | AfDB | Provide inputs into the compilation of the Action Plan as required. Review draft Action Plan. Make final Action Plan publicly available, if agreed. |
|  | City Government | City Focal Point to confirm and coordinate review process for the draft Action Plan. City government staff to review draft Action Plan. City Government to approve the Action Plan and make it publicly available. |
|  | Consultant | Compile outputs from the process into a draft Action Plan. Update Action Plan based on comments received. Support review and validation process as applicable. Hand over useful material / data obtained during the support process. |
|  | Other Stakeholders | Applicable stakeholders to review draft Action Plan. National government, if applicable, to endorse / approve final Action Plan. |

Outputs/Outcomes:

✓ **Action Plan** reviewed, approved, and published.

Resource Requirements:

| Resource Types | Requirements |
|----------------------------|---|
| Time Resources | Action Plan drafting – 3-6 weeks Action Plan review – 2-4 weeks Action Plan finalization – 2-4 weeks Action Plan approval and publication – 2-4 weeks |
| Financial Resources | None. <i>(Caveat: see material resources below)</i> |
| Human Resources | Consultants with relevant sector specialists and possibly publication experts (e.g. copyeditor, graphic designer) City Focal Point's availability to coordinate review, approval, and publication process Senior officials' availability to review and approve Action Plan AfDB Focal Points to assist in review, approval, and publication process, and to review Action Plan Other stakeholders' availability to review Action Plan |
| Technical Resources | Publication-related tasks (e.g copyediting, graphic design, online publishing) |
| Material Resources | Depending on the city context, the city government may decide to print the draft and/or final Action Plan <i>(Caveat: corresponding financial resources may be required for such printing)</i> . |

Key Considerations:

Ensure that the review and approval process for the Action Plan follows corresponding regulatory requirements, including e.g. possible mandated public consultations.

Check different avenues for stakeholders to share their comments on the draft Action Plan.

Clarify when requesting the draft Action Plan's review how its different sections have been co-developed and/or reviewed by stakeholders in earlier stages of the process.

Consider additional time requirements for translations and final publication tasks around copy-editing and graphic layout.

Link the Action Plan's publication to other events of the city government to increase publicity for its launch.

Tasks:

1. **Compiling:** With all outputs of the ACP support scope of works for the Consultants completed, the Consultants would now compile key findings and content into a succinct Action Plan as per the proposed structure (Table 13). In addition to summarizing information, the Consultant should consider how the content – in addition to standard text – can be presented in a visually attractive, user-oriented way. Alongside this process, the City Focal Point shall liaise with the mayor (and national government, if applicable) on the preparation of a senior official's foreword to the Action Plan.

Note: *It is specifically recommended to not include the project sheets of the 3-5 Top Prioritized Actions in the Action Plan, as the plan shall function as an overarching guiding document for the city government. Including the project sheets may create the risk of the plan's approval being withheld due to missing information in a single project sheet. Furthermore, it is expected that the project sheets will be updated and expanded as further project preparation studies are being undertaken – this could mean that information in the sheets become outdated, which again would make the Action Plan 'less powerful'. Therefore, it is suggested that the project sheets (which have already been reviewed and confirmed earlier) are*

treated as separate outputs from the support process. Alternatively, they could be considered separate appendices to the Action Plan.

2. **Validation:** Although all sections of the Action Plan have undergone review by stakeholders in earlier steps of the ACP support process, the compiled draft Action Plan as a whole likely needs to be validated as a whole. The process for this validation will vary from city to city depending on the governance context. Ideally, the Consultants with AfDB Focal Points and City Focal Points have used earlier government engagement – e.g. during the Action Planning Workshop city visit – to confirm the appropriate validation and approval process. If not, they will have to do so at this point in time. The validation process should provide feedback from relevant stakeholders, including, at a minimum, the city government, national government (where applicable), and AfDB. The City Focal Point should coordinate the review by government stakeholders, while the AfDB Focal Points should coordinate the review by AfDB staff, as applicable.

Note: *It is recommended that the validation of the draft Action Plan is both in compliance with corresponding government regulations and allows for a meaningful participation of stakeholders. This means that in a context where no review of the Action Plan by any stakeholders outside of the city government is mandated, it could still be useful to invite external stakeholder review, or at least present the draft Action Plan through some forum (e.g. an online presentation or making the draft Action Plan available through the city government's website, hosting an online survey, or making the document available in the city hall). This process is distinctly dependent on the governance context and should be led by the City Focal Point.*

Note: *It is not foreseen that this step would feature a separate workshop with stakeholders for the Consultants to organize. If that were to be the case, the scope of works and budget for the Consultants would need to account for that.*

3. **Finalization:** The Consultants will update the Action Plan based on comments received from stakeholders. The Consultants will also prepare the Action Plan for publication (copyediting, graphic layout, etc.) and share the finalized product with the City Focal Point and AfDB Focal Points.

Note: As all sections of the Action Plan were previously reviewed and agreed with the government and AfDB, no substantive changes can be made to the Action Plan at this point in time. Were this to be the case, the Consultants shall propose, discuss, and agree a feasible way forward with AfDB and government.

4. **Approval:** Upon receiving the finalized Action Plan, the City Focal Point shall obtain final approval from the mayor and, as applicable, the city council, executive committee, or similar, and/or the national government.

Note: *Approval processes for government plans can at times result in very long-drawn review and debate situations. In cases where the government is not able to approve the finalized*

Action Plan (that has incorporated feedback as best possible) within a timeframe of 3 months (1 quarter), AfDB Focal Points need to discuss a feasible way forward with the government. At this point, the inputs of the Consultants shall be considered complete, as all technical activities have been implemented and all deliverables have been provided to AfDB and the government.

5. **Publication:** Once the Action Plan has been approved, it shall be published on the (city/national) government's website and AfDB's website (e.g. under the UMDf section³³) to make it accessible to the general public. The government and AfDB may decide to also upload other outputs from the ACP support process, e.g. the City Profiling Report and the project sheets of the Top 3-5 Prioritized Actions.

Table 13. Template: Action Plan Structure with Indicative Page Numbers (Example)

| Key Sections | Content | Indicative Page Numbers |
|---|--|--------------------------|
| Executive Summary | Featuring a succinct overview of the Action Plan's key information, accompanied by a table summarizing the prioritized actions. | 3 plus Actions Table (1) |
| Foreword from the Mayor (and National Government, as appropriate) | Highlighting the rationale for implementing the AfDB Cities Program in the city, briefly summarizing the process taken in the city to develop the Action Plan, and affirming the commitment to the city's long-term vision and strategic objectives by pursuing to implement the prioritized actions. | 1 |
| Findings from the City Profiling Report | Providing an overview of the findings derived from the assessment of the 4 Rapid City Profiling themes of (i) city context, (ii) institutional setting, (iii) sector performance, and (iv) climate and disaster risks. | 15 |
| City Vision and Objectives | Introducing the agreed long-term development vision and strategic objectives of the city and how they have informed the prioritization of a longlist of actions. | 2 |
| Prioritized Actions | Presenting the mapped out prioritized actions, best organized along the strategic objectives, sectors, or other themes that help the reader understand how the actions contribute to overarching goals and are interlinked with each other. A summary table of actions with key information, including the overall financing envelope of the Action Plan can be included at the start of this chapter. | 30-35 |
| Implementation Timeline, Governance Structure, and Monitoring Approach | Clarifying the timeline for the implementation of the Action Plan with its actions, confirming the proposed structure for the Action Plan's implementation coordination, and presenting the proposed approach to monitoring progress. | 5-8 |
| TOTAL | | 60-70 |

Note: *In order to retain the Action Plan as a valid document over its implementation timeframe of 5 years, it is recommended to not include the detailed Project Sheets of the Top 3-5 Prioritized Actions in the Action Plan, as the detailed technical information in the project sheets is bound to change as the projects move towards preparation, financing, and implementation. Them being potentially 'out of date' shall, thus, not impact on the Action Plan's overall validity as a guiding document. The decision eventually sits, however, with the city government to (not) include the project sheets.*

Source: AECOM, 2022.

³³ <https://www.afdb.org/en/topics-and-sectors/initiatives-partnerships/urban-and-municipal-development-fund>


3. Investment Preparation Phase

The **third phase of the ACP approach** is the **Investment Preparation Phase**. It entails **2 stages** (Figure 18): (i) **moving actions to project preparation**, and (ii) **monitoring progress and strengthening capacities**. The specific approach and follow-on activities in this phase will vary from city to city. Likewise, the **involvement of different actors in this phase will depend on the governance context in a particular country** – in some cases, the national government will be a driving force of the investment preparation, while in other contexts city governments themselves may have sufficient level of authority and capacity to move their prioritized actions towards project preparation and financing.

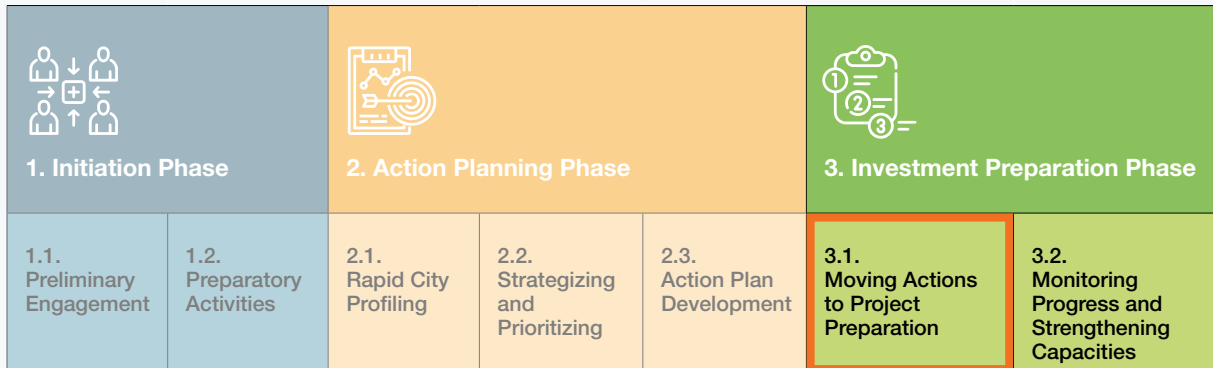
As part of the wider AfDB ACP support offering towards cities, this phase also features **training and other capacity development opportunities**, including through peer learning between cities. It is estimated that the steps in this third phase would take place over 12-24 months, depending on the range of activities that would occur for the preparation of investment projects.

***Note:** Due to the diverse nature of how this Phase would be implemented for each city and project, the steps below are only presented briefly.*

Figure 18. **African Cities Program Investment Preparation Phase Overview**

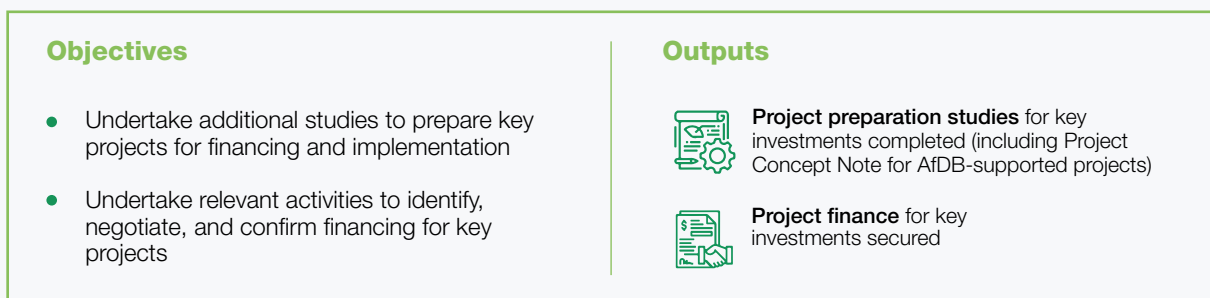
| PHASES | STAGES | STEPS | OUTPUTS |
|---|---|---|--|
|  3. Investment Preparation Phase | 3.1. Moving Actions to Project Preparation | 3.1.A. Confirming Selected Investments and Approaching Partners | Project Preparation Studies, Project Concept Note |
| | | 3.1.B. Conducting Necessary Project Preparation Studies and Assessments | |
| | | 3.1.C. Moving Projects towards Financing and Implementation | |
| | 3.2. Monitoring Progress and Strengthening Capacities | 3.2.A. Monitoring Action Plan Implementation Progress | Progress Monitoring Updates, Implementation Progress and Results Report |
| | | 3.2.B. Conducting Capacity Development and Knowledge Sharing Activities | |

3.1. Moving Actions to Project Preparation



The **Moving Actions to Project Preparation Stage** under the Investment Preparation Phase includes 3 steps: (i) Confirming Selected Investments and Approaching Partners; (ii) Conducting Necessary Project Preparation

Studies and Assessments; and (iii) Moving Projects towards Financing and Implementation, which are detailed in the following sections. The orange box below summarizes the objectives and outputs from this stage.



Step 3.1.A. Confirming Selected Investments and Approaching Partners

Informed by the approved and published City Action Plan with the prioritized actions and with identified detailed projects, the city government will reconfirm which **select set of actions** it intends to take forward towards immediate project preparation and which actions it may consider for project preparation in the medium and longer term. Its selection can be informed by relevant **government strategy and investment**

priorities, for which elements of some projects may be tailored further to better align with applicable decision criteria.

The UMDf-funded **ACP** commits to **support 1 of the Top 3-5 Prioritized Actions for further development** and, thus, this step is important for the city government and AfDB to confirm which project idea to take forward.

Reviewing the **proposed financing mechanisms** of each shortlisted action, the city government will be able to identify possible next steps to engage with different partners, for instance:

- **Government Financed:** Some actions may fit the resources and capacities of the city government and/or upper-level government for them to take forward those actions towards preparation and implementation.
- **International Development (Co-) Financed:** Some actions are proposed to access international development finance, for example in the form of concessional loans or grants – particularly where it relates to climate investments that may be eligible for preferential financing from international climate funds.
- **Private Sector (Co-) Financed:** Some actions show potential for the private sector to be involved in the preparation, financing, implementation, and/or operation of related assets. This can concern purely private sector investments, or public-private partnerships (PPPs).

In addition to those financing routes, it is important for the city government to scan the market for available **support mechanisms** that can assist in the **preparation of the projects** besides providing finance. This could include, for instance:

- **AfDB:** AfDB has several established support mechanisms and routes for projects in different sectors, both for public and private sector clients (including PPPs).
- **UMDF:** For urban area investments in particular, AfDB's UMDf is rolling out the ACP to at least 40 cities until 2027. The Fund will contract service providers for City Action Plans in 40 cities and provide technical and/or financial assistance to further develop 1 of the Top 3-5 Prioritized Actions per city.
- **Project Preparation Facilities:** There is a wide array of different project preparation facilities by multi-lateral and bi-lateral institutions, as well as by

national governments and development banks to support different steps in the project cycle (Table 14).

