

# **Guide to Strategic Planning for Local Governments**

Namibian City Development Strategies (CDS) Pilot

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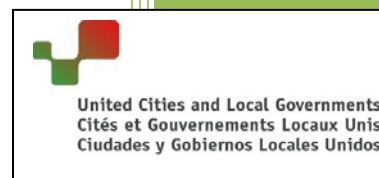
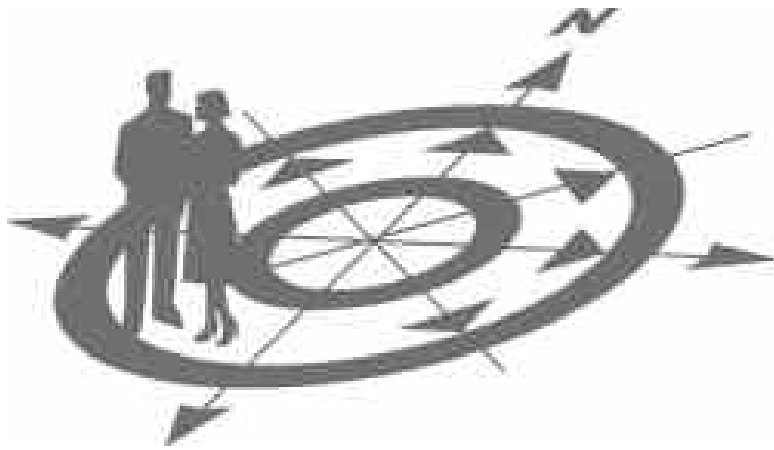


Local Authority Strategic Planning Guide

# 2014



## Guide to Urban Strategic Planning for Local Authorities in Namibia *Towards a Vision for Urban Renewal and Transformation*



## **Introduction**

The main purpose of town development strategies is the firm belief that well positioned and well timed public, private and civil society strategic interventions have the potential to transform the development and growth path of towns and cities. It is on this basis that ALAN and NALAO worked in four pilot local authorities of Karibib, Maltahöhe, Otjiwarongo, Omaruru and Usakos through the Town Development Strategies project implemented with financial support from the World Bank through Cities Alliance. The project has a three pronged approach of the first one of using participatory approaches to develop Town Development Strategies for all the participating local authorities, secondly to inspire and strengthening the capacity of a cadre of outcomes based thinkers in the participating local authorities and their associations (ALAN/NALAO) with competence to facilitate urban strategic planning for local authorities; thirdly to use the experiences to develop a guide for urban strategic planning that can be useful for all local authorities in Namibia. This is the basis of this guide.

During this time of working with the different local authorities we have come to value strategic planning as a powerful leadership tool that enables local leaders to jointly articulate a clear shared vision, provide oversight and agree on priorities for budgeting and agreeing on accountabilities. The shared journey has also opened our eyes to a number important discoveries like is the importance of a stable governance structure, the need to mobilize all the energies of different sectors of society towards the development and implementation of a shared vision and strategy. There is also the need to take economic, spatial and social dynamics into consideration.

It is our hope that the process outlined here will help cities and towns in Namibia to identify their strengths and challenges and to prioritize appropriate goals that would help steer the collective vision of their towns and that this will be done with the participation and partnership with citizens and stakeholders including the private sector.

## **Types of Plans**

### **Vision 2030**

At the strategic and higher level a policy framework (Vision 2030) for long-term national development articulates where the country sees itself in terms of social and economic development in 2030. The goal of Vision 2030 is to improve the quality of life of the people of Namibia to the level of their counterparts in the developed world by 2030. The theme of the vision therefore is for Namibia to become: A prosperous and industrialized Namibia, developed by her human resources enjoying peace, harmony and political stability.

Namibia's Vision 2030 is designed as a broad unifying vision for guiding the country's five year development plans and at the same time providing direction to government ministries, the private sector, NGOs, civil society and regional and local authorities.

### **National Development Plans**

The NDPs are aimed at contributing to the realisation of Vision 2030 by providing direction and focus over a period of five years each. In the NDPs the government outlines its goals, desired outcomes and strategic initiatives. Achievement of the desired outcomes which should contribute towards the achievement of goals will be driven by various strategic initiatives.

## **Sectoral Execution Plans**

Sectoral plans are formulated as planning instruments for the implementation of NDPs. Each sector is led by a specific ministry that carries the overall mandate of the sector - in the case of the local authorities – the line sector ministry is the Ministry of Regional, Local Government, Housing and Rural Development. The Sectoral Execution Plans are meant to reinforce the linkage between NDPs and identify the goals, desired outcomes and strategic initiatives to which they will contribute.

Furthermore the Sectoral Execution Plans seek to establish a holistic view of an entire sector, review past performance and its current status and consider challenges, strategies and future opportunities. They also aim to ensure that consultation, coordination and collaboration takes place between government ministries and stakeholders such as NGOs, private sector, development partners, State owned Enterprises, Regional Councils and Local Authorities.

## **Linkages with Local Authority Strategic and Annual Plans**

In line with the strategic planning framework contained in My Guide to Performance Management in the Public Service of Namibia, a document spearheaded by the Office of the Prime Minister (OPM) all Offices, Ministries, Agencies (O/M/As), Regional Councils and Local Authorities are obliged to develop strategic plans that are aligned to NDPs in line with Vision 2030 and the Medium Term Expenditure Framework. The annual plans should be linked to the sectoral execution plans which sets out the five year plan for meeting national development targets.

## **Spatial Planning (Town and Regional Planning)**

In Namibia, town and regional planning is recognized as a profession on par with architects, engineers etc. Government planners are employed in the Division of Town and Regional Planning in the Ministry of Regional, Local Government, Housing and Rural Development (MRLGHRD). The professional behaviour, control of standards, rules of private practice, etc. are controlled by the Namibian Institute of Town and Regional Planners (NITRP) who has between 40 and 60 members. No town planner can practice in Namibia unless he/she is registered with this Institute. In Namibia, most practicing town and regional planners are employed by the Windhoek, Swakopmund or Walvis Bay Municipalities or the Division of Town and Regional Planning (MRLGHRD) or they are engaged in private practice.

Town planning schemes and structure plans provide a future framework within which human activities can take place and serve two main purposes:-

- to provide a spatial structure for future activities and land uses which, in some way, will create a pattern of development which is better than patterns that would exist without planning.
- to provide authorities responsible for development with a tool for development control. Zoning plans provide authorities with the means to assess whether proposed uses of land and buildings conform with, or are opposed to, the long term development objectives of that authority.

The **output** of town and regional planning comes in many forms including designs, plans, maps, structure diagrams, explanatory reports, policy statements, procedures, etc. It is important that local authority strategic visioning and planning must reflect proper principles and models of urban development, taking into account local spatial patterns and sustainability of the urban growth and land use giving preference to a compact city model.

