

# African Cities Program

Supporting More Resilient,  
Livable and Productive  
Cities in Africa

## Field Manual

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AFRICAN DEVELOPMENT BANK GROUP



Urban and  
Municipal  
Development  
Fund



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# Introduction





# Introduction

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 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<sup>1</sup>. Alongside these priorities, the Bank aligns its projects and programs with its **High 5's for Africa** – its five strategic development priorities (Figure 1).

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**.<sup>2</sup>

To guide the **engagement of the AfDB with cities and their governments**, the AfDB developed its Sustainable Urban Development Action Plan (SUDAP) 2022-2026 with the ambition to “building transformative cities”<sup>3</sup>. 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. The UMDF was established as an AfDB multi-donor trust fund to **help cities put in place the building blocks to attract resilient and low-carbon investment and ensure integrated development and enhanced planning**.<sup>4</sup> Its activities are structured around **3 focus areas**: (i) municipal governance, (ii) urban planning, and (iii) 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 Windows (PPW). 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 1. **AfDB High 5's for Africa**



Source : Adapté de la Banque africaine de développement. 2016. Intensification de la mise en œuvre de la stratégie décennale : L'agenda High 5s. Abidjan., comme indiqué dans : ADB, BAD, EBRD, IADB. 2019. Créer des villes vivables - Perspectives régionales. Manille.

<sup>1</sup> AfDB. 2022. Mission and Strategy. Available at: <https://www.afdb.org/en/about/mission-strategy>.

<sup>2</sup> AfDB. 2021. Urban and Municipal Development Fund Annual Report 2020 and Work Program 2021. Abidjan.

<sup>3</sup> Weblink to be added here once published.

<sup>4</sup> AfDB. 2022. Urban and Municipal Development Fund. Available at: <https://www.afdb.org/en/topics-and-sectors/initiatives-partnerships/urban-and-municipal-development-fund>.





# African Cities Program Methodology

# African Cities Program Field Manual

The African Cities Program (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 Windows** (PPW) 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.

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.

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.

The ACP Methodology features **four phases** (Table 1): (i) Initiation, (ii) Action Planning, (iii) Investment Preparation, and (iv) Investment. A

**detailed methodology document** has been developed to guide users through the ACP Methodology, with a focus on the **first three phases**, while the fourth phase is already established by existing AfDB protocols and processes. The implementation of all 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). 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. 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 potential external service providers are required to undertake the City Action Planning activities.

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 Plan Development** (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.



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).

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 Field Manual is a distilled version of the detailed methodology document** to be used during initial engagement of AfDB with city governments, external service providers, and stakeholders to provide an overview of the key stages and phases, particularly the activities of the first two phases on Initiation and Action Planning.

→ **Please refer to the main methodology document for details** on all the steps, including information on anticipated outputs and outcomes, roles and responsibilities, key considerations, and step-by-step implementation guidance with templates and good practice examples.



A view of Bizerte

Table 1. **African Cities Program Phases, Stages, Steps, and Outputs (Gantt Chart)**

PHASES	STAGES	STEPS	
 <p><b>1. Initiation Phase</b></p>	1.1. Preliminary Engagement	1.1.A. Soliciting Letter of Request from Potential Program Cities	
		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	
		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	
	 <p><b>2. Action Planning Phase</b></p>	2.1. Rapid City Profiling	2.1.A. Collecting Data and Information
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	
		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	
		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	
 <p><b>3. Investment Preparation Phase</b></p>		3.1. Moving Actions to Project Preparation	3.1.A. Confirming Selected Investments and Approaching Partners
			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	3.1.A. Monitoring Action Plan Implementation Progress	
		3.1.B. Conducting Capacity Development and Knowledge Sharing Activities	

Source: AECOM, 2022.

	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+	
	X																		Aide Memoire
		X	X																
			X																
				X															
				X															
				X															
					X	X													
						X													
						X	X	X											City Profiling Report
								X											
							X	X	X										
									X										
										X									Vision, Objectives, Prioritized Actions
										X	X								
											X	X							Action Plan with Project Sheets
												X	X						
													X	X					
														X	X	X			
																	X		Project Preparation Studies, Project Concept Note
																	X		
																	X		
																	X		
																	X		
																	X		Progress Monitoring Updates, Implementation Progress and Results Report
																	X		




# 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 2. African Cities Program Initiation Phase Overview

PHASES	STAGES	STEPS	OUTPUTS
 <b>1. Initiation Phase</b>	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			