- **Bilateral Donors:** Bilateral donors are present in many African countries, usually with specific grant schemes to support national or subnational governments (including city governments) or other actors (e.g. NGOs, community groups, entrepreneurs) to move project ideas towards preparation, financing, and implementation. Additionally, bilateral donors or UN programs in some countries provide other forms of support, e.g. by co-financing or donating technical equipment, tools, or systems that can be relevant to the realization of projects.
- **Non-Government Organizations (NGOs), foundations, etc.:** NGOs and other research institutes, or philanthropic organizations can provide valuable support to project preparation and implementation, for example through technical assistance, access to data, design support, grant / gap funding, or other non-monetary / in-kind contributions.





In order to engage potential partners, the city government can use the City Action Plan with the identified projects as a first set of information. Some city governments have also found it useful to prepare a 'roadshow'-style PowerPoint presentation that summarizes their Action Plan for sharing for instance during conferences, webinars, or when engaging with potential investors and international development partners.

If found useful, a city government could furthermore undertake the following: (i) publish its City Action Plan on its **government website** to attract attention from potential investors; (ii) host an in-person or virtual **donor coordination meeting** to update multi- and bi-lateral development partners on the investment needs and understand donor priorities and eligibility criteria; (iii) invite interested parties to a **city visit** to show them the sites for potential investment, build trust and understanding of each other, and discuss necessary follow-on actions to move project ideas towards preparation, financing, and implementation.

IMPLEMENTATION GUIDANCE

Purpose: To identify partners for preparing prioritized actions.

Role Responsibilities:

| | | |
|---|---------------------------|--|
|  | AfDB | AfDB Focal Points and Country Program Officer to review the action plan and identify any actions for further support. AfDB to conduct scoping mission, if required. Oversight Committee to review and approve preparation support for 1 project. |
|  | City Government | To engage with potential partners to present Action Plan and prioritized actions. Host city visit and/or AfDB scoping mission, if applicable. Agree 1 project with National Government and AfDB for further preparation support. |
|  | Consultant | N/A |
|  | Other Stakeholders | Potential project partners to engage with government on prioritized actions. National government to facilitate engagement with potential project partners, as applicable. |

Outputs/Outcomes:

- ✓ **One project** among the Top 3-5 Prioritized Actions selected for further AfDB support (Government Letter of Endorsement for that issued).
- ✓ Other **engagement and project preparation activities** conducted by government, as applicable [*the activities and related outputs are too diverse to be specified here*].

Resource Requirements:

| Resource Types | Requirements |
|----------------------------|---|
| Time Resources | Discussing project for AfDB preparation support – 2-4 weeks Agreeing project for AfDB preparation support – 2 weeks Government engagement with potential funders – Continuous |
| Financial Resources | Funds for AfDB travel if scoping mission is conducted |
| Human Resources | Government staff's availability for different engagement tasks AfDB Country Program Officer's and AfDB Focal Points' availability and inputs into this step |
| Technical Resources | Letter of Endorsement for AfDB preparation support (if applicable) |
| Material Resources | Possibly linked to scoping mission (e.g. meeting facilities, car, etc.) |

Key Considerations:

Consider if the city or national government can host an investment forum to engage with potential partners for taking forward projects of the city.

Consider the engagement with other donors, financial institutions, and development banks that have existing investments in the city or country.

Use national government units (e.g. in the Ministry of Finance) dedicated to donor coordination and foreign direct investment to obtain support to take forward project ideas.

Tasks:

1. **Decision:** The City Focal Point in coordination with the mayor and other relevant departments, as well as national government ministries (e.g. Ministry of Finance) need to decide on which shortlisted actions from the Action Plan to take forward towards preparation. As part of their decision, they also need to consider the possible avenues for project preparation (government-driven, private sector, with development partner, etc.).

Note: As the follow-on tasks in terms of engagement of potential investors etc. varies significantly between cities and projects, those tasks are not further elaborated in the below list (a case study example is provided in Box 20). Instead, the focus is placed on the government-AfDB interaction.

2. Agreement: The AfDB Focal Points together with the AfDB Country Team (e.g. Country Program Officer) shall liaise with the city and national government to agree which 1 of the Top 3-5 Prioritized Actions to take forward for AfDB ACP project preparation support. As part of this process, AfDB may choose to conduct a Scoping Mission to the city / country to compare the Action Plan and project sheets to the condition on the ground.

3. Review and Endorsement:

a. Once a project idea has been identified for further AfDB support, the normal procedures

apply, which should include the Country Manager, Country Program Officer, Country Economist, Urban Development Division, the UMDF staff, and other AfDB sector staff as applicable.

b. In case of UMDF support under the ACP, the UMDF needs to review and confirm this project proposal additionally through its Oversight Committee, in line with the Fund Governance process.

Once a Letter of Endorsement for project preparation support is issued, the project should be included / earmarked for financing in the upcoming indicative operational program (IOP) for that country and reconfirmed with the national government’s Ministry of Finance (or its equivalent).

Note: For other external project preparation support beyond the AfDB, the process may differ and is not further explained here.

Box 20. Moving Actions to Project Preparation through CityStrength in Addis Ababa (Ethiopia)

In recognition of the need to improve urban planning and provision of basic services, the Government of Ethiopia completed the World Bank CityStrength Diagnostic (CSD) firstly in Addis Ababa and then in 9 further regional capitals of Ethiopia³⁴. Addis Ababa initiated the methodology with World Bank specialists in February 2015. The primary shocks identified in the diagnostic were flooding, urban fire and earthquakes; while primary stresses are unprecedented urban growth, water scarcity, unemployment, and social vulnerability.

Addis Ababa selected the compulsory sectors of Urban Planning and Development, Disaster Risk Management and Climate Change Adaptation and Community and Social Protection in addition to the optional sectors of Energy, Transportation and Water and Sanitation. Through a prioritization of actions the city identified 7 key actions including ‘Strengthen citizen engagement efforts using disaster risk management and climate change adaptation as a point of entry’, and 6 priority investments such as ‘Ensure coverage and reliability of basic services, including wastewater collection and treatment and energy distribution’. Within each of the sectors, the resilience of the sector was analyzed against the resilience pillars of: (i) coordinated, (ii) inclusive, (iii) reflective, (iv) redundant, and (iv) robust.

Like other pilot cities of the CSD, the project led to a common understanding of resilience for city officials in Ethiopia through a rigorous participatory process and multi-hazard assessments. The findings of the analysis were used to improve resilience in project design in traditional sector projects and enabling programs.



Actions were moved into implementation by selecting priority investments and linking them to finance with donors. As the largest infrastructure development partner in Ethiopia, the World Bank were engaged to support follow-on investments directly from the CSD. These included a \$550 million project to expand and strengthen service delivery of the national adaptive safety net to better support highly vulnerable drought prone communities³⁵ and a \$300 million project to improve urban transport mobility and road safety along the city’s strategic corridors³⁶

Source: World Bank. 2018. CityStrength Diagnostic Methodological Guidebook. Washington D.C.

³⁴ World Bank Group. 2018. CityStrength Diagnostic Methodological Guidebook.

³⁵ World Bank Group. 2022. Project Detail: Strengthen Ethiopia’s Adaptive Safety Net.

Available at: <https://projects.worldbank.org/en/projects-operations/project-detail/P172479>

³⁶ World Bank Group. 2022. Project Detail: Ethiopia Transport Systems Improvement Project (TRANSIP).

Available at: <https://projects.worldbank.org/en/projects-operations/project-detail/P151819>

Table 14. List of Project Preparation Facilities

| Facility Name | Main Focus | Website |
|---|---|---|
| C40 Cities Finance Facility | Provides support to C40 cities (and selected non-C40 cities) in developing countries to prepare low-carbon, climate-resilient infrastructure projects. This support usually takes form of technical assistance to ensure feasibility of proposals, their finance readiness, and evaluation of different financing options. | https://www.c40cff.org/apply |
| Green Climate Fund (GCF) | Provides support to developing countries for investment across four transitions – built environment; energy & industry; human security, livelihoods and wellbeing; and land-use, forests and ecosystems. The Fund implements a country-driven approach whereby developing countries lead GCF programming and implementation. | https://www.greencclimate.fund/ |
| Clean Technology Fund (CTF) | Provides support to developing countries to scale up low-carbon technologies with significant potential for long-term greenhouse gas emissions savings. The fund supports a wide array of clean technologies across different areas, including renewable energy, energy efficiency (of buildings, agriculture, and industry), and clean transport. | https://www.cif.org/topics/clean-technologies |
| Global Environment Facility (GEF) | Provides support to developing countries to strengthen efforts to address pressing environmental issues such as biodiversity loss, chemicals and waste, climate change, international waters, land degradation, sustainable food systems, forest management and cities. | https://www.thegef.org/ |
| Cities and Climate in Africa (CICLIA) | Provides support to cities across Africa to develop low-carbon and resilient infrastructure projects through technical assistance (feasibility studies, due diligence documents) to ensure finance readiness. | Request is sent directly to CICLIA's Secretariat . |
| African Water Facility (AWF) | Provides grants and technical assistance for implementation of sustainable water projects in Africa. Support can be provided to cities directly, to any of the three core focus areas: i) project preparation, ii) water governance, iii) water knowledge. | https://www.africanwaterfacility.org/en/grants/application-process/ |
| City Climate Finance Gap Fund | Provides technical assistance and capacity-building to support climate-smart projects and urban climate action strategies, with a focus on early stages of project identification and preparation. Also facilitates the links between cities and prospective financiers, including IFIs. | https://www.citygapfund.org/apply-for-support |
| Climate Support Facility | Provides short-term technical assistance (feasibility studies, project identification and prioritization, workshops, technical assistance) and training on climate change to cities in developing countries. | No dedicated website, request to the Secretariat. |
| Africa Adaptation Acceleration Program (AAP) | Supports countries to mainstream adaptation into policy planning and project preparation across 4 pillars: i) climate-smart digital technologies for agriculture and food security, ii) African infrastructure resilience accelerator, iii) empowering youth for entrepreneurship and job creation, iv) innovative financial initiatives for Africa. The second pillar specifically aims to scale up investment for climate-resilient infrastructure in sectors including energy, transport, water, waste, and can include technical support around urban diagnostics, structuring investment models, mainstreaming nature-based solutions. | https://gca.org/programs/africa-adaptation-acceleration-program/ |
| Covenant of Mayors (Sub-Saharan Africa branch) | Provides support for identifying, prioritizing and establishing a pipeline of low carbon, climate resilient infrastructure projects. Support includes preparation of pre-feasibility studies, financial structuring of projects, technical support and capacity-building, as well as facilitating links with potential financiers. | https://comssa.org/en/join#countries |
| Global Infrastructure Facility | Provides both funding and technical assistance from early project concept, design, appraisal, structuring and transaction support. Eligible sectors include energy, transport, water, sanitation and ICT. | https://www.globalinfrafacility.org/apply |
| InfraCo Africa | Provides support through provision of early risk capital and equity investments in infrastructure projects to help attract private sector investors. Typically requires cities to seek private financing to be eligible. | https://infracoafrica.com/working-together/#apply |

| Facility Name | Main Focus | Website |
|---|--|---|
| Subnational Climate Finance Initiative – Technical Assistance Facility (SCF TA) | Provides technical assistance to identify suitable investments, as well as training and support to cities to ensure feasibility of their projects and realize their environmental and social benefits. Key sectors covered include sustainable energy, waste and water management, and nature-based solutions. | https://www.subnational.finance/project-submission/ |
| The Cities Investment Facility | Provides support to catalyze investments in projects across different urban dimensions of the Sustainable Development Goals, targeting in particular affordable housing, slum upgrading, water and sanitation infrastructure, and others. | https://cip.flywheelsites.com/submit-your-project/ |
| Technical Assistance Facility of International Municipal Investment Fund | Provides support to cities and local governments in the early stages of development of urban sustainability projects (especially in transport, utilities, energy and waste management and urban planning). | https://www.uncdf.org/article/7688/eoi-imif-technical-assistance-facility |

Source: AECOM, 2022

Step 3.1.B. Conducting Necessary Project Preparation Studies and Assessments

Depending on the status of the selected project from the City Action Plan for further support, the city government (possibly with its identified partner(s)) will need to **conduct necessary studies and assessments** to advance the preparation of its prioritized project towards financing and implementation readiness. Those studies and assessments could include, among others: (i) **proof of concept study**, for technical solutions not previously applied in a similar context in the city; (ii) **full feasibility study** covering standard sections on technical, financial, and safeguards aspects; (iii) environmental and/or social impact assessments, based on a project’s initial risk category; (iv) **specific modelling**, building up on a feasibility study and revisiting technical or commercial details, for instance with regard to flood risk modelling (e.g. for infrastructure facilities or network infrastructure), travel demand modeling (e.g. for public transit





or toll road projects), and solar energy modeling and mapping (e.g. to confirm design choice and location for photovoltaic installations); (v) **detailed engineering design**, for projects that have already been prepared through feasibility studies; and (vi) tender and legal documentation, particularly where project modalities with private sector participation are pursued (e.g. PPPs).

Specifically referring to the **government-AfDB interaction**, this step would see the original project sheet of the chosen project from among the Top 3-5 Prioritized Actions be developed further into a **UMDF Project Information Memorandum (PIM, in case of UMDF preparatory support)** and afterwards into a **Project Concept Note (PCN) and Appraisal Report (PAR)**. The development of these outputs is likely to include different consulting services, as well as additional project site visits (e.g. Identification, Preparation and Appraisal Missions).

IMPLEMENTATION GUIDANCE

Purpose: Identification and completion of required studies to inform the Project Information Memorandum (PIM), followed by the development of the Project Concept Note for the AfDB supported project (*similar purpose for non-AfDB-supported projects that the government is taking forward through other avenues*).

Role Responsibilities:

| | | |
|---|---------------------------|---|
|  | AfDB | Provide funding to advance the relevant studies for further project preparation and review their outputs. Procure consulting services as required. Prepare Project Information Memorandum and Project Concept Note, including review by relevant sector staff. Conduct necessary project site visits, e.g. Identification Mission. |
|  | City Government | Take forward projects beyond the AfDB-supported one, including with national government and consulting support as applicable. Liaise with AfDB on and contribute to project preparation activities for the AfDB-supported project. Provide technical inputs and review to Consultants. |
|  | Consultant | Respond to RfPs for any studies being procured for project preparation. Implement project preparation scope of works. Update studies based on comments received. Partake in project site visits, as applicable. |
|  | Other Stakeholders | National government to participate in project preparation process, as applicable. |

Outputs/Outcomes:

- ✓ Project Information Memorandum (PIM) prepared for UMDf-supported project preparation.
- ✓ Project Concept Note (PCN) prepared towards the end of UMDf-funded project preparation for AfDB-supported project, discussed in AfDB Country Team, for potential integration into Bank IOP.
- ✓ Project preparation studies completed, as required, to inform Project Appraisal Report (PAR).