## **BENEFITS OF URBAN STRATEGIC PLANNING**

The ultimate goal of urban strategic planning is to improve the quality of life in a town and its surrounding areas through the definition of a shared vision for that town. The strategic planning is aimed at pursuing common objectives like:

- A competitive economy that is able to provide sufficient employment opportunities for its residents
- Better living conditions and public facilities
- A preserved environment that satisfies the needs of both current and future generations
- Stable and responsive governance

## **Critical Success Factors for Effective Strategic Planning**

Through our interaction with the five pilot local authorities in Namibia as well as with other international learning and exchange forums through the United Cities and Local Government (UCLG) Urban Strategic Planning Working Committee we have learned invaluable lessons for both local authorities and national government. Any meaningful transformation of urban strategic planning in Namibia needs to take heed to the following key recommendations for local authorities and for national government (especially the sector line ministry of Regional Local Government, Housing and Rural Development and the National Planning Commission who has lead responsibility for coordination of planning in Namibia).

## **Imperative for Local Authorities in Namibia**

### **Local Authorities need to:**

1. Develop urbanization policies that promote economic growth, poverty reduction and environmental sustainability as well as spatial integration of communities
2. Fully commit themselves to lead strategic planning processes to be inclusive and participatory
3. Allocate necessary human and financial resources in-house for responsible public participation to increase accountability and real ownership of the vision by all stakeholders
4. Find networks and partnerships with other municipalities to share and improve capacity and support the development of learning and exchange
5. Communicate the plan clearly and concisely to all stakeholders
6. Focus on the unique characteristics of their town and its people and (not just do copy and paste)

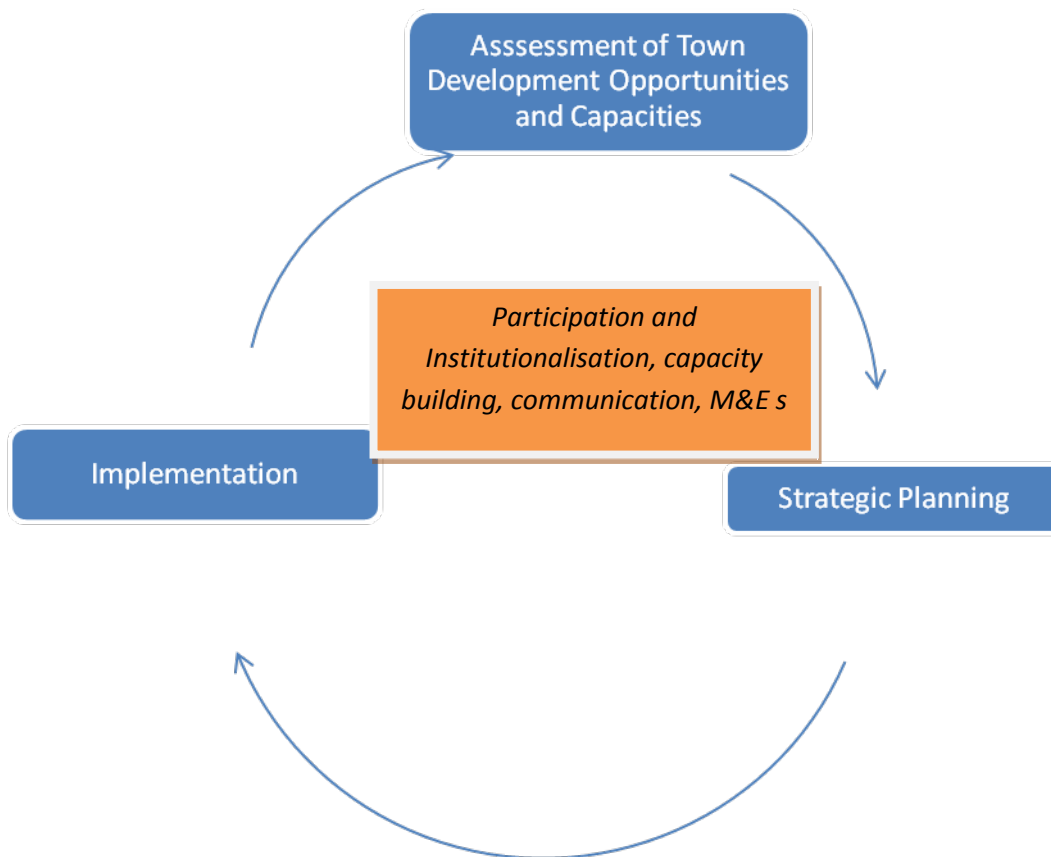
### **National Government** *((especially the sector line Ministry of Urban and Rural Development and the National Planning Commission)* **need to:**

1. Recognize the challenge of urbanization as a priority and commit themselves to integrated local planning processes to deliver local investment with a concurrent plan covering all spheres of government and the private sector

2. Improve the framework of intergovernmental relations that support strategic and promote cooperative (multi-level) governance on the principle of subsidiarity and decentralization.
3. Encourage urban strategic planning by local authorities with specific support to rural and smaller towns to analyze the demands and build on the unique competitive qualities
4. Provide predictable and transparent operational and capital project subsidies to local authorities to accelerate the achievement of Vision 2030 goals.

### The Strategic Planning Process

The process of developing a town development strategy can be divided in three main sequential stages of development. It is important to note that this is not a linear process that ends with implementation but it is a continual process of assessment, planning and implementation that is founded on strong communication, monitoring and evaluation.



These three stages can further be divided in nine building blocks:

#### 1. Assessment

- a. Initiating the Process
- b. Establishing the initial parameters and the scope of the TDS
- c. Making an initial assessment

#### 2. Strategic Planning

- a. Formulating a vision

- b. Identifying (core strengths, challenges/weaknesses, opportunities, threats (SWOT Analysis or SOAR (Strengths, Opportunities, Aspirations, Results) in Appreciative Strategic Planning)
- c. Setting Strategic Thrusts (Priorities)

### **3. Implementation**

- a. Building awareness
- b. Budgeting and Action Planning
- c. Monitoring and Evaluation

#### **The Process in Detail**

The same model can not be applied everywhere. Thus urban strategic planning tools need to be adapted to each context, it cannot be just “cut and paste” because it varies according to levels of decentralisation, democratic culture and local authority capacities and mandates. The core principles must however remain the same regardless of context and that is that local authorities must adopt cross sectoral and inclusive approach of urban development. Thus urban strategic planning must be based on:

- A strong political will and leadership
- Mobilisation of all stakeholders
- A territorial (spatial) projection
- A translation of the strategy into integrated public policies at all levels,
- A monitoring and evaluation plan and process (balanced score card)

#### **Step 1: Initiating the Process**

It must be recognised that the strategic planning process will require investment in terms of time and other resources. Thus local authorities can not just jump in the process without proper readiness.

There is a need for high level guidance and coordination. If the mayor or equivalent senior political figure is not seriously involved in the Town Development Strategy (TDS) process the other stakeholders will also not take the process seriously. This is therefore the stage where the initial announcement and early promotion of the process important. Both the senior elected officials and the senior management team must both support and be actively involved in the process.

