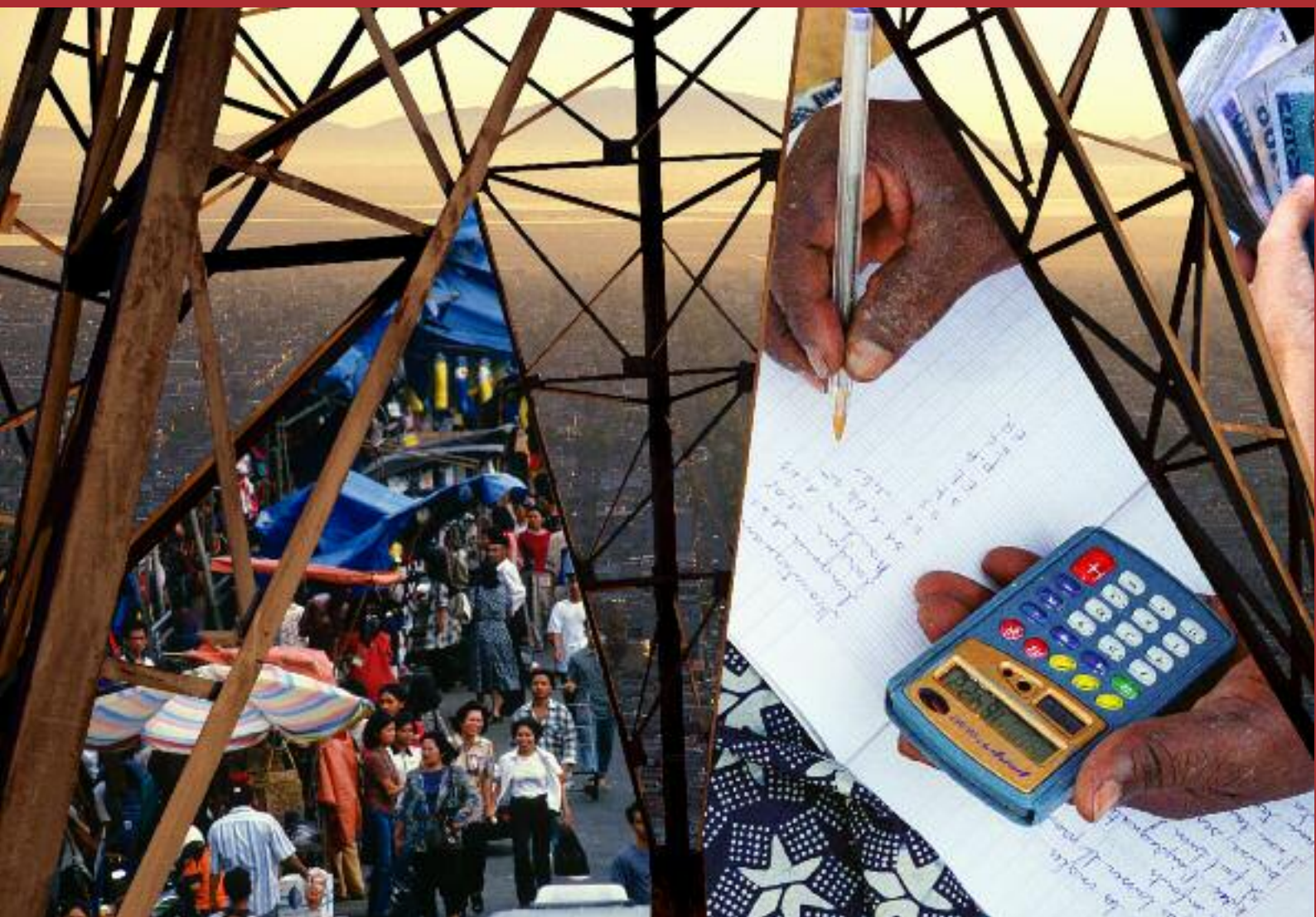


The Local Economic Development Series

# Promoting Local Economic Development through Strategic Planning



Volume 5: Trainer's Guide

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The Local Economic Development Series

# Promoting Local Economic Development through Strategic Planning

## Volume 5: Trainer's Guide

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# Foreword

All around the world, local governments, the private sector and civil society are demanding better ways to achieve local economic development, a cornerstone of sustainable development. This is due to the fact that local governments face increased democratic reforms and greater decentralization at the same time as massive transformations are taking place in the global economy resulting from trade liberalization, privatization, and enhanced telecommunications. The significance of these changes is that citizens and local governments now face formidable challenges, greater opportunity, and growing responsibility to work together to address the economic health of municipalities and the livelihood of their local citizens, many of whom may be under- or unemployed and living in poverty.