Resource Requirements:

| Resource Types | Requirements |
|----------------------------|--|
| Time Resources | Will vary from project to project – 12-24 months |
| Financial Resources | Funds required for project preparation studies and related consulting services, based on AfDB experience this ranges between 1%-5% of total investment costs. |
| Human Resources | Government staff availability to advance project preparation, including with technical inputs and review. AfDB staff availability to advance project preparation, including with technical inputs and review. Consultants with sector specialists for project preparation studies. |
| Technical Resources | TORs of project preparation studies. Technical, regulatory, and financial assessments to inform PIM, PCN, and project preparation studies. |
| Material Resources | Linked to project site visits (e.g. Identification Mission) and project preparation studies (e.g. site and ground surveys) |

Key Considerations:

Confirm which studies and assessments are required to prepare the project, as well as strengthen the capacity and overarching implementation framework under which the project sits (see Box 21 for a case study).

Establish an implementation approach to this step that is sustainable across a longer period of time, i.e. not dependent on a single person.

Check if the project preparation activities for related projects be combined to achieve efficiencies in procurement and delivery.

Tasks:

1. **Confirm:** Following the decision under the previous step, AfDB in consultation with the government needs to confirm which studies and assessments are required for the supported project to be taken forward, following standard AfDB procedures³⁷. These studies typically include, among others, a full feasibility, detailed design, environmental and social impact assessment, all informing the PCN (see next tasks).

2. **Procure:** In most cases, AfDB will procure consulting services to conduct the required studies and assessments. Consideration needs to be given to the most efficient procurement approach in this case, including value-for-money opportunities (e.g. bundling of services).

3. **Conduct and Review:** AfDB with the government and any procured Consultants will conduct the necessary studies and assessments and seek technical inputs and review from relevant sector departments at city and national level, if AfDB, as well as the private sector and civil society, as applicable. The resulting outputs will need to pass both government and AfDB review and standards.

Note: The study implementation activities or their review may entail project site visits, e.g. through an AfDB Identification Mission.

4. **Prepare:** Alongside and based on the studies and assessments, AfDB has to prepare its internal project preparation documents, namely the PCN followed by the PAR.

Note: Besides the above-described government-AfDB related tasks, the government may take other project preparation steps linked to projects that are not supported by AfDB. These have not been elaborated in this section, as they will vary from project to project.

Box 21. FELICITY Support for Clean and Integrated Public Transport System in Florianópolis (Brazil)

Through the technical and financial support of the Financing Energy for Low-Carbon Investment Cities Advisory Facility (FELICITY) – an initiative of GIZ, the European Investment Bank (EIB) and the German International Climate Initiative (IKI) – the city of Florianópolis prepared and implemented the ‘Clean and Integrated Public Transport System’.

FELICITY provides technical assistance to municipalities for the design, structuring, financing, and implementation of green infrastructure investment projects. The facility supports city governments in the preselection and preparation of potential projects in the mobility, energy, and waste and wastewater sectors that would be eligible for climate mitigation funding by the EIB. This includes the deployment of a methodology that includes (i) the development of technical, financial and economic feasibility; (ii) assessment of environmental and social risks; (iii) urban governance and institutional capacity assessments; (iv) capacity development support and knowledge management; and (v) access, facilitation and linking to finance for municipalities to downstream funding agencies (e.g. development banks and international finance institutions) – an approach successfully applied in Florianópolis.

The transport project aimed to upgrade the city’s bus fleet and better integrate the public transport system. Following the development of a Sustainable Urban Mobility Plan (PLAMUS), an additional scoping study that comprised of various sectoral and spatial

assessments that explored options and priorities. This included total cost of ownership analysis (TCO), GHG emission reduction assessment, as well as risk mitigation strategies for potential social and environmental implications. Strengthened by an extensive stakeholder engagement process, the project led to renewal of the bus fleet and the shift to clean technologies such as electric and hybrid buses.



The project connected bus networks of eight municipalities in the metropolitan area into a single public transport network which has provided improved mobility access and service provision to 1.2 million residents. Further project outputs such as the development of a public transport operational control center, construction of new bus depots and electric charging stations, digitized transport information and payment systems, and the creation of new jobs, indicate that the project has been a success.

Source: GIZ. 2021. Project: Financing Energy for Low-Carbon Investment – Cities Advisory Facility (FELICITY). Bonn.; GIZ. 2019. Clean and integrated public transport system Florianópolis, Brazil supported by FELICITY. Bonn.; GIZ. 2019. Felicity’s Project Identification and Selection Process Overview and Lessons Learned. Bonn.

³⁷ AfDB. 2022. Project Preparation. <https://www.afdb.org/en/projects-and-operations/project-cycle/project-preparation>

Step 3.1.C. Moving Projects towards Financing and Implementation

Informed by international good practice and country-specific legal and regulatory requirements, the city government with its project partners would evaluate the **best route for procurement** to prepare, finance, implement, and operate an investment project – with consideration given to **value-for-money** to avoid underperforming ‘cheap’ options and to instead promote technically viable and financially sound solutions that can be operated sustainably. Additionally, **green procurement guidelines** can be consulted to assess in how far project implementation and later operation can be set up for more resource-efficient and climate-positive results³⁸.

Specifically referring to the government-AfDB interaction, this step would see the final move from Project Concept Note (PCN) to **Project Appraisal Report (PAR)** and corresponding financing agreement. Similar to previous steps, a project location visit is necessary to take place (e.g. an Appraisal Mission). *Depending on how far advanced the project preparation has been until this point, additional consulting services may be procured. As the activities will vary from project to project, the below implementation guidance only provides some general description.*





Generally, there are various stages to pass for a (city) government to obtain financing for an investment project (Box 22). Given the **comparatively long duration of this process**, it is important that individual projects are not solely dependent on individuals within the city government. Instead, proper knowledge-sharing and record-keeping can ensure a **broad personnel base** that can take forward a project through its preparation cycle even when staff changes are occurring within the administration.

Once project preparation has been completed and the financing has been secured – with related contracts and covenants agreed and signed – a project moves into implementation (i.e. planning and construction). In most cases, a dedicated **Project Implementation Unit (PIU)** exists or is set up within the government to function as the hub from which the implementation process is managed. To enable more sustainable capacity development and knowledge transfer, it is advisable that governments look into **institutionalizing PIU structures** throughout different government levels and geographies within their countries, as this can enable PIUs to look after a larger program of investment projects instead of one-off assignments after which the PIU is disbanded again.

IMPLEMENTATION GUIDANCE

Purpose: Development of a Project Appraisal Report and financing agreement for the chosen project (*similar purpose for non-AfDB-supported projects that the government is taking forward through other avenues*).

Role Responsibilities:

| | | |
|---|---------------------------|---|
|  | AfDB | Procure additional consulting services, if required. Prepare Project Appraisal Report. Conduct project location visit (e.g. Appraisal Mission). Liaise with government on loan project structure and financing approach. AfDB Board to review and approve Project Appraisal Report. Prepare and conclude with government loan agreement. |
|  | City Government | Contribute to preparatory steps towards Project Appraisal Report, as applicable. Host project location visit (e.g. Appraisal Mission). Liaise with national government on Loan Agreement, as required. |
|  | Consultant | Provide relevant technical services as procured / as applicable. |
|  | Other Stakeholders | Partake in project location visit (e.g. Appraisal Mission), as required. Conduct internal due diligence and related steps, as required. National government to discuss and agree loan agreement with AfDB. |

³⁸ European Commission. 2022. Green Public Procurement Good Practice Platform. https://ec.europa.eu/environment/gpp/case_group_en.htm

Outputs/Outcomes:

- ✓ **Project Appraisal Report (PAR)** for chosen project developed and presented to AfDB Board for consideration.
- ✓ **Financing Agreement** for chosen project prepared and signed by government and AfDB.
- ✓ Other outputs for projects not supported by AfDB may apply.

Resource Requirements:

| Resource Types | Requirements |
|---------------------|---|
| Time Resources | Will vary from project to project – 6-12 months |
| Financial Resources | Government staff availability to advance project preparation, including with technical inputs and review. AfDB staff availability to advance project preparation, including with technical inputs and review. Consultants with sector specialists for any additional required services. |
| Human Resources | Government staff availability to advance project preparation, including with technical inputs and review. AfDB staff availability to advance project preparation, including with technical inputs and review. Consultants with sector specialists for project preparation studies. |
| Technical Resources | TORs of any additional required consulting services. Technical, regulatory, and financial assessments to inform PAR and loan agreement. |
| Material Resources | Linked to project site visits (e.g. Appraisal Mission) and specific studies/documentation (e.g. covenants for loan agreement) |

Key Considerations:

Ensure that all critical technical, regulatory, and financial aspects for the project have been clarified before progressing a project towards appraisal to avoid later delays and repeated steps.

Establish an implementation approach to this step that is sustainable across a longer period of time, i.e. not dependent on a single person. As noted above, consider institutionalizing PIU structures.

Scope relevant risks and related mitigation instruments for the project and loan³⁹.

Tasks:

1. **Compile and Appraise:** Based on conducted studies, AfDB will prepare the PAR and conduct a project site visit (e.g. Appraisal Mission) – see the AfDB project cycle manual for further guidance⁴⁰.

2. **Compile and Agree:** Alongside the PAR, the financing agreement will be prepared by AfDB in close consultation with the national government

(e.g. Ministry of Finance). As part of this process, the government will also conduct its internal due diligence and confirmation of loan implementation structure (e.g. which roles sit at the national or the city government level).

3. **Implement:** Following the successful completion of the project preparation process, AfDB will put forward the PAR to its Board for consideration and approval. Following this, AfDB and government will negotiate the financing agreement. Project implementation can then follow, which falls under the fourth phase of the AfDB ACP Methodology, the “Investment”, which is not further described in this document, as it follows the standard AfDB processes⁴¹ and applicable government regulations.

Note: Besides the above-described government-AfDB related tasks, the government may take other project preparation, appraisal, and finance agreement steps linked to projects that are not supported by AfDB. These have not been elaborated in this section, as they will be very country and project specific.

³⁹ World Bank. 2022. Guarantee and Risk Insurance Products Provided by International Financial Institutions. <https://ppp.worldbank.org/public-private-partnership/financing/risk-mitigation-mechanisms-products/guarantee-and-risk-insurance-ifs/guarantee-and-risk-i>

⁴⁰ AfDB. 2022. Project Preparation. <https://www.afdb.org/en/projects-and-operations/project-cycle/project-preparation>

Box 22. Financing and Implementing Green City Actions in Hue (Vietnam)

In 2014, Hue was one of the pilot cities for the Asian Development Bank (ADB) Green Cities Initiative in Southeast Asia. As part of a technical assistance, ADB with the support of a team of consultants undertook a robust and integrated city Action Planning process in Hue, as well as other cities in Vietnam, Indonesia, Malaysia, and Myanmar. This resulted in the development of a Green City Action Plan (GCAP) that assessed Hue's current state, analyzed its key challenges and opportunities, identified and prioritized key sectoral investments, and produced a timebound, actionable and ambitious strategy to achieve the vision of being a highly sustainable, world-class tourist destination.

The GCAP was organized along three broad initiatives with multi-sector actions to:

1. **Improve the urban environment** by improving and expanding stormwater, wastewater and solid waste management infrastructure across the city, rehabilitating environmental assets such as riverfront and lakes, and shifting to low-carbon public transportation;
2. **Enhance the tourism experience** by rehabilitating key tourism infrastructure, broadening tourism attractions and services, and developing mixed-use venues to grow the services sector; and
3. **Develop sustainable transportation** by improving the road network, installing a tram line, and introducing bike lanes and active travel options for residents.



Several of these actions were translated into projects that could be developed over the short, medium and long-term. In order to prioritize certain investments, actions were assessed against their potential economic, environmental, and equity benefits. As part of a \$170 million loan to the Government of Vietnam through the Secondary Green Cities Development Project, ADB has funded a series of investments to upgrade green and resilient urban infrastructure services in Hue. These sub-projects directly built upon the GCAP and included investments such as the rehabilitation of the inner city's drainage capacity, protection of river embankments, expansion of green spaces and public amenities, and enhancement of access to clean water supply for low-income, climate-vulnerable communities. In combination with the loan, financing for investments came in the form of grants and technical assistance resources from different partners and funds, including the ADB Urban Climate Change Resilience Trust Fund under the Urban Financing Partnership Facility, Global Environment Facility (GEF) Grant, and the GEF-Special Climate Change Fund.



Source: ADB. 2015. *Hue GrEEEn City Action Plan*. Manila; ADB. 2017. *Project Administration Manual for Socialist Republic of Viet Nam: Secondary Cities Development Project*. Manila; ADB. 2017. *Secondary Green Cities Development Program: Report and Recommendation of the President*. Manila.



⁴¹ AfDB. 2022. Guidelines and Procedures. <https://www.afdb.org/en/documents/category/guidelines-and-procedures>

3.2. Monitoring Progress and Strengthening Capacities

| | | | | | | |
|---|-----------------------------|--|------------------------------------|------------------------------|---|---|
|  <p>1. Initiation Phase</p> | |  <p>2. Action Planning Phase</p> | | |  <p>3. Investment Preparation Phase</p> | |
| 1.1. Preliminary Engagement | 1.2. Preparatory Activities | 2.1. Rapid City Profiling | 2.2. Strategizing and Prioritizing | 2.3. Action Plan Development | 3.1. Moving Actions to Project Preparation | 3.2. Monitoring Progress and Strengthening Capacities |

The **Monitoring Progress and Strengthening Capacities Stage** under the Investment Preparation Phase includes 2 steps: (i) Monitoring Action Plan Implementation Progress; and (ii) Conducting Capacity Development and

Knowledge Sharing Activities, which are detailed in the following sections. The orange box below summarizes the objectives and outputs from this stage.

| | |
|---|--|
| <p>Objectives</p> <ul style="list-style-type: none"> • Monitor the progress of Action Plan implementation and take corrective actions where required • Share monitoring findings between city and AfDB as part of regular engagement • Collect lessons, develop capacities, and share knowledge with the wider AfDB Cities Program and other African cities | <p>Outputs</p> <ul style="list-style-type: none">  <p>Action Plan Progress Monitoring conducted and shared</p>  <p>Capacity development activities undertaken</p> |
|---|--|

Step 3.2.A. Monitoring Action Plan Implementation Progress

To counter the risk of the Action Plan only being a planning study, it is important to monitor its implementation. Such progress monitoring can underscore the **accountability** that different action owners have and provide support to senior decision-makers tasked with advancing a city's development towards achieving the long-term vision and medium-term objectives.