#### **The Role of the Mayor: A Legislative Imperative**

The Local Authorities Act, Act 23 of 1992 articulates the important role of the mayor in urban social and economic development planning as follows as per Section 11, Subsection 5:

(5) *The mayor of a municipal council or town council shall in respect of the municipal council or town council concerned -*

- (a) *be the principal head and, in consultation with the municipal council or town council concerned -*
  - (i) *initiate and formulate planning and development policies;*
  - (ii) *initiate promotion for the creation of employment in its local authority area;*  
*and*

Local Authority Strategic Planning Guide

(iii) *closely monitor the implementation of the policies contemplated in subparagraph (i);*

- (b) *have supervisory powers regarding the planning and execution of all development programmes and projects;*
- (c) *be accountable to the inhabitants of the local authority and execution of all development programmes and projects;*
- (c) *be accountable to the inhabitants of the local authority area regarding any matter referred to in paragraph (a) or (b);*
- (d) *in consultation with the municipal council or town council concerned, investigate and endeavour to solve, any issue pertaining to the local authority area concerned; and*
- (e) *be responsible for the promotion and creation of the social well-being of the inhabitants of the local authority area concerned.*

*subsection (5) inserted by Act 24 of 2000*

It is also important to have the support of Key Stakeholders Group or equivalent body that represents key interest groups in the town. Although bigger open access meetings and other bigger public meetings is useful, a quality collaborative approach to strategy development is best when you have a smaller but representative group (the key stakeholder group) that can negotiate hard content.

In order to make sure that you don't miss out on important steps or activities in the initial stage consider the following checklist.

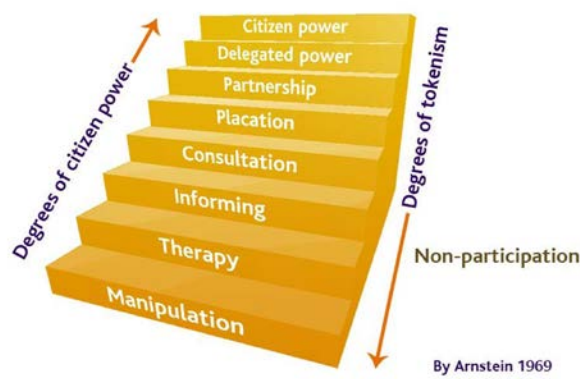
<b>Leadership and Communication</b>	
Did the senior political leaders (mayor) declare support for the process	
Is the senior management and executive team committed to the process	
Is there good governance and a conducive working relationship between the political and administrative leadership	
Did we inform regional and national government including line Ministry	
Did we inform the private sector and civil society	
Do we need to inform the media (optional)	
<b>DRIVING THE PROCESS</b>	
Did we select an in-house process manager to facilitate the process	
Did we identify key stakeholder groups and their representatives	
Do we know who will make up the planning committee	
Will we make use of an internal or external facilitator? (who and at what costs)	
<b>PROCESS ROADMAP AND INFORMATION</b>	
What timeframes and deadlines have we agreed upon?	
How will we schedule review and approval process by council?	
Will we make use of subcommittees and what will their role be?	
What kind of interim reports or drafts will be issued?	
Which meetings will be open to the public?	
What background material is available e.g. NDP4; Census reports, employment statistics, citizen satisfaction surveys, previous strategic plans, capital budgets, town planning schemes etc.	



### A Word on Participatory Planning

In the ongoing improvements and experiences in urban strategic planning there is a growing appreciation of stakeholder participation as a valuable investment of time and resources because the quality of service delivery is greatly improved when local authorities consciously integrate ideas from those who are being served in their strategies and priorities. By demonstrating a clear commitment through to listening to city stakeholders and more importantly acting on their ideas, more and more innovative local suggestions start emerging. At the same time participation can also be a powerful tool to help everyone understand the complexity of development problems and the need for devising integrated responses to difficult challenges.

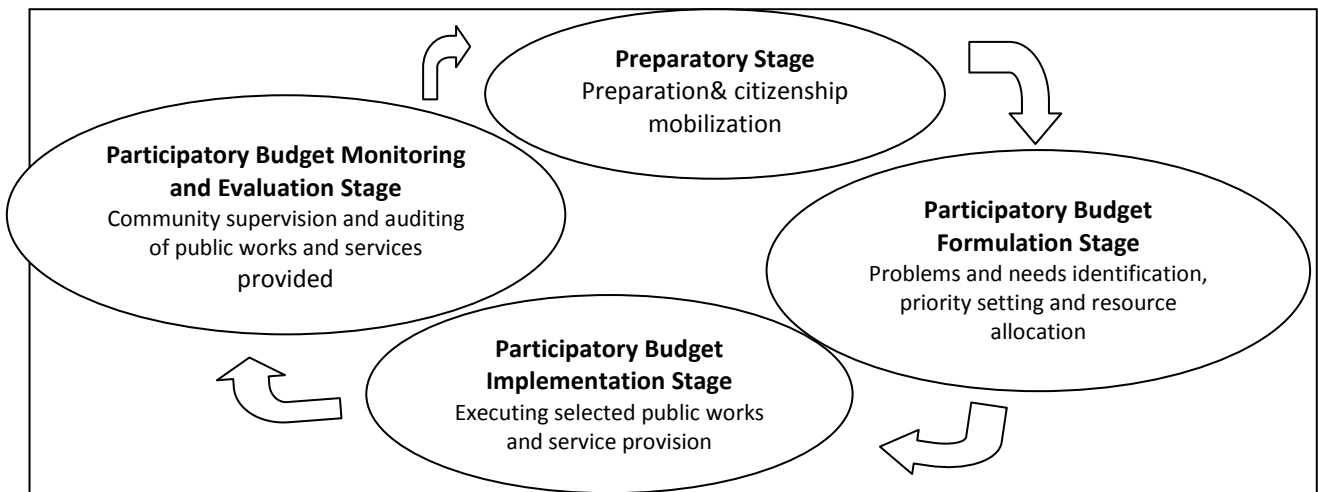
Below is a useful chart for any local authority to assess how meaningful the participation of its stakeholders are in their current practice of community and stakeholders engagement.