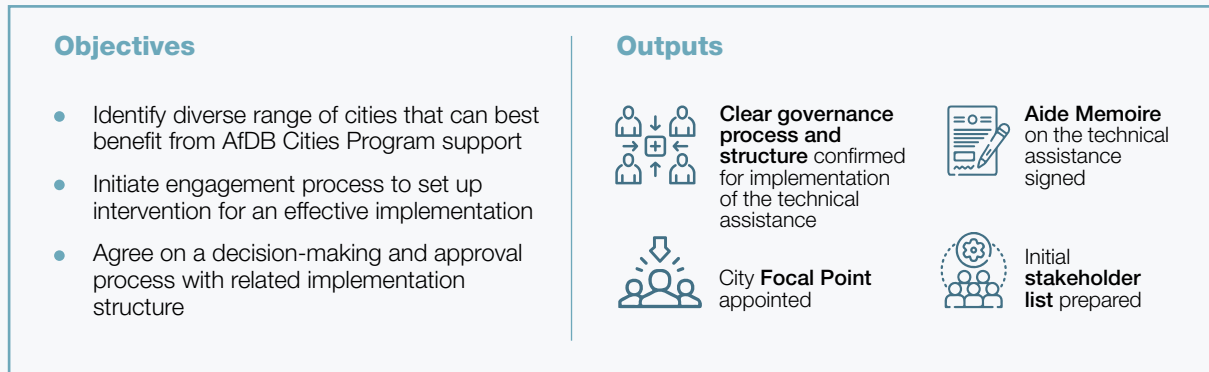
Source: AECOM, 2022.

## 1.1 Preliminary Engagement

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

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.



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.

## 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).

## 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).



**Box 1. 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.

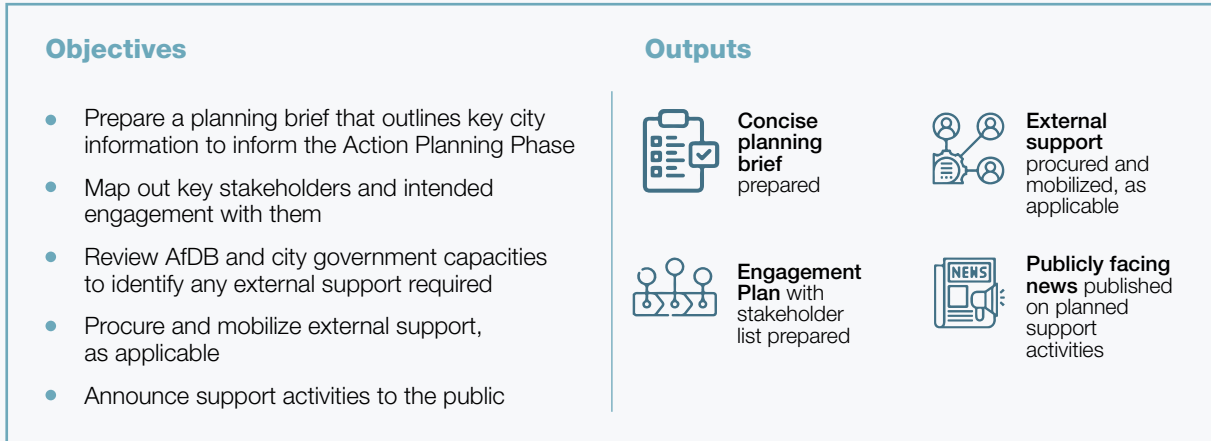
Source: AECOM, 2022.

## 1.2 Preparatory Activities



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.



## 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.

## 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 engagement<sup>5</sup>, the City Focal Point – in consultation with other government departments and actors

<sup>5</sup> 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%20Consultation.pdf>

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.

## 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).



## 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.

## 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.


# 2. Action Planning Phase

The **second phase of the ACP engagement** with cities is the **Action Planning Phase**. It entails 3 **stages** (Figure 3): (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 3. African Cities Program Action Planning Phase Overview

PHASES	STAGES	STEPS	OUTPUTS
 <b>2. Action Planning Phase</b>	2.1. Rapid City Profiling	2.1.A. Collecting Data and Information	<b>City Profiling Report</b>
		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	<b>Vision, Objectives, Prioritized Actions</b>
		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	<b>Action Plan with Project Sheets</b>
		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