As laid out in the endorsed Action Plan, a progress monitoring approach will have been designed with a City Focal Point – possibly supported by a Technical Working Group, Steering Committee, or similar – to **regularly assess** what the **status of implementation of the individual prioritized actions** has been. In order to keep the progress monitoring simple and **resource-light, a short 1-page Action Plan Progress Update template** (Table 15) is proposed to be prepared by the city government for discussion with AfDB and other stakeholders (e.g. national government) to keep track of the implementation progress, with regard to aspects such as: (i) key progress highlights; (ii) implementation efforts compared to original vision and objectives; (iii) implementation progress against original implementation schedule; (iv) de-/prioritization and phasing of actions; and (v) change in situation and corrective actions taken.

It is important to recognize that regular progress monitoring provides for a valuable opportunity to assess where the Action Plan implementation is facing hurdles and where **corrective actions** are required. As a live document, the Action Plan provides initial guidance on the next steps for each of the prioritized actions, but it is up to the action owners – coordinated by the City Focal Point – to **integrate proposed investment projects into departmental budget planning and re-assess necessary activities** as the situation evolves.

The COVID-19 pandemic is a recent example of how a change in context can greatly impact government priorities and citizens' needs. A **city government** with its Action Plan should strive **to be adaptive, agile, and forward-looking** to be better prepared to adjust its course of action and target impactful investments. Therefore, it is encouraged to **take proactive steps** to change the approach for a particular action to enable it to proceed towards preparation, financing, and implementation.

The progress monitoring may also encounter situations where affected stakeholders have concerns over or have already experienced negative impacts from the implementation of prioritized actions. A city government should have a mechanism in place (sometimes coordinated at the national level or through an independent agency) through which **affected stakeholders** can **voice their questions and concerns**, and **file complaints or grievances**. For projects with international development finance, there are also mechanisms established and enforced by the international partner organizations, which can be used by stakeholders, particularly in cases where previously filed complaints have not been addressed⁴².

Besides the progress monitoring for the Action Plan, a government also needs to comply with **AfDB monitoring requirements linked to financing agreements** for those projects that have been prepared and taken forward to implementation. For these, an **Implementation Progress and Results Report (IPR)** has to be prepared every 6 months⁴³





⁴² For instance, the African Development Bank has an Independent Review Mechanism (IRM) with the mandate to provide people adversely affected by a project financed by the AfDB with an independent mechanism through which they can request the AfDB to comply with its own policies and procedures. The IRM intervenes when affected people or communities submit a complaint. In this way, the IRM can be considered as a recourse instrument for project-affected people who have previously been unable to resolve their problems with the AfDB's Management.

⁴³ Examples of these can be found here: AfDB. 2022. Implementation Progress and Results Report. <https://www.afdb.org/en/documents/category/implementation-progress-and-results-report>

IMPLEMENTATION GUIDANCE

Purpose: Keeping track of Action Plan implementation to inform corrective actions and comply with AfDB monitoring requirements for individual investment projects.

Role Responsibilities:

| | | |
|---|---------------------------|--|
|  | AfDB | AfDB Focal Points to engage with city government on regular basis to obtain updates on Action Plan and investment project implementation. Identify potential avenues of additional support to city government in implementing previously shortlisted actions. Compare progress of Action Plan implementation between supported cities. |
|  | City Government | City Focal Point to obtain updates from action owners about implementation status of actions, in particular those linked to AfDB-supported investment projects. City government to take corrective actions where required. City Focal Point to liaise with AfDB Focal Points on regular updates and possible support needs for Action Plan implementation. |
|  | Consultant | N/A |
|  | Other Stakeholders | Action owners to provide regular updates to City Focal Point to enable Action Plan and investment project progress monitoring. National government to contribute to Action Plan and investment project progress monitoring, where applicable. |

Outputs/Outcomes:

- ✓ Regular **Action Plan progress monitoring** shared between city government and AfDB.
- ✓ **Corrective actions** for Action Plan implementation taken, as appropriate.
- ✓ **Regular IPR** shared between government and AfDB.
- ✓ **Corrective actions** for investment project implementation taken, as appropriate.

Resource Requirements:

| Resource Types | Requirements |
|----------------------------|---|
| Time Resources | Half-yearly update to Action Plan progress monitoring – 1-2 weeks Half-yearly update to IPR – 1-2 weeks |
| Financial Resources | None. |
| Human Resources | City Focal Point's availability to collect updates and corresponding access to action owners. Action owners' availability to provide updates. AfDB Focal Points' availability to discuss updates and progress with City Focal Point |
| Technical Resources | Knowledge on monitoring processes and capabilities |
| Material Resources | Action Plan progress monitoring template IPR template |

Key Considerations:

Integrate Action Plan progress monitoring activities into existing monitoring processes in the city government.

Share progress updates with senior officials to retain attention and buy-in for the Action Plan and the prioritized actions.

Identify areas where support from AfDB, national government, or other partners could be needed.

Voice the need for corrective actions early on.

Do not just focus on shortfalls in Action Plan implementation, but also highlight progress and achievements.

Consider sharing Action Plan progress updates also with other stakeholders, e.g. through the city government's website.

Tasks:

1. **Collect:** The City Focal Point shall collect regular updates on Action Plan and investment project implementation progress from action owners.

Note: *The recurrence of the monitoring updates will vary between cities. Doing an update every half year may be suitable for most cities, while striking a balance between effort and output. This would also allow for the Action Plan monitoring timing to align with the IPR-defined 6-month reporting requirements for AfDB-supported investment projects.*

2. **Update:** The City Focal Point will have to set up the monitoring template (Table 15) once at the start. AfDB Focal Points should assist / review this first setup. Thereafter, the City Focal Point can re-use the same template and update it in the corresponding sections. For AfDB-supported investment projects, the IPR template is already pre-defined

3. **Discuss and Correct:** Based on the latest updates, the City Focal Point should discuss internally / with action owners / with the mayor the progress of the Action Plan and investment project progress implementation and any corrective actions needed. Alongside this, the City Focal Point should liaise with AfDB Focal Points to touch base on the progress and, in particular, focus on those actions that have received AfDB support or where AfDB could potentially provide additional support in the future.

Note: *It is recommended that AfDB uses its normal engagement processes with governments through its country offices to also touch base on the progress of Action Plan implementation. Doing so avoids having to establish an additional/ separate process.*

Note: *AfDB UMDF Secretariat may choose to collate participating cities' Action Plan progress updates to compare how the different cities are progressing and to conclude if certain areas require particular attention in the UMDF's capacity development offering ([next Step 3.2.B](#)).*

Table 15. Template: Action Plan Progress Update

| Basic Information | | Progress Update Preparation Date |
|----------------------------|---|---|
| Location | [Country name] | [Insert date when this Brief was prepared] [City name] |
| City Contact Point | [Name, function/role, e-mail, 9am-5pm working telephone contact] | |
| AfDB Country Contact Point | [Name, function/role, e-mail, 9am-5pm working telephone contact] | |
| AfDB ACP Contact Point | [Name, function/role, e-mail, 9am-5pm working telephone contact] | |
| High-Priority Projects | Status | Development since last Update |
| [Project Title #1] | [Indicate current status of this project] | [Briefly note what activities or changes occurred for this project since the last update reporting] |
| [Project Title #2] | [Indicate current status of this project] | [Briefly note what activities or changes occurred for this project since the last update reporting] |
| [Project Title #3] | [Indicate current status of this project] | [Briefly note what activities or changes occurred for this project since the last update reporting] |
| [Project Title #4] | [Indicate current status of this project] | [Briefly note what activities or changes occurred for this project since the last update reporting] |
| [Project Title #5] | [Indicate current status of this project] | [Briefly note what activities or changes occurred for this project since the last update reporting] |
| Other Actions | Status | Development since last Update |
| [Action Title #X] | [Indicate current status of this action] | [Briefly note what activities or changes occurred for this action since the last update reporting] |
| [Action Title #X] | [Indicate current status of this action] | [Briefly note what activities or changes occurred for this action since the last update reporting] |
| [Action Title #X] | [Indicate current status of this action] | [Briefly note what activities or changes occurred for this action since the last update reporting] |
| [Action Title #X] | [Indicate current status of this action] | [Briefly note what activities or changes occurred for this action since the last update reporting] |
| [Action Title #X] | [Indicate current status of this action] | [Briefly note what activities or changes occurred for this action since the last update reporting] |
| [Action Title #X] | [Indicate current status of this action] | [Briefly note what activities or changes occurred for this action since the last update reporting] |
| [Action Title #X] | [Indicate current status of this action] | [Briefly note what activities or changes occurred for this action since the last update reporting] |
| [Action Title #X] | [Indicate current status of this action] | [Briefly note what activities or changes occurred for this action since the last update reporting] |
| [add rows as required] | [Indicate current status of this action] | [Briefly note what activities or changes occurred for this action since the last update reporting] |
| Additional Notes | | |
| Key Topics for Discussion | [List short bullet points on the key questions and issues that the government would like to raise with AfDB, e.g. regarding other initiatives, training opportunities, or required support] | |
| Any Other Updates | [Space to include other relevant information linked to the Action Plan implementation or related engagement with AfDB and other development partners] | |

Source: AECOM, 2022.

Step 3.2.B. Conducting Capacity Development and Knowledge Sharing Activities

As noted above, regular Action Plan progress monitoring allows a city government to (i) identify areas where capacities need to be strengthened, and (ii) derive lessons from the actions implementation. This process of capacity development and lesson-learning can take place both through **formalized programs** (e.g. dedicated training for municipal staff) and **on-the-job experiences** (e.g. municipal staff being assigned to a Project Implementation Unit, [see Step 3.1.](#)).

For cities taking part in the ACP, there are **additional opportunities to strengthen capacities and learn from each other**. As part of the ACP, the UMDF provides funding support for capacity building on urban development and infrastructure topics for AfDB RMCs., and peer-to-peer exchanges. Cities that have already taken part in the Action Planning Phase activities can provide valuable lessons to new joiners to the African Cities Program. Such knowledge sharing

has shown to be effective in similar programs of other development partners, as it encourages **peer-to-peer mentoring** between municipal staff.





City governments should **capitalize on platforms that offer knowledge exchange and learning**. In addition to the AfDB, city governments and urban practitioners can take part in city associations (e.g. ICLEI or UCLG), seek knowledge support from project preparation facilities and alliances (e.g. C40 Cities Finance Facility or the Cities Climate Finance Leadership Alliance), and attend urban development-focused conferences (e.g. AfriCities or World Urban Forum). The UMDF is also working on establishing a **Platform for African Cities**, which will furthermore help bringing together key resources and learning opportunities for cities across the continent.

As this step includes a variety of possible activities, the implementation guidance below only provides an overview of the tasks.

IMPLEMENTATION GUIDANCE

Purpose: Developing capacities and learning from each other among African city governments and related stakeholders, thereby deriving lessons that can inform adjustments to the AfDB ACP Methodology and related support to city governments.

Role Responsibilities:

| | | |
|---|---------------------------|--|
|  | AfDB | Facilitate and support city governments in finding opportunities to enhance capacity. Facilitate and support knowledge sharing opportunities across cities. Improve service offering based on lessons learned. |
|  | City Government | Identify capacity development needs for staff and seek related training opportunities. Participate in knowledge exchange formats and learn from peers. Collaborate with non-government organizations to strengthen capacities and systems. |
|  | Consultant | Support capacity development and knowledge activities, if/as procured. |
|  | Other Stakeholders | National government ministries (e.g. Ministry of Local Governments) to support capacity development activities. Non-government organizations working in urban development to contribute to lesson-learning, knowledge sharing, capacity development. |

Outputs/Outcomes:

- ✓ **Capacity needs** of city government staff identified and addressed.
- ✓ **Lessons learned and knowledge** shared on integrated urban development.

Resource Requirements:

| Resource Types | Requirements |
|---------------------|--|
| Time Resources | Knowledge sharing and capacity development – Continuous |
| Financial Resources | Training and knowledge sharing budgets |
| Human Resources | City government staff's availability for trainings AfDB UMDf staff's availability for knowledge and capacity activities Other actors' availability for knowledge and capacity activities |
| Technical Resources | Specific to training and knowledge formats |
| Material Resources | Specific to training and knowledge formats AfDB UMDf website functionalities |

Key Considerations:

Build up on existing training programs and processes.

Ensure sharing of training materials with staff that did not attend related sessions.

Extend networks beyond the city and country government.

Seek peers in comparable socio-economic and geographic contexts to understand potential good practice.

Make knowledge available in different formats, with the end user in mind.

Consider accessibility aspects to training and knowledge (languages, IT literacy, internet access, time availability, etc.)

Identify non-government actors that hold resources and are willing to support capacity development of city governments (e.g. universities, research institutes, global city networks).

Tasks:

1. **Identify:** The City Focal Point or other staff in city government should identify in which areas concerning urban development topics capacity development is most needed in the city government. This could, e.g., concern specific

technical aspects relevant to the preparation and implementation of the Top 3-5 Prioritized Actions. Once identified, it needs to be checked if capacity gaps can be filled through available resources and support, e.g. from national government ministries or agencies (e.g. Ministry of Local Governments or National Academy of Urban Planners).

2. **Request:** Where capacity gaps cannot be filled within the government, support can be requested from external parties, including AfDB, other development partners, non-government organizations, etc. It is likely that there are numerous competing capacity development needs – as such, an agreement needs to be reached and endorsed by the mayor or other senior officials, on which areas to prioritize.

***Note:** Not further elaborated here are other capacity development aspects in relation to tools, systems, and processes that would benefit from investment and improvement. This means that strengthening capacity goes beyond increasing individual staff's skills and extend into the governance processes, technical foundations, and equipment of city governments.*

3. **Commit and Participate:** Where support for capacity development has been confirmed by external parties, the city government needs to commit staff's time to attend to trainings or other learning formats. Likewise, other knowledge opportunities require active participation by city government staff to have a learning effect.

4. **Capture:** As part of training or through other knowledge capturing activities, AfDB UMD Secretariat should actively seek to collate lessons and good practice on integrated urban development and related topics through its work with city governments and other stakeholders. This also includes inputs from those actors into the knowledge creation of AfDB. The resulting products should use diverse formats to address different user preferences in knowledge consumption and learning⁴⁴.

5. **Share:** In addition to knowledge creation, AfDB UMD Secretariat has to consider the different platforms through which it can make knowledge and learning available to city governments and other stakeholders. As part of knowledge sharing formats (e.g. workshops, conferences, webinars), it should encourage peer-to-peer exchanges of city government staff across cities.

It should also bring in the perspectives of national government, private sector, and non-government organizations and civil society to capitalize on every partner's diverse ideas.