### ...and Participatory Budgeting

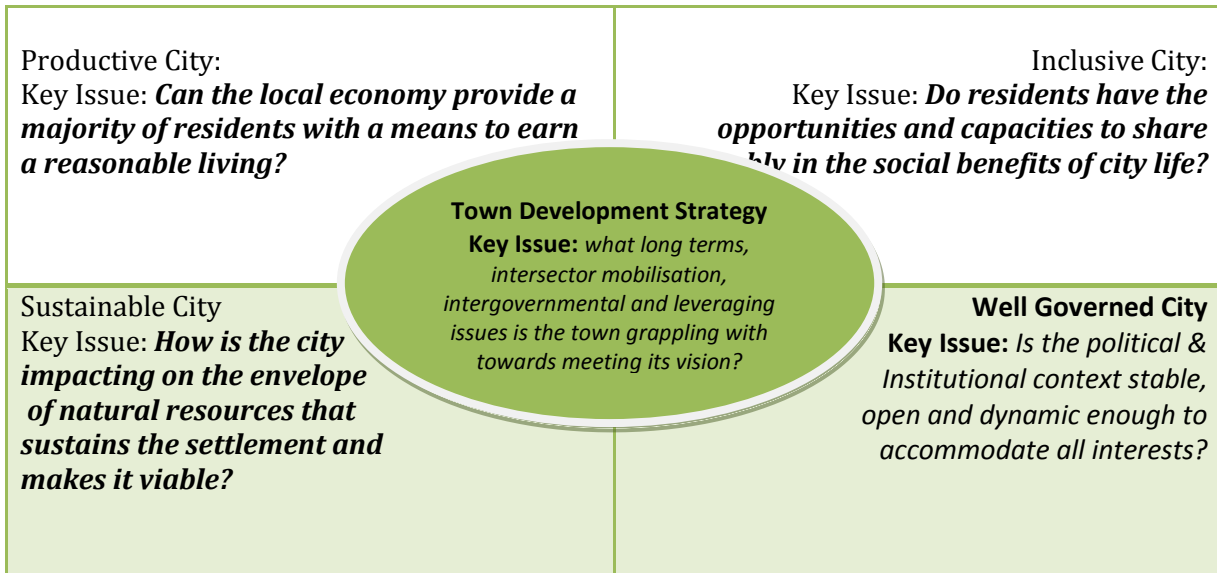
Another aspect that is closely linked with the participatory planning process is the issue of Participatory Budgeting. The experience generally among local authorities have been that the strategic planning and budgeting has more often than not been treated as separate unrelated activities. One senior manager after getting the revelation of the need to integrate the budget and the strategic plan admitted “the last time we did our strategic plan we started the process a week or so after the budget has been approved by the council, no wonder it was difficult to show progress on the achievement of the goals of the strategic plan, but now we have learned from our mistakes.”

Participatory budgeting is also a vital aspect of participatory planning and is best illustrated by the diagram below: Source: UN Habitat – Quick Guides for Policy Makers



....and on Integrated Strategic Planning

In order to assist cities in South Africa with their City Development Strategies the South African Cities Network (SACN) has developed a programmatic framework to help cities to focus on an integrated and systemic mindset. This is a value tool for analysis that enables focus stakeholders on long term strategies that intergovernmental and intersectoral approaches while including the importance of good governance as one of the conditions for socio-economic development.



**Step 2: Creating Understanding: Where do we stand?**

An assessment of the local authority past and present development is important before engaging in the development of a strategic vision shared by all the stakeholders. A good technical analysis of the current situation is usually done through two levels of assessment:

- An internal assessment identifying strengths and weaknesses;
- An external assessment identifying opportunities and threats

This general assessment is aimed at identifying the main trends concerning the town or local authority area development and its different economic sectors in order to identify opportunities and major challenges to come.

In order to follow a sustainable development approach the assessment must details the needs of both today and tomorrows population concerning the areas of local economic development, urban development, environment, social inclusion, housing, transportation, facilities and services etc.

**OUTCOMES BASED THINKING**

**Activities**  
The things that you do to produce an output

**Outputs**  
The tangible things, products, services that arises from the different activities

**Results**  
About people taking action on the outputs produced

**Outcomes**  
The desired end/ need that is met or achieved after the action is taken

### **Step 3: Formulating a Vision - where can we head to?**

A Vision is a statement of where the town/city wants to be, usually 10-15 years into the future. In the case of the TDS project the long term strategic vision was based on 2030. The vision statement needs to be specific, internally consistent and realistic but challenging. It should stress what is unique about the town (local authority) and easy to read. A vision is important because it aligns stakeholders' energies so that the stakeholders can work cooperatively and for the same goals.

The vision needs to reflect the unique attributes of your town and mainly focus on the following key issues:

- Its comparative and competitive advantages
- Its values and preferences of its residents
- Its relationship to the global, local and national economies
- Its history and culture
- The physical characteristics of the town such as location, climate, terrain, water supply and scenic attributes

A vision should not be long and easy to understand. It creates identity

### **Step 4: Making Choices: Strategic Thrusts/Priorities**

Strategic thrusts or priorities are the heart of the Town Development Strategy. This is the place to make choices and sometimes tough and candid debate and choices have to be made. With limited resources no organisation much less local authorities can go the shopping list route but has to make strategic choices. Local authorities need to be aware that these are cross cutting, interlocking actions delivered in many ways - for example through direct investment from the town's development or capital project budget or it could be funded by central government or public-private partnerships and it almost always involves more than one agency.

Strategic priorities like these are focused on high visibility maximum impact in a cost effective way because it is not practical for any city or town to focus on too many initiatives at one time. If they are many they should not exceed five. Each strategic thrust will further be supported by several strategic initiatives.

### **Step 4: Securing Support through Awareness Raising**

A successful TDS process needs the support of most of the community, especially the key stakeholders. Although total consensus might not always be possible there is a need to disseminate information as broadly as possible using a mix of community and public meetings as well as different media platforms.

### **Step 5: Action Planning and Implementation**

Clearly a strategic plan is of no value unless it is implemented. Any successful transition from strategy to implementation depends on this step of action planning. There is a need to assign specific task teams for this. The implementation task forces will formulate more detailed action plans, clearly indicating responsibilities, timelines and expected inputs, outputs and outcomes (result or impacts).

This is also the stage where the town council will identify policies, by-laws, budgets and other resources and measures that must be implemented to successfully execute the chosen strategic vision. There is also a need to have a sustainable monitoring system to gauge success based on identified indicators.

Some of the key questions that can come up at this stage are: *how will we manage to implement the strategy? How many years will it take? Who will be in charge of what?*

Specifically the following issues need to be taken care of:

- Prioritize the intervention and schedule implementation. Not all actions and projects can be pursued at the same time, it is therefore important to prioritize them in order to be efficient.
- Identify lead actors in charge of implementation and organize the structures that will define, coordinate and monitor these projects.
- Provide institutional, legal and operational tools for implementation. This may be issues like including projects in the budget cycle, by laws in alignment with the strategic plan, updating zoning regulations or updating the spatial structure plan in alignment with the strategic vision etc.
- Ensuring that projects and initiatives are integrated into the day to day operations and governance processes of the council
- Agree on key indicators and sources of information as well as reporting schedules and process that will enable the council to remain up to date with progress and make adjustments when and as necessary.
- Communicate the strategy broadly to engage stakeholders and strategic investors who can set aside resources to implement some aspects of the strategic initiatives.

### **Final Word on Performance Management**

A guide on strategic planning cannot end without a word on Performance Management. This is because performance management is the activity that enable every organisation to measure the implementation of its organisational strategy. Once the strategic plan is done it is imperative for local authorities to spend time to develop a proper performance framework. This will also serve as a management tool to plan, measure and monitor performance of indicators to measure efficiency and effectiveness and the impact of service delivery by the local authority.

The most common strategic management tool used by most local authorities and other public institutions in Namibia is the Balanced Scorecard. Some of the critical areas that needs to be monitored include economic development, governance, finances, service delivery and transformation issues.