The purpose of the training series on Local Economic Development (LED) is to respond to this demand and help local authorities and their partners in the private, public and community sectors address these issues. Achieving economic growth and staying competitive is a serious challenge in itself. Ensuring the benefits of growth spread widely such that development becomes inclusive and impacting on the quality of life of all citizens is even more challenging. The question therefore is not only how we can make economic growth a reality in our communities, but how we can make sure that the growth benefits the marginalised and the poor. This requires firmly placing LED within the broader framework of local sustainable development. This in turn demands a strategic approach to LED that implies careful consideration of the various trade-offs, and making difficult choices. It also demands harnessing and mobilizing the local human, social, financial and natural capital towards the common vision, goals and objectives that the community aspires to achieve. This is possible only when the various stakeholders and actors join forces to make a difference in quality of life in their cities, towns and settlements.

This series on Local Economic Development, developed by UN-HABITAT, in partnership with EcoPlan International, is built around these principles. Whilst there are many tools and best practices in the field of local economic development, mainstreaming these into the local government institutional structure and development agenda remains a key challenge. This series will go a long way in bridging this gap, and enhancing the role of local authorities, elected officials and their officers, in guiding and stimulating local economic development to the benefit of their citizens.

The process of developing the LED Training Series relied on the above-mentioned basic philosophy of knowledge sharing. As is evident in the Acknowledgements, a wide range of local economic development professionals offered their ideas and experience to make this final document rich in content, robust in methods and widely applicable. There are many to thank in the achievement of this training series: from the funding agencies – the Canadian International Development Agency (CIDA) and the Dutch Partnership Programme, to the contributing members of the “virtual round table”, to the dozens of trainers and members of local government, private sector and civil society. Their wisdom and pragmatism permeate the documents in this series. Due acknowledgement must also go to Gulelat Kebede and the Training and Capacity Building Branch (TCBB) team of UN-HABITAT who guided and contributed to the project while bringing it to fruition. Final gratitude is reserved for principal author William Trousdale of EcoPlan International, Inc. (EPI), as well as to the many co-authors who undertook the challenge of articulating this innovative training series.

**Anna Kajumulo Tibaijuka**  
Executive Director, UN-HABITAT



## Preface

Strategic planning for local economic development is important. It is a cornerstone of sustainable development. It involves wise resource use, integrating values and thinking ahead. These are demanding tasks that can be intimidating, and at times, overwhelming. They need not be.

In our work around the world, we have seen local economic development (LED) planning processes unnecessarily get stuck, lose momentum or, worse yet, not get started in the first place. In other cases, we have seen LED processes craving fresh insight, innovative ideas or a new sense of direction. We believe that confronting these basic challenges and taking advantage of these opportunities are well within our reach. It is this belief that inspired the development of this training series on LED.

As part of the development of this LED training series, we convened a Global Round Table of LED professionals. From Africa to Asia, Slovakia to Canada, Washington, DC to Quito, we received a myriad of perspectives on the core issues of LED. What we found was encouraging – the opportunities are great, the success stories extensive and the lessons learned helpful. Our Round Table participants pinpointed key issues in LED, such as leadership; enabling environments; children, youth and gender; job quality; society and environment; governance and democracy; culture; capacity; poverty reduction and globalization – to name but a few. Our Round Table participants agreed that for LED to succeed, local leaders and economic development practitioners need to have access to a range of tools, ideas and experiences to help them strategically address their own complex issues at the local level. Local challenges require local solutions.

We believe that strategic planning for LED is a pragmatic and powerful tool that can help significantly address local issues. By engaging in a strategic planning process for LED, at a minimum, this offers a way to improve the necessary interaction among business, government, labor and the poor. If done well, it provides a way to clarify competitive advantages, identify cooperative opportunities, craft innovative options and generate strategies that better achieve local priorities.

The commonality at the heart of all the comments from our Round Table is the belief that LED, broadly defined, can help communities to realize vibrant, resilient and sustainable local economies capable of improving the quality of life for all.