6. **Action:** Lastly, knowledge products and services are of limited use, if the beneficiaries do not put lessons into practice. AfDB through its regular engagement with city and national governments should encourage the adoption of good practices, share latest insights into technical innovations, and reflect those in the scoping, conceptualization, and design of projects. In documents such as the outputs from the AfDB ACP support process (e.g. City Profiling Report, Action Plan, project sheets) innovative approaches and solutions contextualized to the specific local setting should be reflected to inform planning and investment.



A view of Conakry

⁴⁴ AfDB. 2022. Knowledge Management Strategy 2022-2031. <https://www.afdb.org/en/documents/knowledge-management-strategy-2022-2031>



Outlook

Outlook: Towards Thriving African Cities

Recent **shocks** across the African continent, such as through the COVID-19 pandemic, as well as persistent **stressors** linked for instance to water scarcity and droughts, pose difficult challenges to sustaining and improving livelihoods. However, the change that has taken place in so many cities across the different African regions has illustrated how **urban development can positively impact lives** where it is accompanied by proactive planning, well-selected infrastructure investment, efficient urban governance and operations, economic productivity-oriented policies, as well as strengthened efforts towards more inclusive development.

The African Cities Program with this **updated Methodology aims to enable such positive urban development** by providing comprehensive support to city governments and their partners to understand challenges and opportunities more clearly and identify **institutional improvement measures to implement actionable plans and impactful infrastructure investments** that can put a city's long-term development vision into practice. As part of the proposed integrated and cross-cutting process, it is not just key infrastructure sectors that are being focused on – in addition, a city's institutional setting and climate and disaster risks are being considered to set out a **more sustainable and future-proof development roadmap**.

AfDB's support expands beyond the large economic centers and capital cities in **recognition of the important role of secondary and tertiary cities**, functioning as sub-regional hubs, border towns, or nodes in important transport and trade corridors. As an increasing number of governments participate in and benefit from the African Cities Program, **the Methodology will evolve**. With its general guidance and the stages

under the three support phases, it is flexible enough to tailor individual interventions and activities to the specific needs of different cities. The **AfDB's partnership with donors and other organizations** in the urban space provides for a variety of avenues to advance sustainable urban development – through technical assistance, capacity development, and co-financing of projects and multi-year / multi-sector programs. In this regard, experiences applying this Methodology will be systematically integrated at mid-point of the envisioned 2023-2027 implementation period and the Methodology will be revised in 2025.

Through the application of this Methodology in different contexts, staff in both city and national governments, AfDB, and other stakeholders can jointly learn how to **efficiently conduct city diagnostics and action planning processes**, so that the dependence on external service providers can be reduced and become more selective towards specialist skills. This corresponds to the need of subnational governments in many African countries to **increase capacity and efforts** towards financial sustainability, evidence-based spatial planning, integrated investment decision-making, efficient operation of urban services and infrastructure, green economic growth orientation, as well as more resilient approaches to a variety of risks to help **safeguard development achievements**.

In this vein, enabling thriving African Cities is a **multi-stakeholder effort** of governments actively collaborating with the private sector, civil society, and development partners such as the AfDB to **meet the large investment needs** and **realize the huge potential** that urban areas across the continent hold.

Appendices



Appendix A

Indicators List for Rapid City Profiling

READ FIRST:

The Indicators List is organized along the four rapid city profiling themes of (i) city context; (ii) institutional setting; (iii) sector performance; and (iv) climate and disaster risks. The proposed indicators focus particularly on themes (i) and (iii), while themes (ii) and (iv) come with a variety of possible indicators that have to be adapted to each city's specific context. Therefore, under those two themes only few indicators have been prescribed.

Under each theme, several indicators are offered for different topics, with the aim of obtaining data for those recommended indicators where feasible within a given time and resource budget. Other indicators can be added where they are readily available and contribute to the city profiling. Given the varied data availability and quality across African countries and cities, no specific set of minimum or required indicators can be prescribed.

Most indicators come with interpretation guidance in relation to benchmarks (high/medium/low for RAG rating of Green/Amber/Red) – these have been based on comparative data available for African countries, derived from global averages, or informed by work experiences across different sub-regions and cities in Africa. Data obtained will differ considerably between regions, countries, and cities. Therefore, in applying this Indicators List to a specific city, benchmarks can be adjusted where corresponding national or sub-national data is available that allow for a more meaningful comparison and RAG rating, complemented with locally-informed expert judgement wherever possible.

A.1 City Context Indicators

Demographics

Table 16. Rapid City Profiling Indicators List

| # | Theme | Topic | Indicator | Unit | Rationale | Illustrative Benchmark / Interpretation Guidance | Suggested Sources |
|----|--------------|--------------|--|------------------------------------|---|---|---|
| 1. | City Context | Demographics | Total population | Number | Provides an indication of a city's population size and gives the context for understanding the potential pressure on urban infrastructure and services. | While there is no specific benchmark that can be used for this indicator, it could be useful to compare the city's population with that of the national total and/or average population of urban settlements in that country. This would help understand the relative importance of this city (population-wise) compared to the rest of the country. | <ul style="list-style-type: none"> National statistical office (e.g. National Bureau of Statistics) Local government statistical unit Open-source databases: https://www.citypopulation.de/ |
| 2. | City Context | Demographics | Population growth rate | % per year (and 10-year timeframe) | Provides an indication of the trend in a city's population and related impacts on urban infrastructure and services, as well as the urban economy. | <p>While there is no general benchmark for this indicator, the following guidance can be provided in relation to growth (and shrinkage) rates that may pose challenges to planned urban development (and urban economic vitality):</p> <ul style="list-style-type: none"> Very high or negative growth rate: > 5%; < -2% [Red] Somewhat high or negative/stagnant growth rate: 2-5%; -2%-0.5% [Amber] Medium growth rate: 0.5-2% [Green] <p>It can also be useful to compare the city's population growth rate with that of the national total and/or average of urban settlements in that country to understand it how far the city's trend resembles or differs compared to the rest of the country. In assessing the rate change, caution is required if reference variable have changed, such as the administrative boundaries of a city.</p> | <ul style="list-style-type: none"> National statistical office (e.g. National Bureau of Statistics) Local government statistical unit Open-source databases: https://www.citypopulation.de/ |
| 3. | City Context | Demographics | Life expectancy at birth | Years | Provides an indication / can function as a proxy indicator of general quality of life / access to quality healthcare, particularly when compared to the national average. | <p>There are two potential interpretations for this indicator, depending on the availability of data.</p> <p>If data is available only at the national level, the benchmark that can be used should be the one set against average life expectancy for the African region (determined as 62.15 in 2022):</p> <ul style="list-style-type: none"> Higher than average life expectancy: >64 years [Green] Average life expectancy: 60-64 years [Amber] Lower than average life expectancy: <60 years [Red] <p>If data is available at the city level, the benchmark that should be used would be comparing the life expectancy at birth in the city with that at the national level:</p> <ul style="list-style-type: none"> Higher than average life expectancy: if the value is higher than the national average [Green] Average life expectancy: if the value is broadly the same, or very close to, national average [Amber] Lower than average life expectancy | <ul style="list-style-type: none"> National statistical office (e.g. National Bureau of Statistics) Local government statistical unit World Bank database has this data for every country: https://data.worldbank.org/ |
| 4. | City Context | Demographics | Population between 15-64 (adult population) out of total | % | Provides a general insight into demographic structure of the city and working-age (productive) population. This figure also provides a useful background for planning infrastructure and development policies and objectives, as related needs differ between age groups. | <p>While there is no specific benchmark that can be used for this indicator, the values obtained can be compared with the national average. The comparison with the national average could result in:</p> <ul style="list-style-type: none"> Higher than average proportion of the adult population About the same average proportion of the adult population Lower than average proportion of the adult population <p>If the proportion of adult population is significantly lower than the national average, this could indicate a need for specific infrastructure needs, e.g. for children, elderly, etc. A RAG rating is typically not applicable to this indicator as particularly high or low values can have positive, negative, or neutral implications.</p> | <ul style="list-style-type: none"> National statistical office (e.g. National Bureau of Statistics) Local government statistical unit |

| | | | | | | | |
|----|--------------|--------------|---------------------------------------|---------------------------|---|---|---|
| 5. | City Context | Demographics | Population density | Residents/km ² | Provides contextual information for understanding specific challenges and/or opportunities associated with high or low population density, with low population densities typically resulting in higher resource use (land, time, building materials, etc.). | The following benchmark can be used to assess this indicator: <ul style="list-style-type: none"> Density very high / very low: >10,000 residents/ km² / < 1,000 residents/ km² [Red] Density somewhat higher / lower: 7,000-10,000 residents/km² / 1,000-4,000 residents/km² [Amber] Medium density: 4,000-7,000 residents/km² [Green] Caution is required when assessing density against the RAG rating, as urban density can come with different amenities and quality of life, whereby a higher or lower density does not necessarily equate to better living conditions for residents. As such, a contextual judgement in a rapid city profiling is needed, e.g. by differentiating between different parts/ neighborhoods of a city. | <ul style="list-style-type: none"> National statistical office (e.g. National Bureau of Statistics) Local government statistical unit Open-source databases: https://www.citypopulation.de/ |
| 6. | City Context | Demographics | Youth population out of total (15-24) | % | Provides an insight into the share of the city's young population, which could inform formulation of actions aimed at improving necessary infrastructure for this age group (health/education) and provide a better understanding of the future labor market requirements (e.g. around job creation). | While there is no specific benchmark that can be used for this indicator, the values obtained can be compared with the national average. The comparison with the national average could result in: <ul style="list-style-type: none"> Higher than average share of young population Average proportion of young population Lower than average proportion of young population A RAG rating is typically not applicable to this indicator, as it also depends on the current and future situation of e.g. the economy and job markets, level of infrastructure provision, and share of other population groups (e.g. working age, children, retired people). | <ul style="list-style-type: none"> National statistical office (e.g. National Bureau of Statistics) Local government statistical unit |

Economics

| # | Theme | Topic | Indicator | Unit | Rationale | Illustrative Benchmark / Interpretation Guidance | Suggested Sources |
|----|--------------|-----------|--|----------------|--|--|---|
| 7. | City Context | Economics | Gross Domestic Product (GDP) per capita | (current US\$) | Provides a contextual information about living standard / economic outputs of a city. If no city-specific data is available, the figure may be derived based on a city's population share among the total national population. | While there is no specific benchmark that can be used for this indicator, the values obtained can be compared with the national average. The comparison with the national average could result in: <ul style="list-style-type: none"> Higher GDP per capita [Green] About the same GDP per capita [Amber] Lower GDP per capita [Red] The results provide an indication of the living standard and economic activity in the city compared to the rest of the country. | <ul style="list-style-type: none"> National statistical office (e.g. National Bureau of Statistics) Relevant Ministry publications |
| 8. | City Context | Economics | Unemployment rate | % | Provides a contextual information about the state of a city's economy in relation to the workforce. | The unemployment rate in a city can be benchmarked as follows: <ul style="list-style-type: none"> High: >15% unemployment rate [Red] Medium: 10-15% unemployment rate [Amber] Low: <10% unemployment rate [Green] These values can also be compared against the national average to understand how the city-level situation compares to the rest of the country. However, due to the prevalence of informal labor in many African countries and cities, the official unemployment figures need to be carefully interpreted. | <ul style="list-style-type: none"> National statistical office (e.g. National Bureau of Statistics) Local government statistical unit Relevant Ministry publications |
| 9. | City Context | Economics | Poverty rate (defined as population living under either national or World Bank poverty rate – \$2.15 per day) or World Bank poverty rate – \$2.15 per day ⁴⁵) | % | Provides an insight into poverty levels and likely prevalence of precarious livelihoods in a city. | There are two possible interpretations of this indicator. The first one is based on a comparison to the average population living in extreme poverty across Africa. The benchmark for this would be: <ul style="list-style-type: none"> High: >50% [Red] Medium: 30%-50% [Amber] Lower than average: <30% [Green] For the second interpretation, the value would be compared with the national average: <ul style="list-style-type: none"> Lower than average [Green] About the same average [Amber] Higher than average [Red] | <ul style="list-style-type: none"> National statistical office (e.g. National Bureau of Statistics) Local government statistical unit Relevant Ministry publications |

⁴⁵ Note that this rate has been updated in September 2022 and stands at \$2.15 per day. <https://www.worldbank.org/en/news/factsheet/2022/05/02/fact-sheet-an-adjustment-to-global-poverty-lines>

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|-----|--------------|-----------|---|---|--|--|--|
| 10. | City Context | Economics | Share of GDP per capita generated by manufacturing vs. services vs. agriculture | % | Provides a general insight into key economic sectors in terms of output / value. | There is no set benchmark for this indicator, but as a general rule, any value above 50% would indicate a prevalence of a particular economic sector over others. This indicator could provide a valuable insight into the level of industrial development and GDP generated by value-added manufacturing or services compared to more 'traditional' sectors like agriculture. It can also highlight differences of a city's economy in comparison to its country's economy overall. | <ul style="list-style-type: none"> National Ministry for Economy (or equivalent) City department for economic and social affairs Chamber of Industry / Commerce |
| 11. | City Context | Economics | Share of employment in agriculture vs. manufacturing vs. services | % | Provides a general insight into key economic sectors in terms of workforce employment. | There is no set benchmark for this indicator, but as a general rule, any value above 50% would indicate a prevalence of a particular economic sector over others. This indicator could provide a valuable insight into the role of individual sectors for workforce employment and corresponding livelihoods. It can also highlight differences of a city's economy in comparison to its country's economy overall. | <ul style="list-style-type: none"> National Ministry for Economy (or equivalent) City department for economic and social affairs Chamber of Industry / Commerce |

Inclusiveness

| # | Theme | Topic | Indicator | Unit | Rationale | Illustrative Benchmark / Interpretation Guidance | Suggested Sources |
|-----|--------------|---------------|--|--------|---|--|---|
| 12. | City Context | Inclusiveness | Share of women participating in the labor force (aged 15+) | % | Indicates participation of women in economic activities and their ability to obtain income, secure their livelihoods independently, and possibly sustain the livelihoods of their families. | There is no set benchmark for this indicator as values differ widely between countries. It may be useful to compare a city's data to the national average. | <ul style="list-style-type: none"> National statistical office (e.g. National Bureau of Statistics) World Bank data: https://data.worldbank.org/indicator/SL.TLF.CACT.FE.ZS |
| 13. | City Context | Inclusiveness | Average number of firefighters per 1,000 residents | Number | Provides an indication of response preparedness in case of major fires and other disasters (e.g. flooding, earthquakes, or medical emergencies like COVID). | There is no set benchmark for this indicator as values differ too widely between countries. A locally informed expert judgment is suggested to determine sufficiency of the response capacities. | <ul style="list-style-type: none"> National statistical office (e.g. National Bureau of Statistics) Relevant city department |
| 14. | City Context | Inclusiveness | Average number of hospital beds per 1,000 people | Number | Provides an indication of the availability of healthcare provision for both general services and in case of emergencies. | There is no global or Africa-specific benchmark for this indicator, but the following values (based on average numbers of hospital beds across developed and developing countries) can be used for guidance: <ul style="list-style-type: none"> High: >5 [Green] Medium: 3-5 [Amber] Low: <3 [Red] | <ul style="list-style-type: none"> National statistical office (e.g. National Bureau of Statistics) World Bank data: https://data.worldbank.org/indicator/SH.MED.BEDS.ZS |
| 15. | City Context | Inclusiveness | Percentage of children enrolled in a secondary school | % | Provides an indication of the availability of secondary education, which is linked to participation of adolescents in higher-education, with opportunity to take up higher-qualification jobs that can support a city's competitiveness and livelihood opportunities. | Values differ too widely between African countries for it to be possible to derive a meaningful benchmark for this indicator. If relevant data at the local level is available, it should be compared to the national average: <ul style="list-style-type: none"> Higher than average [Green] About the same average [Amber] Lower than average [Red] | <ul style="list-style-type: none"> National statistical office (e.g. National Bureau of Statistics) Local government statistical unit World Bank data: https://data.worldbank.org/indicator/SE.SEC.NENR |