In a the slightly adapted Balanced Scorecard to the local authority context we have agreed on five components instead of four that is mostly used in the private sector - These are:

1. Constituents and Stakeholders (Customer Perspective)
2. Services and Programs (Customer Perspective)
3. Governance and Decision Making (Internal Process)
4. People (Staff Engagement)
5. Budget and Financial Responsibility

# Facilitating Strategic Planning

- A guide -

## FOR COMMENTS AND QUERIES

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## INTRODUCTION

This Facilitator's Handbook has been designed as a guide for workshop facilitators involved in strategic framework workshops run by the eThekweni Municipality for other municipalities within the Province of KZN, the continent and beyond.

It spells out in some detail the content of the Municipal Strategic Planning workshop. For ease of reference, the guide is set out in the form of Modules. This programme covers a set of eight short modules which are normally covered over a two and a half-day workshop.

It is not meant to be a blue-print for workshops. Instead it is meant as a guide to help facilitators as they design a needs-based tailor-made workshop for participants.

## WORKSHOP OBJECTIVES

- To produce a strategic and implementable PLAN OF ACTION that will help to turn around targeted municipalities
- To inculcate an appreciation of OUTCOMES-BASED PLANNING and the importance of being strategic
- To begin a process of building a TEAM that is results-focused
- To identify potential areas for collaboration and co-operation between MILE and the targeted municipality

## FACILITATION TEAM

In order to successfully run the workshop, a team of ONE LEAD FACILITATOR and at least TWO SUPPORT facilitators are required. In addition, ONE administrative/logistics person is required.

## MODULE ONE: GETTING STARTED

The module spells out the key elements involved in getting a workshop going. It covers even taken for granted logistic arrangements, as these can make or break your workshop.

### 1.1. SETTING UP AND REGISTRATION

#### **TIP BOX One:**

**Take time out before the workshop to check out the venue, its size and layout, availability of breakaway rooms, location of restrooms.**

**Meet the conference centre staff and find out if you have access to their facilities such as printers, extension cords, etc.**

1. Arrive at least an hour before your first participant to set up your workshop venue.
2. Make sure that the seating is conducive to participatory engagement. Cinema seating should be avoided, unless the room does not permit it. If possible request for round tables of 8 people seated per table (small groups enhance maximum participation).
3. Put the necessary materials on the tables viz table numbers, koki pens (one per delegate), A5 colour cards, name cards
4. A nice gesture is to have bowls of sweets at the tables (if these are not provided by the conference venue) and water
5. If participants are known beforehand, pre-printing their names is a nice touch. It also demonstrates that you have done your homework and are well prepared – ask the host municipality to organise this.
6. To encourage maximum participation ensure that participants are evenly spread out between tables as per their political affiliation, official designations, etc. (this avoids the clique syndrome). Do this by arranging your register in such a way that participants are already pre-allocated to a group / divide the register into the number of groups e.g. if there are 6 groups then draw up the register with numbers 1-6 so that all who sign on at no. 1 will sit at table 1, etc.
7. Have music playing in the room – this creates a relaxed atmosphere for the delegates as they enter the room. Also put music on during the breaks
8. Try to personally welcome delegates as they arrive – this first touch always helps develop a relationship with delegates which is invaluable for a facilitator
9. Request that tea and coffee is served on arrival. If delegates have travelled from far they might have not had any breakfast so a snack on arrival is always good.



10. Test the laptop and projector to make sure that they talk to each other. The last thing you want is a technical glitch at the beginning of your workshop.

## 1.2. WELCOME AND INTRODUCTIONS

This first session is usually opened by the Host who welcomes all participants. Note that in many contexts, even BEFORE the introductions are done the Host calls upon someone to lead the workshop in PRAYER, often in the local language.

The Host then hands the session over to the Facilitation Team to kick off with a round of introductions. Introducing workshop participants offers the opportunity for an icebreaker to make participants relax and get to know each other.

A tried and tested one is for participants to pair up with someone they don't know and to share a little about themselves, including their one HOPE and their one GRIEF in life. The partner then shares this with the entire group.

## 1.3. AGREEING ON GROUNDRULES

One of the Facilitator's foremost duties in this first session is to help the group agree on a set of commonly shared Ground Rules. These Ground Rules will set the tone for the workshop and must be enforced throughout. The Rules should be printed clearly in large font and displayed at the front of the venue throughout the workshop. Make sure that when a participant gets out of order, that the ground rule being transgressed is quoted. There is generally no more than Six Key Ground Rules.

If the participants are not forthcoming with important ground rules feel free to suggest rules that you think are important. As long as these are accepted by all, they can be enforced.

### Commonly Used Useful Ground Rules

- Cellphones off
- NO HOGGING
- NO FROGGING
- NO BOGGING
- Speak thru facilitator
- Keep to time

#### 1.4. DETERMINING PARTICIPANTS EXPECTATIONS

Often the facilitator's expectations are not the same as the Host or the workshop participants. It is frustrating after three days of work, for participants to have felt that they could have better spend their time.

It is therefore very important to elicit each participant's expectation. As this will take some time, especially where the group is large, it is best to get each participant to write down in bold print the ONE expectation that s/he has for the workshop. These are then collected as they are written up and stuck onto the wall. The Lead Facilitator with help from the team then groups these and summarises the Group's Expectations.

#### 1.5. MATERIALS REQUIRED

##### Electronic Equipment

1. Data Projector
2. Extension Cord
3. Double Adaptor
4. Camera
5. Slide Changer Pointer
6. Portable Printer
7. Speakers / Shox for Sound
8. Flash drives

### Stationery

9. Brown Paper
10. A5 Colour Cards
11. Prestik
12. Koki Pens (one per participant + 5 extra)
13. Realm of printing paper
14. Flip chart paper X 1 realm
15. Scissor X 1
16. Exam pad X 1
17. Pens for registration
18. Stapler with staples X 1
19. Drawing Pens
20. Colour dots X 1 box

### Other

21. Banner
  22. Attendance Register
  23. Table Numbers + Facilitators + Registration
  24. Flip chart stand
  25. Photocopies of two Case Studies – one per delegate
  26. Evaluation Sheets – one copy per delegate
- 
1. Koki Pens – at least one per participant plus about 5 extra
  2. Attendance Registers – if not provided by the host
  3. Name Badges / Labels

4. Flipchart stand with paper
5. A Spare Wall preferably with adhesive sprayed brown paper
6. Sufficient Press Stick
7. Coloured sheets of paper for writing down expectations
8. Laptop
9. Data Projector
10. Screen
11. Pens
12. Printer + paper
13. Double adaptor
14. Extension cord
15. Prizes such as Imagine Durban water bottles, etc.
16. AO Sheet giving brief description on Outcome, Result, Output, Activities

**Tip Box Two**

**Establish during this first session what the language needs of the group are. Sometimes one assumes that a second language is required, only to find out that all participants are happy to continue in one language and might prefer using a local language only for group work .**

## MODULE TWO: INTRODUCTION TO OUTCOMES-BASED PLANNING

### OUTCOMES:

- Participants are familiar with the Durban experience and feel inspired to embark on similar journey
- Participants fully understand and feel confident and enthused to apply outcomes-based thinking in their everyday work lives

### LEAD FACILITATOR PRESENTATION

This module comprises of the facilitator presenting the Durban story in a lively animated way, using powerpoint slides to guide the session. Note that this is a slow and deliberate presentation, but with lots of interaction and questions from group to facilitator and vice versa. The intention here is not so much to convey exactly how the Durban process unfolded, nor its content, but to demonstrate that with good leadership and commitment to a process, an ailing municipality can be turned around.