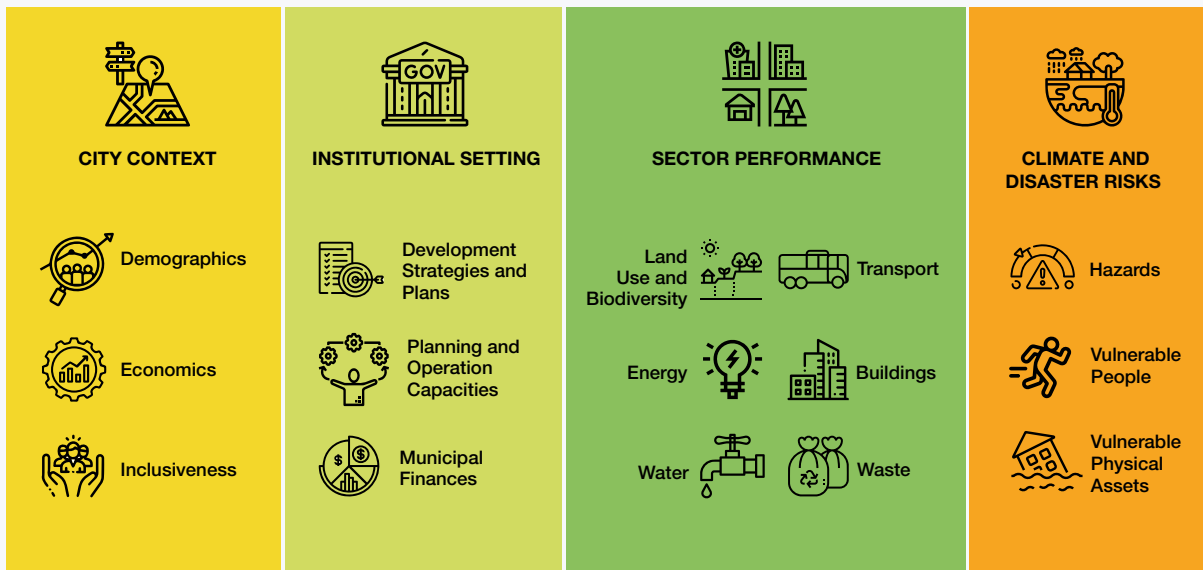
with City Profiling Workshop; (iii) Preparing City Assessments; and (iv) Compiling City Diagnostics Report.



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 4. 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**.

## 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.

## 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).

## 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).

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**.

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.

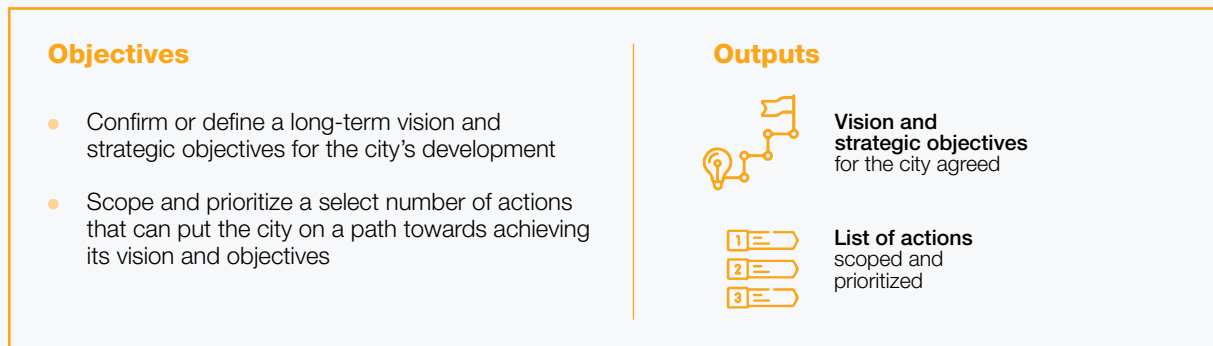


## 2.2. Strategizing and Prioritizing



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.