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|-----|--------------|---------------|--|---------------------------------------|--|---|---|
| 16. | City Context | Inclusiveness | Adult literacy rate (age 15 and above) out of total population | % | Provides an insight into adult literacy rate and/or quality of education available. | As literacy rates tend to differ considerably between African countries and regions, this indicator and proposed benchmark should be interpreted with care: <ul style="list-style-type: none"> • High: >90% [Green] • Average: 70-90% [Amber] • Low: <70% [Red] | <ul style="list-style-type: none"> • National statistical office (e.g. National Bureau of Statistics) • Local government statistical unit |
| 18. | City Context | Inclusiveness | Mobile phone subscribers | Number/1,000 people or per 100 people | Provides an insight into how many people use mobile phones and as such have access to the increasing number of mobile phone-based services (e.g. money transfer and e-payments). | The following benchmark can be used, based on selected regional averages: <ul style="list-style-type: none"> • High: >90/100 [Green] • Average: 70-90/100 [Amber] • Low: <70/100 [Red] | <ul style="list-style-type: none"> • National statistical office (e.g. National Bureau of Statistics) • Leading Information and Communications Technology (ICT) providers in the country/region |
| 19. | City Context | Inclusiveness | Share of individuals (or households) with broadband internet connection out of total | % | Provides an indication of how many households have internet access, and to a lesser extent IT literacy. | The following benchmark can be used, based on average global figures for 2020: <ul style="list-style-type: none"> • High: >60% [Green] • Average: 40-60% [Amber] • Low: <40% [Red] | <ul style="list-style-type: none"> • National statistical office (e.g. National Bureau of Statistics) • Leading Information and Communications Technology (ICT) providers in the country/region • World Bank data: https://data.worldbank.org/indicator/IT.NET.USER.ZS |

A.2 Institutional Setting Indicators

| # | Theme | Topic | Indicator | Unit | Rationale | Illustrative Benchmark / Interpretation Guidance | Suggested Sources |
|-----|-----------------------|--------------------|--|------|---|---|--|
| 20. | Institutional Setting | Municipal Finances | Share of revenues from municipal own-sources | % | Provides an indication of how much of its revenues a local government is obtaining from its own sources versus revenues being provided by other (typically upper-level government) sources. | The following benchmark can be used: <ul style="list-style-type: none"> • High: >60% [Green] • Medium: 40-60% [Amber] • Low: >40% [Red] Caution is required in governance systems where local revenues are split between metropolitan and district administrations. For benchmarking purposes, the revenues of both level of local government could be combined or that level could be analyzed that is also the focus of the rapid city profiling (e.g. in relation to administrative boundaries) | <ul style="list-style-type: none"> • Local government finance unit • National statistical office or Ministry of Finance or Ministry of Local Governments |
| 21. | Institutional Setting | Municipal Finances | Share of revenues from taxes (own-source and shared) | % | Provides an indication of how much of its revenues a local government is obtaining from (usually more sustainable) recurring tax payments versus one-off income from land sales or similar, creating incentives for a city to pursue economic development which leads to more local economic growth and corresponding tax income. | The following benchmark should be used ⁴⁶ : <ul style="list-style-type: none"> • High: >30% [Green] • Average: 20-30% [Amber] • Low: <20% [Red] | <ul style="list-style-type: none"> • Local government finance unit • National statistical office or Ministry of Finance or Ministry of Local Governments |
| 22. | Institutional Setting | Municipal Finances | Share of capital investment expenditure over total revenues (before borrowing) | % | Provides an indication how much a local government favors capital investments. | The following benchmark can be used: <ul style="list-style-type: none"> • High: >40% [Green] • Average: 20-40% [Amber] • Low: <20% [Red] | <ul style="list-style-type: none"> • Local government finance unit • National statistical office or Ministry of Finance or Ministry of Local Governments |
| 23. | Institutional Setting | Municipal Finances | Current surplus (after interest payment) over total revenue (operating margin) | % | Provides an indication of the room available for additional borrowing (and investment), taking into account existing debt-related interest payments. | The following benchmark should be used ⁴⁷ : <ul style="list-style-type: none"> • High: >20% [Green] • Average: 10-20% [Amber] • Low: <10% [Red] | <ul style="list-style-type: none"> • Local government finance unit • National statistical office or Ministry of Finance or Ministry of Local Governments |

⁴⁶ OECD, UNECA and AfDB. 2022. Africa's Urbanisation Dynamics 2022: The Economic Power of Africa's Cities. Paris. Available at: <https://www.oecd-ilibrary.org/sites/bcc3b991-en/index.html?itemId=/content/component/bcc3b991-en>
 OECD and UCLG. 2019. World Observatory on Subnational Government Finance and Investment: Key Findings. https://www.sng-wofi.org/publications/2019_SNG-WOFL_REPORT_Key_Findings.pdf

⁴⁷ OECD, UNECA and AfDB. 2022. Africa's Urbanisation Dynamics 2022: The Economic Power of Africa's Cities. Paris. Available at: <https://www.oecd-ilibrary.org/sites/bcc3b991-en/index.html?itemId=/content/component/bcc3b991-en>
 OECD and UCLG. 2019. World Observatory on Subnational Government Finance and Investment: Key Findings. https://www.sng-wofi.org/publications/2019_SNG-WOFL_REPORT_Key_Findings.

⁴⁸ Some of the proposed benchmarks (e.g. for Indicators 22 and 23) are taken from EBRD's GCAP Methodology (see Sources) as they have been tested and proven to be useful for informing the analysis.

A.3 Sector Performance Indicators

Land Use and Biodiversity

| # | Theme | Topic | Indicator | Unit | Rationale | Illustrative Benchmark / Interpretation Guidance | Suggested Sources |
|-----|--------------------|---------------------------|---|------|---|---|---|
| 24. | Sector Performance | Land Use and Biodiversity | Share of green-blue spaces (parks, forests, rivers) out of total land area | % | Provides an indication of the general availability of green-blue spaces within a city. | The following benchmark can be used ⁴⁸ : <ul style="list-style-type: none"> High: >50% [Green] Medium: 30-50% [Amber] Low: <30% [Red] | <ul style="list-style-type: none"> National Ministry of Urbanisation and Planning City department for planning and land use Expert estimates based on satellite imagery |
| 25. | Sector Performance | Land Use and Biodiversity | Average annual growth rate of built-up areas | % | Provides an indication of annual spatial expansion of urban areas with corresponding needs of expanding infrastructure services. | The following benchmark can be used: <ul style="list-style-type: none"> Low growth rate: <3% [Green] Medium growth rate: 3-5% [Amber] High growth rate: >5% [Red] | <ul style="list-style-type: none"> National Ministry of Urbanisation and Planning City department for planning and land use Expert estimates based on satellite imagery |
| 26. | Sector Performance | Land Use and Biodiversity | Forest cover loss over the last 10 years (if data is available, annual level can be used) | % | Provides an indication of how much natural forest is lost to urban expansion and/or other pressures. | The following benchmark can be used: <ul style="list-style-type: none"> High: >2% [Red] Medium: 1-2% [Amber] Low: <1% [Green] If there has been an overall increase (which is positive), an explanation should be provided through a qualitative analysis. | <ul style="list-style-type: none"> National Ministry of Forestry, Natural Resources City department for forestry and green spaces Global Forest Watch: https://www.globalforestwatch.org/dashboards/global/ |
| 27. | Sector Performance | Land Use and Biodiversity | Share of city land designated as protected areas | % | Provides an indication of how much of the city's area is under protection / hosting protected species or ecosystems, likely protecting it from land use conversion and related loss of biodiversity and ecosystem services. | While there is no specific benchmark that could be used for this indicator, the value obtained could be compared with that at the national level (available through the World Bank portal). It is also useful to compare time data where available to understand any changes to the share of protected area land in a city. | <ul style="list-style-type: none"> National Ministry of Forestry, Natural Resources City department for forestry and green spaces World Bank indicators: https://data.worldbank.org/indicator/ER.LND.PTLD.ZS?locations=KE&name_desc=false |
| 28. | Sector Performance | Land Use and Biodiversity | Share of the population living within 15 minutes from essential services (grocery stores, schools, hospitals) | % | Provides an indication of the general planning approach and accessibility of basic urban services. | The following benchmark can be used: <ul style="list-style-type: none"> High: >80% [Green] Medium: 60-80% [Amber] Low: <60% [Red] | <ul style="list-style-type: none"> National Ministry of Urbanisation and Planning City department for planning and land use Expert estimates based on map analysis |
| 29. | Sector Performance | Land Use and Biodiversity | Share of emissions associated with forestry, agriculture and land use change (of total) | % | Provides an overview of the share of emissions associated with this sector. | While there is no specific benchmark that can be used for this indicator, the data obtained for this indicator should be considered together with emissions from other sectors. The results could point towards a need to reduce emissions from the most intensive sectors. | <ul style="list-style-type: none"> City climate change department (or equivalent department in charge of climate action) National level data can be downscaled using e.g. population share or GDP share estimates |

Energy

| # | Theme | Topic | Indicator | Unit | Rationale | Illustrative Benchmark / Interpretation Guidance | Suggested Sources |
|-----|--------------------|--------|---|---------------------|---|--|---|
| 30. | Sector Performance | Energy | Share of energy generated from renewable sources out of total | % | Provides an insight into current levels of energy derived from renewable (greener) sources (hydro, solar, thermal, wind) out of total energy. | <p>The following benchmark can be used:</p> <ul style="list-style-type: none"> • High: >20% [Green] • Medium: 10-20% [Amber] • Low <10% [Red] <p>In some country settings where a majority of energy is derived from renewables, higher benchmarks may be applied and city-level data be compared at the national average.</p> | <ul style="list-style-type: none"> • National Ministry for Energy (or equivalent) • City department for energy • Local service providers |
| 31. | Sector Performance | Energy | Share of urban population relying on biomass (firewood and charcoal) for heating / cooking | % | Provides an insight into overall reliance of the urban population on biomass for energy, which tends to come with higher carbon emissions and potential health impacts. | <p>The following benchmark can be used:</p> <ul style="list-style-type: none"> • High: >70% [Red] • Medium: 50-70% [Amber] • Low: <50% [Green] | <ul style="list-style-type: none"> • National Ministry for Energy (or equivalent) • City department for energy • Expert estimates |
| 32. | Sector Performance | Energy | Share of population with authorized connection to electricity | % | Provides a general insight into (formal) access to electricity in a city, which in turn has implications on quality of life. | <p>The following benchmark can be used:</p> <ul style="list-style-type: none"> • High: >70% [Red] • Medium: 50-70% [Amber] • Low: <50% [Green] | <ul style="list-style-type: none"> • National Ministry for Energy (or equivalent) • City department for energy • Local utility companies / state-owned enterprises |
| 33. | Sector Performance | Energy | Electricity consumption per capita (per annum) | kWh/capita | Provides an insight into how much electricity is consumed on a per capita level, hinting potentially at the need for increasing energy efficiency use. | <p>The following benchmark can be used:</p> <ul style="list-style-type: none"> • High: >3,000 kWh/capita [Green] • Medium: 2,000-3,000 kWh/capita [Amber] • Low: 1,000 kWh/capita [Red] | <ul style="list-style-type: none"> • Local utility companies / state-owned enterprises |
| 34. | Sector Performance | Energy | Average number of hours of electrical interruptions, per year, per customer | Hours/year/customer | Provides an insight into general reliability of electrical supply. | <p>The following benchmark can be used:</p> <ul style="list-style-type: none"> • High: >144 hours/year/customer (more than half a day per month) [Red] • Medium: 48-144 hours/year/customer (between four hours and half a day per month) [Medium] • Low: <48 hours/year/customer (fewer than four hours per month) [Green] <p>The low (green) international benchmark would be less than 10 hours/year/customer and depending on the city/country situation, a more ambitious benchmark can be applied depending on the current situation.</p> | <ul style="list-style-type: none"> • City department for energy • Local utility companies / state-owned enterprises |
| 35. | Sector Performance | Energy | Network losses within distribution network (technical and non-technical) | % | Provides an insight into efficiency of the energy system and the operation and maintenance regime of the utility. | <p>The following benchmark can be used:</p> <ul style="list-style-type: none"> • High: >20% [Red] • Medium: 10-20% [Amber] • Low: <10% [Green] | <ul style="list-style-type: none"> • City department for energy • Local utility companies / state-owned enterprises |
| 36. | Sector Performance | Energy | Share of household income spent on utility bills (electricity) | % | Provides an insight into how affordable the electricity supply is relative to average household income. | <p>The following benchmark can be used:</p> <ul style="list-style-type: none"> • High: >5% [Red] • Medium: 3-5% [Amber] • Low: <3% [Green] | <ul style="list-style-type: none"> • National Ministry for Energy (or equivalent) • City department for economic and social affairs • Surveys/questionnaires |
| 37. | Sector Performance | Energy | Share of energy consumption in buildings for heating and cooling derived from fossil fuels (of total) | % | Provides an insight into carbon intensity of energy used for heating and cooling within buildings. | <p>The following benchmark should be used:</p> <ul style="list-style-type: none"> • High: >90% [Red] • Medium: 70-90% [Amber] • Low: <70% [Green] | <ul style="list-style-type: none"> • National Ministry for Energy • City department for energy efficiency • Local utility companies |