### GROUP TASK

The facilitator distributes a **WORKSHEET** that requires participants to form groups of three / four and work out examples of **ACTIVITIES, OUTPUTS, RESULTS** and **OUTCOMES**.

### MATERIALS REQUIRED

- Worksheet with questions to be prepared
- Power point presentation (need to set up laptop, projector and screen)
- AO Sheet giving brief description on Outcome, Result, Output, Activities

## MODULE THREE: DEFINING THE CHALLENGES – WHAT NEEDS TO CHANGE?

### OUTCOME:

- Participants are able to articulate a set of KEY CHALLENGES that they are faced with in their municipality
- Participants are able to differentiate between INTERNAL challenges and EXTERNAL challenges, and the roles that the municipality can play in addressing the challenges
- Participants are able to PRIORITISE challenges in order of strategic importance.

This module employs the use of a CASE STUDY to help workshop participants to critically reflect on their own municipality's key challenges. Having identified these challenges in groups, they are then expected to rank them in order of priority in a Plenary session.

### EXPLANATION OF CASE STUDY

The facilitator explains that the Case Study is a fictitious one, and that it has been used many times before in other municipalities. Active participation in the groups is required for success.

### GROUP TASK

The facilitator divides the participants into groups with a good mix of Councillors and Officials.

#### TIP BOX Three:

**Colour Code your Case Studies to differentiate between Case Study One and Case Study Two; and between the English and Zulu version.**

Where isiZulu Case studies are required, this must be distributed. Groups are normally allocated half an hour to read and answer the questions. The Group must self-manage the process, with them starting off by electing a Scribe and a Repertoire, who will be expected to give a summary of the groups answers.

### AGREEING ON MUNICIPAL CHALLENGES

- Having done the Case Study, participants brainstorm what they think their own key municipal challenges are. The facilitator stresses that the underlying causes of the challenge must be addressed, and that the challenges must be regarded as strategic.
- Using power point these Challenges are captured electronically
- The facilitator then asks the Plenary session to PRIORITISE these challenges and identify the most critical of all the challenges.

**MODULE FOUR: VISIONING AND PURPOSE STATEMENTS****OUTCOME:**

- Participants understand the essence of DEVELOPMENTAL LOCAL GOVERNMENT
- Participants are able to design their own PURPOSE STATEMENT and understand who their CUSTOMERS are
- Participants construct a new or revised VISION for their municipality

This session begins with a powerpoint presentation by the facilitator explaining the importance of PURPOSE STATEMENTS in a context of developmental local government.

Examples of Purpose Statements are given, before they construct a Purpose Statement for their municipality.

This is followed up with a discussion on who participants think their customers are.

The third element in this session is around construction of a VISION STATEMENT. A short presentation on Visioning is done, emphasising the importance of making choices. Participants are then requested to write down verbatim what they think their municipality's Vision Statement is. Generally participants statements vary so much that the point is amply made! Working either in groups or in a Plenary Session, the participants are asked to refine / revise their existing Vision so that it reads better, and becomes a call to action.

**MODULE FIVE: SETTING STRATEGIC GOALS – WHAT TO CHANGE TO?****OUTCOME:**

- Participants are convinced that strategic planning can offer solutions to their key challenges
- Participants are able to articulate a set of STRATEGIC GOALS for their municipality

This module is a follow on from Module Three and also employs the use of a CASE STUDY to help workshop participants to identify STRATEGIC GOALS for their own municipality. These goals are merely the translation of their challenges into positive goal statements.

Whilst the Case Study is done in Groups from past experience we have found that the goals setting session works best in a single Plenary Session.

**EXPLANATION OF CASE STUDY**

The facilitator again explains that the Case Study is a fictitious one, and that it has been used many times before in other municipalities. Active participation in the groups is required for success.

**GROUP TASK**

The facilitator may choose to use the previous groups if this has worked well. If not new groups could be formed. Again, groups are normally allocated half an hour to read and answer the questions. The Group must self-manage the process, with them starting off by electing a Scribe and a Repertoire, who will be expected to give a summary of the groups answers.

**MATERIALS REQUIRED**

- Case Studies in appropriate languages
- Flip chart paper
- Kokis



**MODULE SIX: DESIGNING STRATEGIES AND ACTION PLANS – A STRATEGIC ROADMAP****OUTCOME:**

- A short, clear strategic roadmap
- Participants are able to articulate a set of STRATEGIC GOALS for their municipality

This is probably one of the most important sessions of the workshop. It is critical that energy in the room is high, as participants may tend to get tired at this point.

Run entirely in Plenary, this session is facilitated using a spreadsheet projected via the projector, and getting the participants to complete the template which asks for the following information:

- Key Challenge - completed earlier
- Strategic Goal – completed earlier
- Strategic Action
- Budget
- Responsible Person
- Time Frame

## MODULE SEVEN: SIGNING THE ACCORD

### OUTCOME:

- An Accord that is signed by all participants who have pledged to work together to implement their strategic plan.

In order that the content of the strategic plan is actually implemented according to the time frames stipulated, and by the responsible persons, an Accord is signed which holds workshop participants accountable for the process.

This has worked very well in workshops undertaken with several municipalities to date. The facilitating team can offer to visit the municipality in six month's time to review progress made.

### OUTCOME:

- Concise feedback on how the workshop proceeded, its strengths and shortcomings
- Participants who feel empowered to take action in their municipality

In order to continually improve the standard of workshops it is highly recommended that the workshop conclude with an evaluation.

It is best NOT to do this verbally but to insist that ALL participants rate the workshop using a pre-prepared questionnaire that is filled in unanimously. An example of an Evaluation Questionnaire can be found in the Annexures. – need to translate this into ISiZulu

We normally recommend that the workshop closes on a high, with a powerful, short and inspirational address by the host. Some workshops also close with a prayer. Remember to take a group photo.