The LED series will yield a number of key measurable outcomes. It would respond to the existing demand and culminate in production of a tangible output that begins with local adaptations of these manuals, and ends with durable, long-term training and capacity building initiatives which are ultimately captured in the application of what has been learned. The LED Training Series targets the development of concrete action plans as a clear output of the training process. Partnerships and cooperation between public, private and civil society sectors underpin these action plans. The series is important in its contribution to promoting knowledge sharing. The LED Training Series uses case studies and real world examples to encourage the evolution of learning-by-doing. The ultimate success and realization of these outcomes however lies on the creativity of local establishments and actors -local authorities, training institutions, informal sector operators, businesses, and civil society organizations-in adapting the tools to the realities on the ground and using this series as a living document, keeping it enriched through new insights, knowledge and experience.

**So, if you have found yourself asking:**

- How do we get started in LED?*
- What are the steps and tools needed to develop a LED strategy?*
- What are alternative LED programs and projects?*
- What are other communities doing?*

**.....then this LED Manual Series was designed to help you.**

Similar to the other UN-HABITAT training manuals, the LED training manual and companion documents will be accessible to the public in print and electronic formats. It is our vision to have this manual become a “living document” that will continue to be improved over time and we encourage adaptation to local, regional and national contexts. As you use, change and adapt the documents in this training series, we request due acknowledgement and credit.

**Gulelat Kebede**

**LED Project Coordinator and Chief**

Training and Capacity Building Branch, UN-HABITAT

# Acknowledgements

The ideas and information contained in this training manual series for Local Economic Development (LED) come from many sources and experiences. First and foremost, it is essential to acknowledge the support, advice and contributions of Gulelat Kebede, the UN-HABITAT manager of this project. Without his commitment and professionalism, this document would not have been possible and would have been of a lesser quality. It is also important to acknowledge the important contributions of his colleagues at UN-HABITAT, in particular Tomasz Sudra (who also participated in the field-testing), but Rafael Tuts, Erik Vittrup C., Catalina Hinchey Trujillo, and Dinesh Mehta also made important contributions.

In addition, we would like to thank those that contributed to our “Virtual Round Table”, which served as both the peer review process and a forum for discussion. We would especially like to acknowledge the contributions of Wassala Nimaga, CIDA; Gwen Swinburn and Fergus Murphy at the World Bank; Kees Van der Ree and his staff at the International Labour Organization (ILO); Jacqui Boule, UN-Habitat Special Advisor to KPEL Indonesia; Karen Peachey, EcoTrust Canada; Luba Vávrová, Local Government Development Center Bratislava; Dr. Theo Van Der Loop, Regional and Local Development Studies of the Addis Ababa University; Francis Gentoral, Canadian Urban Institute Philippines; Nestor Vega, International Union of Local Authorities; and Peter Boothroyd, School of Community and Regional Planning at the University of British Columbia.

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After the peer review process, we conducted several field tests that greatly improved the content and usability of the manual. We would like to acknowledge the special contributions in Romania of Anna Vasilache, Nicole Rata and Ancuta Vamesu. We would also like to thank the town officials of Horezu, Romania and the 40 participants of the three-day workshop where these methods were applied. Finally, much excellent input was received from the participant trainers who came from Bosnia and Herzegovina, Bulgaria, Moldova and Romania during the training-of-trainers exercise, including Zoran Kulundzija, Miglena Todorova, Kostadinka Todorova, Aliona Niculita, Liviu Ianasi, Elena-Marilena Porbumb, Sabina Chirvai, Olivia Baciú and Claudiu Runceanu.

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The Philippines was the final field testing site of LED Training Series. We partnered with the Canadian Urban Institute to field test in the Philippines. The professionalism and dedication of Francis Gentoral and his staff in Iloilo, Philippines made the work insightful and successful. EPI trainers John Ingram and Glen Hearn brought the materials to life. As always, it was the 40 participants from the Metropolitan Iloilo Development Council and the province of Guimaras that made experience worthwhile and input relevant.