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|-----|--------------------|--------|--|---|---|---|---|
| 38. | Sector Performance | Energy | Share of industrial energy consumption generated from fossil fuels | % | Provides an insight into the degree of reliance on fossil fuels for powering the industrial sector. | There is no specific benchmark for this indicator, and expert judgement should be used. The lower the value the better (i.e. the greener the energy consumption in the industrial sectors). | <ul style="list-style-type: none"> National Ministry for Energy City department for economy / industries |
| 39. | Sector Performance | Energy | Share of emissions associated with the energy sector (of total) | % | Provides an insight into how much of the city's total emissions is associated with this sector. | While there is no specific benchmark that can be used for this indicator, the data obtained for this indicator should be considered together with emissions from other sectors. The results could point towards a need to reduce emissions from the most intensive sectors. | <ul style="list-style-type: none"> City climate change department (or equivalent department in charge of climate action) National level data can be downscaled using e.g. population share or GDP share estimates |

Water

| # | Theme | Topic | Indicator | Unit | Rationale | Illustrative Benchmark / Interpretation Guidance | Suggested Sources |
|-----|--------------------|-------|---|------|---|---|---|
| 40. | Sector Performance | Water | Share of households with basic access to drinking water services ⁴⁹ | % | Provides an insight into the number of households that have a direct access to clean water, which is a critical component of quality of life. | <p>The following benchmark can be used:</p> <ul style="list-style-type: none"> High: >95% [Green] Medium: 75-95% [Amber] Low: <75% [Red] <p>Additionally, it can be useful to assess what share of households relies on the use of standpipes to access groundwater.</p> | <ul style="list-style-type: none"> National Ministry for Water and Utilities (or equivalent) City department for water and utilities Local utility companies / state-owned enterprises |
| 41. | Sector Performance | Water | Percentage of households with access to basic sanitation services ⁵⁰ | % | Provides an insight into the number of households that have access to basic sanitation, which is a critical component of quality of life. | <p>The following benchmark can be used:</p> <ul style="list-style-type: none"> High: >90% [Green] Medium: 70-90% [Amber] Low: <70% [Red] | <ul style="list-style-type: none"> National Ministry for Water and Utilities (or equivalent) City department for water and utilities |
| 42. | Sector Performance | Water | Percentage of municipal wastewater that is treated according to applicable national standards | % | Provides an insight into how much of the produced wastewater ends up being treated to an acceptable standard and how much untreated wastewater ends up in water courses, with potential health impacts. | There is no specific benchmark for this indicator and generally the higher the share of treated wastewater, the better. Locally informed expert judgement may be required as the share of untreated wastewater exposed into water courses is often not officially reported/disclosed | <ul style="list-style-type: none"> National Ministry for Water and Utilities (or equivalent) City department for water and utilities |

⁴⁹ "The percentage of population using at least basic drinking water services, that is, the population that drinks water from an improved source, provided collection time is not more than 30 minutes for a round trip. This indicator encompasses both people using basic drinking water services as well as those using safely managed drinking water services. Improved water sources include piped water, boreholes or tubewells, protected dug wells, protected springs, rainwater, and packaged or delivered water." [https://www.who.int/data/gho/data/indicators/indicator-details/GHO/population-using-at-least-basic-drinking-water-services-\(-\)](https://www.who.int/data/gho/data/indicators/indicator-details/GHO/population-using-at-least-basic-drinking-water-services-(-))

⁵⁰ "The percentage of population using at least basic sanitation services, that is, improved sanitation facilities that are not shared with other households. This indicator encompasses both people using basic sanitation services as well as those using safely managed sanitation services. Improved sanitation facilities include flush/pour flush toilets connected to piped sewer systems, septic tanks or pit latrines; pit latrines with slabs (including ventilated pit latrines), and composting toilets". <https://www.who.int/data/gho/indicator-metadata-registry/imr-details/4821>.

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|-----|--------------------|--------|--|---------------------|--|---|---|
| 43. | Sector Performance | Water | Average age of water supply network | Years | Provides an insight into the state of the existing infrastructure for water supply and the potential need for modernization. | The following benchmark can be used: <ul style="list-style-type: none"> • High: >30 years [Red] • Medium: 20-30 years [Amber] • Low: <20 years [Green] | <ul style="list-style-type: none"> • National Ministry for Water and Utilities (or equivalent) • City department for water and utilities • Local utility companies / state-owned enterprises |
| 44. | Sector Performance | Water | Water Exploitation Index (mean annual demand for freshwater divided by long-term average freshwater resources) | % | Provides an insight into how much pressure there is on water resources and how sustainable current and future demand can be. | The following benchmark can be used: <ul style="list-style-type: none"> • High: >40% [Red] • Medium: 15-40% [Amber] • Low: <15% [Green] | <ul style="list-style-type: none"> • National Ministry for Water and Utilities (or equivalent) |
| 45. | Sector Performance | Water | Average number of hours of water supply interruptions, per year, per customer | Hours/year/customer | Provides an insight into general reliability of water supply. | The following benchmark can be used: <ul style="list-style-type: none"> • High: >144 hours/year/customer (more than half a day per month) [Red] • Medium: 48-144 hours/year/customer (between four hours and half a day per month) [Medium] • Low: <48 hours/year/customer (fewer than four hours per month) [Green] <p>The low (green) international benchmark would be less than 10 hours/year/customer and depending on the city/country situation, a more ambitious benchmark can be applied depending on the current situation.</p> | <ul style="list-style-type: none"> • National Ministry for Water and Utilities (or equivalent) • City department for water and utilities • Local utility companies / state-owned enterprises |
| 46. | Sector Performance | Energy | Share of household income spent on utility bills (electricity) | % | Provides an insight into how affordable the electricity supply is relative to average household income. | The following benchmark can be used: <ul style="list-style-type: none"> • High: >5% [Red] • Medium: 3-5% [Amber] • Low: <3% [Green] | <ul style="list-style-type: none"> • National Ministry for Energy (or equivalent) • City department for economic and social affairs • Surveys/questionnaires |
| 47. | Sector Performance | Water | Daily water consumption per capita | Liters/person/day | Provides an insight into water consumption level and to some extent, availability and efficiency. | There is no specific benchmark for this indicator. Locally informed expert judgement may be required to assess how positive or negative the relative water consumption patterns in the city are. | <ul style="list-style-type: none"> • National Ministry for Water and Utilities (or equivalent) • National statistical office (e.g. National Bureau of Statistics) • City department for water and utilities • Local utility companies / state-owned enterprises |
| 48. | Sector Performance | Water | Share of household income spent on utility bills (water) | % | Provides an insight into how affordable the water supply is relative to average household income. | The following benchmark can be used: <ul style="list-style-type: none"> • High: >5% [Red] • Medium: 3-5% [Amber] • Low: <3% [Green] | <ul style="list-style-type: none"> • National Ministry for Water • City department for economic and social affairs • Surveys/questionnaires |
| 49. | Sector Performance | Water | Share of emissions associated with the water sector (of total) | % | Provides an overview of the share of emissions associated with water supply and demand. | While there is no specific benchmark that can be used for this indicator, the data obtained for this indicator should be considered together with emissions from other sectors. The results could point towards a need to reduce emissions from the most intensive sectors. | <ul style="list-style-type: none"> • City climate change department (or equivalent department in charge of climate action) • National level data can be downscaled using e.g. population share or GDP share estimates |

Transport

| # | Theme | Topic | Indicator | Unit | Rationale | Illustrative Benchmark / Interpretation Guidance | Suggested Sources |
|-----|--------------------|-----------|--|---|---|---|---|
| 50. | Sector Performance | Transport | Average number of motorized vehicles per household or per capita | Number of vehicles/1,000 people | Provides an indication of a dominant mode of transport in the city, with a balance to be struck between access to motorized vehicles and potential traffic implications from high vehicle ownership. | The following benchmark can be used: <ul style="list-style-type: none"> • High: >125 vehicles per 1,000 people [Red] • Medium: 30-125 vehicles per 1,000 people [Amber] • Low: <30 vehicles per 1,000 people [Green] If data is available per household, then the average household size in the city (or the country average) can be used to derive the corresponding per person figure. | <ul style="list-style-type: none"> • City transportation department • National vehicle registration agency |
| 51. | Sector Performance | Transport | Share of paved roads among all roads in the city | % | Provides an indication of general availability of paved road infrastructure in the city, with implications on the safety and passability of the road system (also during weather events such as rain). | The following benchmark can be used: <ul style="list-style-type: none"> • High: >60% [Green] • Medium: 40-60% [Amber] • Low: <40% [Red] | <ul style="list-style-type: none"> • National statistical office (e.g. National Bureau of Statistics) • City transportation department • World Bank database has this information at national level: https://databank.worldbank.org/source/africa-development-indicators/Series/IS.ROD.TOTL.KM |
| 52. | Sector Performance | Transport | Total bus fleet capacity (average number of seats per vehicle multiplied by total vehicles / per capita) | Avg. number per vehicle x total vehicles / capita | Provides an overview of the capacity of the public transport system commensurate to the population size. | There is no specific benchmark for this indicator, and expert judgement should be used to assess the data. A particularly low value would likely point towards the insufficiency of existing public transport (typically busses in most African cities). In cities with public transit rail systems (e.g. metro, tram, commuter rail), the indicator can be adjusted correspondingly. | <ul style="list-style-type: none"> • City transportation department • Ministry of Transport (or equivalent) • Local transport providers |
| 53. | Sector Performance | Transport | Average commuting time from home to work by private vehicle | Minutes | Provides a high-level insight into a city's layout (residential versus commercial land uses) and possible traffic in the city. Where data is available, data for private vehicle versus public transit commute can be compared. | The following benchmark can be used as guidance for medium-sized cities (to be adjusted to smaller or bigger cities accordingly): <ul style="list-style-type: none"> • High: >40 minutes [Red] • Medium: 20-40 minutes [Amber] • Low: >20 minutes [Green] | <ul style="list-style-type: none"> • City transportation department • Surveys / questionnaires • Expert estimates based on map analysis |
| 54. | Sector Performance | Transport | Share of population with access to public transport within 15 min by foot | % | Provides an overview of the availability of public transport options near residential neighborhoods. | The following benchmark can be used: <ul style="list-style-type: none"> • High: >80% [Red] • Medium: 60-80% [Amber] • Low: <60% [Green] | <ul style="list-style-type: none"> • City transportation department (for transport hubs) • City planning department (for urban density around main transport hubs) • Expert estimates based on map analysis |
| 55. | Sector Performance | Transport | Share of income spent on transport | % | Provides an insight into how affordable transportation in the city is relative to average household income. | The following benchmark can be used: <ul style="list-style-type: none"> • High: >10% [Red] • Medium: 6-10% [Amber] • Low: >6% [Green] | <ul style="list-style-type: none"> • City transportation department • Surveys/questionnaires |
| 56. | Sector Performance | Transport | Share of vehicles running on diesel/petrol out of total vehicle fleet | % | Provides an overview of the share of vehicles powered by more emission-intensive and air-polluting fossil fuels. | The following benchmark can be used: <ul style="list-style-type: none"> • High: >90% [Red] • Medium: 70-90% [Amber] • Low: <70% [Green] | <ul style="list-style-type: none"> • City transportation department • National vehicle registration agency |
| 57. | Sector Performance | Transport | Share of emissions associated with transport sector (of total) | % | Provides an insight into how much of the city's total emissions is associated with the transport sector. | While there is no specific benchmark that can be used for this indicator, the data obtained for this indicator should be considered together with emissions from other sectors. The results could point towards a need to reduce emissions from the most intensive sectors. | <ul style="list-style-type: none"> • City climate change department (or equivalent department in charge of climate action) • National level data can be downscaled using e.g. population share or GDP share estimates |

Buildings

| # | Theme | Topic | Indicator | Unit | Rationale | Illustrative Benchmark / Interpretation Guidance | Suggested Sources |
|-----|--------------------|-----------|---|--------------------------|---|---|---|
| 58. | Sector Performance | Buildings | Average number of people per sleeping room in formal dwellings | Number | Provides a general idea of housing adequacy focusing on the amount of space available per person within an average formal household. | <p>The following benchmark should be used:</p> <ul style="list-style-type: none"> • High: >4 or more persons [Red] • Medium: 2-4 persons [Amber] • Low: <2 persons [Green] <p>Where data is available, the indicator could also be applied to informal dwellings, and a comparison could be drawn of formal versus informal dwellings.</p> | <ul style="list-style-type: none"> • National statistical office (e.g. National Bureau of Statistics) • National Ministry of Urbanisation and Planning • City department for planning and land use • Surveys / questionnaires |
| 59. | Sector Performance | Buildings | Percentage of population living in informal settlements (of total) | % | Provides an indication of the level of informality in the city, likely linked to lower quality of life and insufficient infrastructure supply and access. | <p>The following benchmark should be used:</p> <ul style="list-style-type: none"> • High: >50% [Red] • Medium: 30%-50% [Amber] • Low: <30% [Green] | <ul style="list-style-type: none"> • National Ministry of Urbanisation and Planning • City department for planning and land use • Expert estimates based on map analysis |
| 60. | Sector Performance | Buildings | Average electricity consumption of all types of buildings per square meter measured over the year [likely very difficult to obtain] | kWh/m ² /year | Provides an insight into energy efficiency of buildings across residential, commercial, and industrial sectors. | <p>The following benchmark should be used:</p> <ul style="list-style-type: none"> • High: >75 kWh/m²/year [Red] • Medium: 47-75 kWh/m²/year [Amber] • Low: <47 kWh/m²/year [Green] | <ul style="list-style-type: none"> • National Ministry for Energy • City department for energy efficiency • Local utility companies |
| 61. | Sector Performance | Buildings | Share of income spent on rent | % | Provides a general idea of housing affordability relative to average household income. | <p>The following benchmark should be used:</p> <ul style="list-style-type: none"> • High: >40% • Medium: 30%-40% • Low: <30% | <ul style="list-style-type: none"> • National Ministry for Economy (or equivalent) • City department for economic and social affairs • Surveys / questionnaires |
| 62. | Sector Performance | Buildings | Share of emissions associated with the buildings sector (of total) | % | Provides an overview of the share of emissions associated with this sector. | <p>While there is no specific benchmark that can be used for this indicator, the data obtained for this indicator should be considered together with emissions from other sectors. The results could point towards a need to reduce emissions from the most intensive sectors.</p> | <ul style="list-style-type: none"> • City climate change department (or equivalent department in charge of climate action) • National level data can be downscaled using e.g. population share or GDP share estimates |