### Another Approach Another Perspective – Appreciative Inquiry Approach to Strategic Planning

This approach draws on the Appreciative Inquiry (AI), an organization development and capacity building methodology that was first pioneered at Case Western University in the 1980s. The AI approach is a qualitative which emphasizes discussion and participation and encourages organizations to look at what works. The essence of AI is a focus on when the organization is at its best. In the planning processes for TDS we used tools that on AI as well as those that are based on traditional problem solving strategic planning. Through the process local authorities have an opportunity to check whether they have the six basic questions in a strategic plans and difficulties.



mid approach  
look at moments strategic are based approach.  
answered

1. **Why does our local authority exist?** Your response to this question will be a mission statement (statement of purpose) which describes the main purpose of the local authority and core values.
2. **What gives our local authority life and meaning?** – This question identifies the energizing forces and factors which give live and meaning to the local authorities. It identified the conditions and attitudes necessary for peak performance.
3. **What does your local authority want to do?** – This question helps the local authority to agree on a set of propositions for the future (also called strategic goals)
4. **What does your local authority do well?** – this question helps local authorities to reflect on what factors made high point experiences possible for the local authority.
5. **Where does your local authority wish to go?** - The response to this question will be a vision statement which describes the shared picture of the local authority's best future – what it wishes to create or what it hopes to be.
6. **How will your local authority get there?** - The response to this question will lead to an action plan which outlines the specific actions that the local authority will take to make each of the propositions (strategic goals) for the future happen. The action plan also identifies who is responsible for the actions and includes a schedule for completion.

**Sample Workshop Design: Participant Workbook Based on Appreciative Inquiry Approach**

**Activity 1: Task Brief**

**Purpose:**

To explore the factors that “give life” to MALTAHÖHE VILLAGE when it is at its best

**Guidelines:**

- Select an interview partner from your table group.
- Interview your partner using the interview guide on the following pages. Each person will have 25 minutes to interview his or her partner.
- Encourage your partner to tell his/her story, draw them out with your positive energy and excitement.
- Take good notes and be listening for great quotes and stories. You will share the results of your interview in the next session.
- The information you collect in this interview will be used today and tomorrow to shape the future of MALTAHÖHE.

## Opening Interview Guide

### 1. What Attracted You?

Think back to when you first got involved with MALTAHÖHE VILLAGE COUNCIL etc. what attracted you? What were your initial excitements and impressions?

### 2. High Point Experience

During your relationship with MALTAHÖHE VILLAGE COUNCIL, there might have been some ups and downs, some peaks and valleys, some high points and low points. I'd like you to reflect for a moment on a high point experience, a time when you felt most alive, most engaged, most proud of your involvement...tell the story. What happened? What made the experience exceptional?

### 3. Root Causes of Success

As you reflect on your high point, I'd like to you identify some of the "root causes" that contributed to making it a peak experience.

a. First, what was it about you that made it a great experience? If we had a conversation with the people who know you best and asked them, "What are the 3 best leadership qualities they value in you, qualities or capabilities that you bring to MALTAHÖHE S etc. and the building of its future—what would they say?

b. Second, who were significant others and what was it about them that made it a high point?

c. Third, what was it about the nature of your work...the things you most value...that made it a great experience?

d. Finally, what was it about the MALTAHÖHE VILLAGE COUNCIL as an organization (e.g. culture, values, relationships, leadership, systems, ways of working, etc.) that made it a high point for you?

#### **4. Core Life-Giving Factor**

Based on the last three questions, if you could boil it down to one thing, what would you say is the core factor that gives life, health, and vitality to MALTAHÖHE VILLAGE and to the village council?

#### **5. Leadership in Local Government Administration and Service Delivery**

As you think today about the larger context and purpose of local authorities, there are many trends, events, challenges and developments that will call on MALTAHÖHE VILLAGE COUNCIL to change, develop, and play an even more significant role in the future.

A. In your view, what are the two or three most important events, trends, challenges and developments in Namibia and beyond affecting MALTAHÖHE VILLAGE COUNCIL.

B. What do these trends and challenges imply for the future of MALTAHÖHE VILLAGE COUNCIL – its larger purpose and future opportunities to grow, change, aim higher, and lead in new ways?

#### **6. Images of the Future**

Imagine that tonight you fall into a deep relaxing sleep, and you don't wake up until the year 2030. When you awake, you see that a miracle has occurred. Major changes have taken place, and MALTAHÖHE has become everything you hoped it could be. You can truly say, without reservation, that this is the city of your dreams. What do you see? What does it look like? What's going on in MALTAHÖHE VILLAGE? What's happening that's new and different? What are MALTAHÖHE culture and distinguishing characteristics? What is the reputation of the council in the community and other stakeholders? In what ways is it leading in the field of local government? What do you see in terms of purpose, values, systems, people, ways of working, financial performance, others?

#### **7. How Do We Get From Here to There?**

If you could develop or transform MALTAHÖHE in any way, what three wishes, in order of priority, would you make to heighten overall health and vitality in the council and its service delivery and relationship with the community?

## **Activity #2: Task Brief**

### **Mapping MALTAHÖHE's "Positive Core"**

**Purpose:** To develop a shared understanding of the "positive core of strengths" that gives life and vitality to MALTAHÖHE VILLAGE when it's at its best.

**Guidelines:**

1. Assign a discussion leader, timekeeper, recorder, and reporter
2. Go around the table. Have each person introduce his or her partner by sharing a story and brief highlights from questions 1 & 6.
3. Next, go around the table and have each person share stories and highlights from interview questions 2-4. Focus especially on the high point experience stories and their "root causes of success."
4. As a group, talk about what these stories and responses tell you about MALTAHÖHE VILLAGE at its best? What are the elements of MALTAHÖHE VILLAGE's "positive core of strengths" that enable it to be a leader in local government administration and service delivery.
5. Prepare a 10 minutes presentation that includes:
  - A story from the interviews that powerfully illustrates the "positive core" of MALTAHÖHE VILLAGE when it is at its best.
  - Illustrations of the 3-5 most important elements of MALTAHÖHE VILLAGE positive core of strengths.

## **Individual Worksheet**

### **MALTAHÖHE VILLAGE's "Positive Core of Strengths"**

As you listen to the presentations, jot down those things that you hear that you consider to be so central to the mission and purpose of MALTAHÖHE VILLAGE that they must be sustained and nurtured, no matter what else changes, as MALTAHÖHE VILLAGE moves boldly into the future. You will be asked to revisit these ideas as we continue to work on MALTAHÖHE VILLAGE mission, vision, and organizational priorities.



**Individual Worksheet**

Population Shifts, Urbanisation and Trends in Local Government in Namibia and around  
MALTAHÖHE

Notes:

### **Activity #3: Task Brief**

#### **Envisioning the Future of MALTAHÖHE**

**Purpose:** To imagine a future for MALTAHÖHE toward which you want to work.

**Guidelines:**

1. Assign a discussion leader, timekeeper, recorder, and reporter.
2. In your group, have each person share stories and highlights from interview questions 5 & 6.
3. As a group, put yourselves in the year 2030. Visualize MALTAHÖHE the way you really want it in order to be the leader in service delivery and developmental local government in Namibia. Imagine it as if it exists today. What is it like? As you create your image of the future, consider some of the following areas:
  - The town council's purpose
  - Most exciting and promising strategies and directions being pursued
  - Image and reputation
  - Services and benefits for residents and staff
  - Positive impact and results
  - Nature of leadership—visionary, empowering, servant, and so on
  - Organizational culture, quality of work life
  - Nature of external relations between MALTAHÖHE and other stakeholders and other local authorities locally and internationally
  - Organizational practices and structures creating a culture of excellence
  - Change readiness and methods for increasing change capacity
  - Collaboration and teamwork at all levels
  - Ways of attracting and retaining top talent
  - Decision-making and planning processes
  - HR (e.g., performance appraisal) practices
  - Uses of technology, networks, e-learning, and sharing of information
  - Excellence in training, learning, and development
  - Communications practices
  - Other desirable features
4. Spend enough time talking as a group to imagine fully the MALTAHÖHE VILLAGE of the future. This is an exercise in bold dreaming—of the kind of town or city you want to work toward.
5. List on a flipchart the key elements of your collective dream.