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

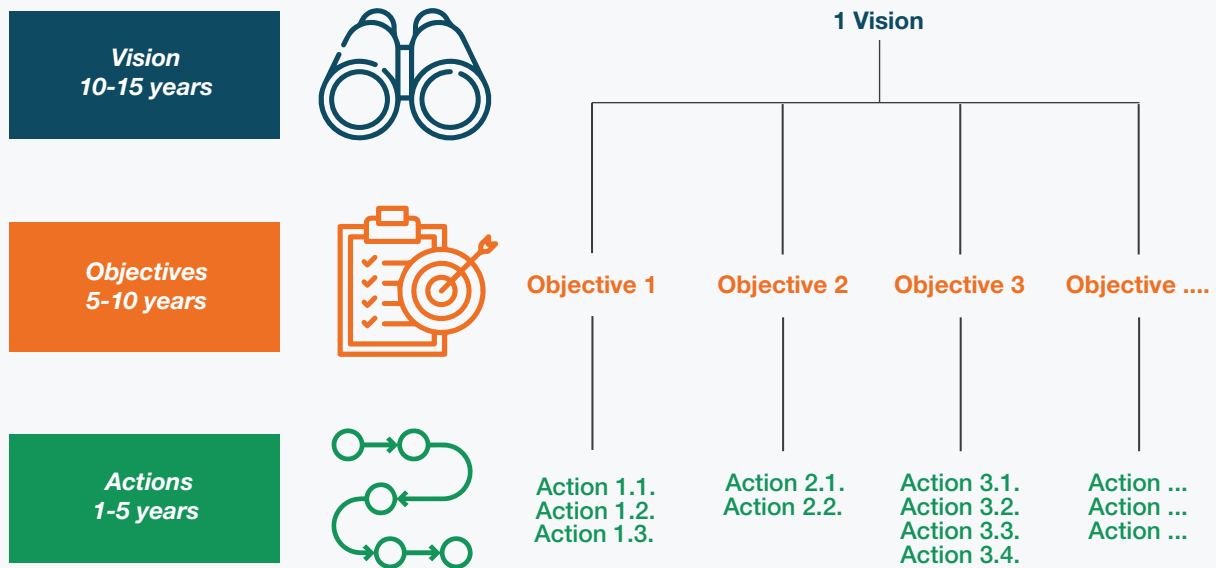
Using the City Profiling Report as a baseline, the next step in the process is to clarify under which strategic urban development frame the city's Action Plan is going to sit. As such, this step is meant to **confirm the strategic development direction** of the city to enable a **logical and**

**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 5).

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 5. 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).

## 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](#)), 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.

## 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.





## 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 main methodology document). 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, 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.

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.

## 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 (see the main methodology document) 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. 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.**

## 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](#).

## 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.


# 3. Investment Preparation Phase

The **third phase of the ACP approach** is the **Investment Preparation Phase**. It entails **2 stages** (Figure 6): (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 6. **African Cities Program Investment Preparation Phase Overview**

PHASES	STAGES	STEPS	OUTPUTS
 <b>3. Investment Preparation Phase</b>	3.1. Moving Actions to Project Preparation	3.1.A. Confirming Selected Investments and Approaching Partners	<b>Project Preparation Studies, Project Concept Note</b>
		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	3.1.A. Monitoring Action Plan Implementation Progress	<b>Progress Monitoring Updates, Implementation Progress and Results Report</b>
		3.1.B. Conducting Capacity Development and Knowledge Sharing Activities	

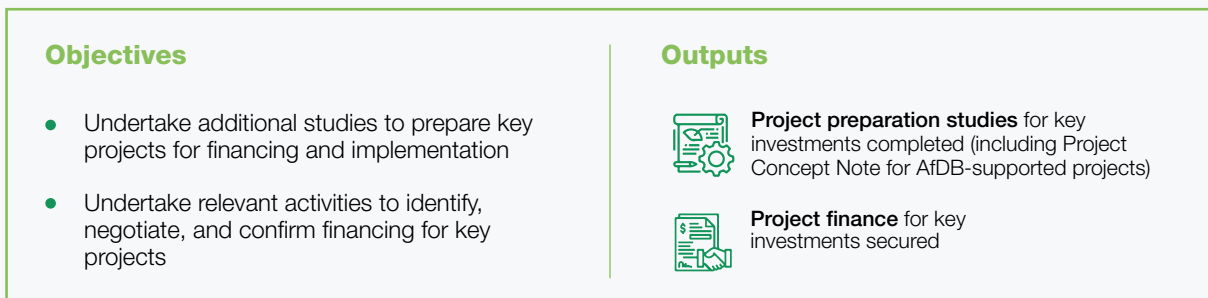
Source: AECOM, 2022.

## 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.



### 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 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.

## 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).

## 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 results<sup>6</sup>.

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.

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.

<sup>6</sup> European Commission. 2022. Green Public Procurement Good Practice Platform. [https://ec.europa.eu/environment/gpp/case\\_group\\_en.htm](https://ec.europa.eu/environment/gpp/case_group_en.htm)

## 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.



### 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** (see the main methodology document) 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.

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.

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 addressed<sup>7</sup>.

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 months<sup>8</sup>.

<sup>7</sup> 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.

<sup>8</sup> 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>

## 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.



A view of Conakry





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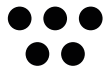


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