Waste

| # | Theme | Topic | Indicator | Unit | Rationale | Illustrative Benchmark / Interpretation Guidance | Suggested Sources |
|-----|--------------------|-------|--|----------------|--|---|---|
| 63. | Sector Performance | Waste | Average municipal solid waste generated per capita | Kg/year/capita | Provides an insight into the amount of solid waste generated per capita, impacting on the need of waste collection and processing infrastructure, and hinting at potential need to increase resource efficiency in the city. | The following benchmark could be used: <ul style="list-style-type: none"> • High: >500 kg/year/capita • Medium: 300-500 kg/year/capita • Low: <300 kg/year/capita | <ul style="list-style-type: none"> • National statistical office (e.g. National Bureau of Statistics) • City department for municipal waste • Local utility companies |
| 64. | Sector Performance | Waste | Share of population serviced by regular municipal solid waste collection | % | Provides an insight into coverage of municipal solid waste collection system, with unserved areas possibly experiencing unsafe waste dumping or burning. | The following benchmark could be used: <ul style="list-style-type: none"> • High: >70% [Green] • Medium: 60-70% [Amber] • Low: <60% [Red] | <ul style="list-style-type: none"> • City department for municipal waste • Local utility companies |
| 65. | Sector Performance | Waste | Share of collected waste that is recycled | % | Provides an insight into the amount of solid waste that is being recycled instead of dumped, contributing to a longer lifespan of landfill sites and supporting resource efficiency in the city. | There is no specific benchmark for this indicator, and expert judgement should be used. The higher the value the better. | <ul style="list-style-type: none"> • City department for municipal waste • Local utility companies |
| 66. | Sector Performance | Waste | Share of municipal solid waste treated in sorting, processing and treatment plants | % | Provides an overview of how much of the municipal solid waste is treated in plants and thereby indicates existing infrastructure for solid waste treatment. | There is no specific benchmark for this indicator, and expert judgement should be used. The higher the value the better. | <ul style="list-style-type: none"> • City department for municipal waste • Local utility companies |
| 67. | Sector Performance | Waste | Share of income spent on utility bills (waste collection) | % | Provides an insight into how affordable this service is relative to average household income. | The following benchmark can be used ⁵¹ : <ul style="list-style-type: none"> • High: >5% [Red] • Medium: 3-5% [Amber] • Low: <3% [Green] | <ul style="list-style-type: none"> • City department for economic and social affairs • Surveys/questionnaires |
| 68. | Sector Performance | Waste | Share of industrial waste recycled and reused out of total | % | Provides an insight into efficiency of materials used in the often resource-intensive industrial sector. | There is no specific benchmark for this indicator, and expert judgement should be used. The higher the value the better. | <ul style="list-style-type: none"> • National Ministry for Environment • City department for municipal waste • Local utility companies |
| 69. | Sector Performance | Waste | Share of emissions associated with the waste sector (of total) | % | Provides an overview of the share of emissions associated with the waste sector. | While there is no specific benchmark that can be used for this indicator, the data obtained for this indicator should be considered together with emissions from other sectors. The results could point towards a need to reduce emissions from the most intensive sectors. | <ul style="list-style-type: none"> • City climate change department (or equivalent department in charge of climate action) • National level data can be downscaled using e.g. population share or GDP share estimates |

⁵¹ <https://documents1.worldbank.org/curated/en/967821470756082684/pdf/WPS7789.pdf>

A.4 Climate and Disaster Risk Indicators

Indicators relating to climate and disaster risks are highly context-specific to each city / location. Therefore, only few indicators have been prescribed. The Methodology provides further guidance on relevant indicators and qualitative assessment topics that can be looked at when analyzing a particular city's

climate and disaster risks (e.g. climate and disaster risks data can be assessed with regard to average annual losses to people and assets, as well as based on geographic information system (GIS) data / mapping to understand location-specific vulnerabilities of people and infrastructure assets).


| # | Theme | Topic | Indicator | Unit | Rationale | Illustrative Benchmark / Interpretation Guidance | Suggested Sources |
|-----|----------------------------|------------------------|---|---------|---|--|--|
| 70. | Climate and Disaster Risks | Hazards | Key hazards relevant to the city (geophysical, hydrometeorological, environmental) | List | Provides a high-level overview of key hazards that are relevant to a particular city. In the absence of a detailed spatial risk assessment, the information can be used to inform appropriate response. It may be presented in a frequency/severity matrix (how often/how impactful). | There is no specific benchmark that can be used for this indicator, however, it can be insightful to compare the results obtained with national data. | <ul style="list-style-type: none"> National Ministry of Environment National agency for disaster management (or similar) Open source data (e.g ThinkHazard: https://thinkhazard.org/en/) |
| 71. | Climate and Disaster Risks | Economic Losses | Average annual economic losses from climate and natural disasters | USD | Provides an insight into the extent of damages caused by natural or climate hazards and could help form the basis for investment into resilience against particular hazards. | There is no specific benchmark for this indicator, but the lower the value the better. It can be insightful to compare a city's figure, if available, to national average figure. | <ul style="list-style-type: none"> National statistical office (e.g. National Bureau of Statistics) National Ministry of Environment National agency for disaster management (or similar) City climate change department (or equivalent department in charge of climate action) Open source data (e.g Emergency Disaster Database: https://www.emdat.be/emdat_atlas/ or Our World in Data: https://ourworldindata.org/natural-disasters) |
| 72. | Climate and Disaster Risks | Human Losses | Average annual loss of life from climate and natural disasters | Number | Provides an insight into the number of people killed each year, on average, from disasters caused by natural or climate hazards and could help form the basis for investment into resilience against particular hazards. | There is no specific benchmark for this indicator, but the lower the value the better. It can be insightful to compare a city's figure, if available, to national average figure. | <ul style="list-style-type: none"> National statistical office (e.g. National Bureau of Statistics) National Ministry of Environment National agency for disaster management (or similar) City climate change department (or equivalent department in charge of climate action) Open source data (e.g Our World in Data: https://ourworldindata.org/natural-disasters) |
| 73. | Climate and Disaster Risks | Climate Change impacts | Projected climate impacts by 2050 (based on selected key variables: max temperature, min temperature, and precipitation patterns) | Figures | Provides an overview of anticipated climate change impacts at regional or national level. This information can be used to inform the appropriate response and resilience-building. | There is no specific benchmark that can be used for this indicator, however, it can be insightful to compare the results obtained with regional or global datasets. Where available, city-specific data should be used and compared e.g. to national data. | <ul style="list-style-type: none"> National Ministry of Environment (or other relevant ministry) Open source data: https://climateknowledgeportal.worldbank.org/ |

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<https://www.who.int/data/gho/indicator-metadata-registry/imr-details/4821>; [https://www.who.int/data/gho/data/indicators/indicator-details/GHO/population-using-at-least-basic-drinking-water-services\(-\)](https://www.who.int/data/gho/data/indicators/indicator-details/GHO/population-using-at-least-basic-drinking-water-services(-))

Appendix B Template: AfDB UMDf Project Sheet

Table 17. Template: AfDB UMDf Project Sheet

| |
|--|
| Language: English |
| <p>THE AFRICAN DEVELOPMENT BANK GROUP</p>  <p>URBAN AND MUNICIPAL DEVELOPMENT FUND</p> |
| <p>UMDF PROJECT SHEET [TITLE OF THE PROJECT]</p> |
| <p>[CITY, COUNTRY] [PROJECT PREPARATION GRANT AMOUNT REQUESTED] DATE: [MONTH-YYYY]</p> |

Key Project Information

| | | |
|-----------------------------------|--|-------------------------------|
| Sector | <i>[select most appropriate sector]</i> | |
| Location | <i>[Country]</i> | <i>[City/local authority]</i> |
| Client | <i>[Name the client and beneficiary of the project]</i> | |
| Executing Agency | <i>[The project proposing / owning institution]</i> | |
| Team Leader | <i>[Name, function/role, e-mail, 9am-5pm working telephone contact]</i> | |
| Task Team | <i>[add line if other key people are involved, especially if already reviewed by AfDB Staff]</i> | |
| Project Origin | <i>[Indicate if the project originates from a City Diagnostic and Action Plan; UMDP Project Preparation Facility, or other sources, e.g. masterplan]</i> | |
| For AfDB internal use only | <i>AfDB Country Program Officer</i> | |
| | <i>AfDB Urban Regional Focal Point</i> | |

Strategic Context

| Country Policy Alignment | Policy / Plan | Priorities Supported by Project | Alignment |
|---|---|---|--|
| | <i>[Key statutory policies/ plans]</i> | <i>[which priorities in those policies/ plans will support the project]</i> | <i>[how does the project help achieve those]</i> |
| | | | |
| | <i>[add lines if necessary]</i> | | |
| Sustainable Development Goals (SDGs) | <i>[name the 1-3 most relevant SDGs that the project supports, if possible with the specific targets that the project helps to achieve]</i> | | |
| African Union Agenda 2063 | <i>[list the 1-3 most relevant AU 2063 Agenda goals that the project supports]</i> | | |
| AfDB High 5s | <i>[name the most appropriate AfDB High 5 supported by the project]</i> | | |
| AfDB Country Strategy Paper | <i>[reference the CSP and the priority that the project supports]</i> | | |
| Climate Change | <i>[briefly note how the project helps to achieve climate mitigation/adaptation]</i> | | |
| Sector and Institutional Context | <i>[explain how the project benefits from or has synergies with any ongoing/planned other projects and/or policy reforms in the sector]</i> | | |

Project Description

| | | | |
|--|--|--|--------------------|
| Project Objective | <i>[The objective of the project should be clearly defined and brief – 1 sentence max].</i> | | |
| Theory of Change | <i>[This section should summarize the rationale / relevant background to the project, i.e. why is the project needed and in what context does it take place.]</i> | | |
| Project Description / Components | <i>[This section should describe the proposed project, including key technical features, proposed scope of works, etc., up to a maximum of 200 words, with a clear indication of the project components / sub-components as far as known] Component 1: Name, technical description, quantities/outputs Component X: Name, technical description, quantities/outputs [Existing studies and other background material can be added as an annex to this project sheet.]</i> | | |
| Key Impacts and Outcomes of Project | Environment and Climate | <i>[briefly note the environmental and climate outcomes and impact the project could achieve, quantified where possible]</i> | |
| | Social and Gender | <i>[briefly note the social and gender outcomes and impact the project could achieve, quantified where possible]</i> | |
| | Economic and Financial | <i>[briefly note the economic and financial outcomes and impact the project could achieve, quantified where possible]</i> | |
| Project Target Area | <i>[This section should list where the project will be implemented, and at what scale. Where applicable, coordinates should be included here and a map added as an annex.]</i> | | |
| Status of Preparation | <i>[This section should provide an indication of the current status of project implementation, e.g: Project idea, Concept note / pre-feasibility study, Project proposal including feasibility study, Under implementation / for scaling up]</i> | | |
| Next Steps | <i>[This section should briefly outline next steps in the origination and preparation. It should also include an estimate of the time until the project is operational.]</i> | | |
| | Proposed Activity | Duration | Responsible |
| | | | |
| | | | |
| | <i>[add lines if necessary]</i> | | |

Stakeholders and Beneficiaries

| | | | |
|-----------------------------|-----------------------------------|---|--|
| Key Stakeholders | Category | Stakeholder [also include below and underline the client] | |
| | <i>National Government</i> | | |
| | <i>Local Government</i> | | |
| | <i>Private Sector</i> | | |
| | <i>Civil Society</i> | | |
| | <i>Development Partners</i> | <i>[Others (please specify) and/or add lines]</i> | |
| Direct Beneficiaries | Group | Estimated Number | Development Impact |
| | <i>[List beneficiary group 1]</i> | <i>[estimated number of beneficiaries, men and women and any further breakdown that might be useful, i.e. children]</i> | <i>[Explain any pronounced development impacts that will be achieved by the project, e.g. for mobility project, travel time reduction, new public transit option for % of population etc.]</i> |
| | | | |
| | <i>[add lines if necessary]</i> | | |

Financial Information

| Estimated Project Cost | Components | Amount (US\$) | % of Total Cost | Source |
|---|--|---------------|-----------------|--------|
| | | | | |
| | | | | |
| | | | | |
| | <i>[add lines if necessary]</i> | | | |
| | Total Amount: | | 100% | |
| Amount of Preparatory Financing Needed | | | | |
| | | | | |
| | <i>[add lines if necessary]</i> | | | |
| Client Co-Financing | <i>[Estimate of cost to be covered by the project client]</i> | | | |
| 3rd Party Co Financing | <i>[Estimate of cost to be covered by other parties, where applicable]</i> | | | |
| Remaining Financing Need | <i>[Estimate of financing gap should be provided here]</i> | | | |
| Financing Approach | <i>[This section should elaborate on any defined or proposed financing approach (sovereign loan, grant, PPP, private sector etc.)]</i> | | | |
| Private Sector Involvement | <i>[This section should include more information about possible private sector participation in the project (if applicable)]</i> | | | |
| Revenue Opportunities | <i>[This section should include information about possible or expected revenue generation from the project (if applicable)]</i> | | | |

Project Risks

| Risk Area | Potential Risk | Estimated Category | Mitigation Measure |
|---|---|---|---|
| Environmental and Social Safeguards⁵² | <i>[List any identified key environmental and social risks that the project may entail]</i> | <i>[Please select your answer as per AfDB criteria (see footnote) and delete all other options]</i> <input type="checkbox"/> Category 1: Significant Impacts <input type="checkbox"/> Category 2: Less Adverse Impacts than Category 1 <input type="checkbox"/> Category 3: Negligible Adverse Risks | <i>[Indicate possible measures to mitigate the identified risks]</i> |
| Involuntary Resettlement Foreseen⁵³ | | <input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> To be confirmed | <i>[Indicate possible measures to avoid or mitigate involuntary resettlement and related risks]</i> |
| Climate Safeguards⁵⁴ | <i>[List any identified key climate risks that the project may entail]</i> | <i>[Please select your answer as per AfDB criteria (see footnote) and delete all other options]</i> Category 1: Very vulnerable Category 2: Vulnerable Category 3: Not vulnerable | <i>[Indicate possible measures to mitigate the identified risks]</i> |
| Gender Marker System⁵⁵ | <i>[List any identified key gender risks that the project may entail]</i> | <i>[Please select your answer as per AfDB criteria (see footnote) and delete all other options]</i> <input type="checkbox"/> Category 1: Gender Principal Objective <input type="checkbox"/> Category 2: Gender One of the Outcomes <input type="checkbox"/> Category 3: Gender One of the Outputs <input type="checkbox"/> Category 4: Marginal Gender Elements / Inclusive Activities | <i>[Indicate possible measures to mitigate the identified risks / enable gender opportunities]</i> |

Please note: Any project sheet must be accompanied by a support request letter from the respective local or national authority.

⁵² <https://www.afdb.org/en/documents/document/afdb-integrated-safeguards-system-policy-statement-and-operational-safeguards-34993>

⁵³ <https://www.afdb.org/fileadmin/uploads/afdb/Documents/Policy-Documents/10000009-EN-BANK-GROUP-INVOLUNTARY-RESETTLEMENT-POLICY.PDF>

⁵⁴ https://www.afdb.org/fileadmin/uploads/afdb/Documents/Generic-Documents/CSS%20Basics-En_def.pdf

⁵⁵ <https://www.afdb.org/en/documents/african-development-bank-gender-marker-system-gms>

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m.mayr@afdb.org



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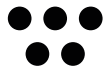


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