## **Individual Worksheet**

### **The Future of MALTAHÖHE VILLAGE : Promising Ideas and Directions**

As you listen to the dream presentations, jot down those things that you hear that you consider particularly promising for the future of MALTAHÖHE VILLAGE . List key images, words, phrases, and “quotable quotes” that should be in your mission and vision statements and specific high-leverage opportunities, priorities, project ideas and directions that will allow us to translate vision into reality. You will be asked to revisit these ideas when we continue to work on MALTAHÖHE VILLAGE mission, vision, and organizational priorities.

**Images, Words, Phrases,**

**Opportunities, Priorities, Projects,**

**“Quotable Quotes”**

**Directions**

## Activity #4a: Task Brief

### Crafting Mission Statements

#### Purpose:

To review the MALTAHÖHE VILLAGE mission statement that it paints a clear and compelling picture of why MALTAHÖHE VILLAGE exist.

#### A Word About Mission Statements:

The creation of a clear mission statement is the single most important step you can take in the entire planning process. It serves as a foundation for all major decisions that you, your Council, and your management team will make. A mission statement differs from a vision statement in that it is more comprehensive, encompassing the following major elements:

- The purpose of your organization (the reason you exist)
- The nature of your business
- The concept of your organization (what is unique and distinctive)
- The people you serve
- The principles and values under which you intend to operate

The principal application of the mission statement is as an internal guide for all major decision makers within your organization, so that any plans that are developed can be tested for compatibility with your organization's mission.

#### Guidelines:

1. Select a discussion leader, timekeeper, recorder, and reporter.
2. At your table, review the example mission statements below to create a shared sense of what your end product might look like.
3. Discuss/brainstorm the "ingredients" you would like to see present in the ideal version of USAKOS's mission statement. Recorder: make sure to put these up on the flip chart for everyone to see.
4. As a group, create on your flipchart a "messy" and inclusive first-draft mission statement. Discuss and refine it.
5. Finalize your mission statement by printing a neat version on a single flipchart page.
6. Be prepared to report out (5 minutes max.).

## Activity #4b: Task Brief

### Crafting Vision Statements

#### Purpose:

To create a vision statement that offers an inspiring image of what MALTAHÖHE VILLAGE aspires to become

#### A Word About Vision Statements:

A vision statement is a short, compelling statement of how you want to be seen by your customers, employees, owners, community, and other important stakeholders. It should lift up an inspirational image of what you want your town to become in the near and long-term future. Well-stated vision statements should be:

- Brief (preferably under ten words)
- Catchy and easy to remember
- Inspiring and a challenge to future achievement
- Consistent with your core values and mission
- Clearly states the essence of what your town must become
- Allows for flexibility and creativity in execution

The principal purpose of a vision statement is to inspire and motivate those with a vested interest in the town's future.

#### Guidelines:

1. Select a discussion leader, timekeeper, recorder, and reporter.
2. At your table, review the example vision statements below to create a shared sense of what your end product might look like.
3. Discuss/brainstorm the "ingredients" you would like to see present in the ideal version of USAKOS vision statement. Recorder: make sure to put these up on the flip chart for everyone to see.
4. As a group, create on your flipchart a "messy" and inclusive first-draft vision statement. Discuss and refine it (remember the "agreement principle").
5. Finalize your vision statement by printing a neat version on a single flipchart page.
6. Be prepared to report out (three minutes max.).

## Sample Mission and Vision Statements

### ALAN

#### Mission

Our mission is to represent the interest of local authorities and provide effective and efficient services.

#### Vision

ALAN is the leading, vibrant and progressive voice of local governance in Namibia

### ETHEKWINI MUNICIPALITY

#### Vision

**“By 2020, eThekweni municipality will be Africa’s most caring and liveable city.”**

### NALAO

#### VISION

The trendsetting organisation in inspiring and sustaining excellence in local government management and administration

#### MISSION

To be a vibrant community of local government practitioners who provide leadership and support to the municipal profession by creating platforms for learning and exchange, professional development, recognition and advocacy.

#### **Benedictine University**

Motto: “Informing Today – Transforming Tomorrow”

Mission: Benedictine University is dedicated to the education of undergraduate and graduate students from diverse ethnic, racial and religious backgrounds. As an academic community committed to liberal arts and professional education distinguished and guided by our Roman Catholic tradition and Benedictine heritage, we prepare our students for a lifetime as active, informed and responsible citizens and leaders in the world community.

Vision: Benedictine University is a Catholic University in the Benedictine Tradition that Provides a Values-Centered Liberal Arts Education Enriched by Our Excellence in Science.

## **Activity #5: Task Brief**

### **Identifying High-Leverage Strategic Priorities**

#### **Moving From Aspiration to Action**

**Purpose:** To begin to build the future we want for MALTAHÖHE

**Guidelines:**

1. Select a discussion leader, timekeeper, recorder, and reporter.
2. From all the presentations about the future, the mission statements, the vision statements, and your own thoughts and wishes, brainstorm a list of high-leverage strategic priorities for MALTAHÖHE VILLAGE – those with the most potential to quickly advance position as a leader in promoting excellence service delivery and relations with the community and other stakeholders.

[These change ideas can include developing new structures, sources of funding, launching new training, new organizational linkages/networks, new or improved products or services, policies, procedures, practices. etc.]

3. As a group, choose the 3-5 top priorities you believe will have the greatest impact on the positive future of MALTAHÖHE VILLAGE . Write them on a flipchart page and prepare to report out.

## Activity #6: Task Brief

### Action Planning

#### Moving From Planning to Delivery

**Purpose:** To brainstorm short and long term actions steps. What are the steps that MALTAHÖHE VILLAGE COUNCIL needs to take to work towards the future we want for MALTAHÖHE

#### Guidelines:

1. Select a discussion leader, timekeeper, recorder, and reporter.
2. From all the presentations about the future, the mission statements, the vision statements, and your own thoughts and wishes, brainstorm a list of actions steps for MALTAHÖHE VILLAGE – those that can be taken in the short (next 3 months) and those that can be taken over the long term actions steps.
3. As a group, choose the 3-5 top actions you believe will have the greatest impact on the priorities of MALTAHÖHE VILLAGE. Write them on a flipchart page and prepare to report out.

Use the format below

#### Short Term (next 3 months)

What	Who	Help needed from	Due Date

#### Medium Term (next 3 years)

What	Who	Help needed from	Due Date

#### Longer Term (next 5 - 15 years)

What	Who	Help needed from	Due Date