We recognise the work done earlier by EcoPlan International, Inc. manual, co-authored with Karen Peachey, which was part of international project work completed with the Canadian Urban Institute, with the financial assistance of the Canadian International Development Agency. This local economic development training series has evolved from this earlier work. It is also not possible to overstate the importance of research and contributions of Lisa Kon Kam King,



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**William Trousdale**  
**Principal Author**

# Understanding the Icons



**PowerPoint Presentation/Lecture.**  
(The presentations are contained in the CD accompanying this Guide)



**Facilitated Group Discussion**



**Toolkit Activity**  
(from LED Training Series, Volume 3: Toolkit)



**Trainer's Guide Activity**  
(Section 5 of this Guide)



**External Presentation/Guest Speaker**



**Hand Out**  
(Case Study, background paper, etc)



**Trainers' Tip**  
(Trainers' tip, trainers' tip)



**Activity**  
(Training session activity guide)

# Table of Contents

<b>1. Introduction</b>	<b>3</b>
<b>2. How to Use this Guide</b>	<b>4</b>
2.1 Who Should Use this Guide	4
<b>3 Pre-Training Support Tools</b>	<b>5</b>
3.1 Quick LED Capacity-building Needs Assessment Tool	5
3.2 Preparation Checklist	7
3.3 Pre-training Questionnaire	8
3.4 Pre-Training Homework and Reading Lists	9
<b>4. Core Trainer Support Tools</b>	<b>10</b>
4.1 Training Options	10
4.1.1 5-Day Training	13
4.1.2 3-Day Training	27
4.1.3 1-Day Training	37
4.2 Snapshot LED Case Studies	41
4.3 Core Questions by Module	47
4.4 Municipal Development Simulation Tool	49
<b>5. Other Training Activities, Tips and Resources by Module</b>	<b>51</b>
5.1 Module 1: Where are we now?	51
5.2 Module 2 Where so we want to go?	54
5.3 Module 3: How do we get there?	56
5.4 Module 4: Have we arrived?	67
5.5 Other Training Tools	68
<b>6. Post Training Evaluation Tools</b>	<b>69</b>
6.1 Facilitator Evaluation Tool	69
6.2 Long-Term Participant Evaluation Tool	70
<b>Appendices</b>	<b>71</b>
1 Agendas	72
2 Simulation Tools	78
2.1 Fictionali, Case A	75
2.2 Fictionali, Case B	85
2.3 Fictionali, Case C	94
3 Case Studies	101
4 Additional Activity Instructions and Handouts	115
5 LED Glossary of Terms	122



# 1 Introduction

The Trainers Guide is a companion document to the four volume UN-HABITAT/EcoPlan International training series, *Promoting Local Economic Development through Strategic Planning*. This guide has been developed to assist trainers in the design and delivery of training workshops based on the series. The guide will help trainers provide an experience that is responsive to the audience and to the local context. It provides field-tested advice on the efficient management of the training process from workshop organization through to post-training evaluation, participant follow-up and monitoring. The specific aims of the guide are as follows:

- ❑ To make training design and delivery simpler for the four volume UN-HABITAT/EcoPlan International training series, *Promoting Local Economic Development through Strategic Planning*;
- ❑ To support and encourage quality control by helping trainers deliver workshops based on a consistent format and structure;
- ❑ To supplement the original training series with more technical tools; and
- ❑ To facilitate dissemination of the training series by making decentralized training more accessible.

The tools presented in this guide were developed and field tested over time. They are based on direct experience in delivering training workshops on the LED training series around the world and incorporate the professional experience of EPI and UN-HABITAT trainers in other contexts. While the Trainer's Guide is intended as a companion piece to the original training series, it includes valuable tools that could be used in many other related training situations.

## WHAT IS Local Economic Development?

Local economic development (LED) is a **participatory process** in which local citizens from all sectors work together to stimulate local commercial activity, resulting in a resilient and sustainable economy. It is a way to help create decent jobs and improve the quality of life for everyone, including the poor and marginalized.

Local economic development encourages the public, private, academic and civil-society sectors to establish partnerships and collaboratively find local solutions to common economic challenges. The LED process seeks to empower local participants to effectively utilize business enterprise, labour, capital and other local resources to achieve local priorities (e.g., promote quality jobs, reduce poverty, stabilize the local economy, and generate municipal taxes to provide better services).

Creating a LED strategy is an integrated, process-oriented and non-prescriptive endeavor. It fundamentally embraces **Local values** (poverty reduction, basic human needs, local jobs and integration of social and environmental values), utilizes **Economic drivers** (value-added resource use, local skills training, retention of income, regional cooperation) and considers **Development** (the role of structural change, quality of development). Strategies can be generated that coordinate targeted actions that develop from within the local area (maximizing local resources, plugging economic leakages) and from outside (attracting business and technology compatible with local values and needs).

Ultimately, however, LED is about sustainable development in the long-term. It takes time to change local conditions, build capacity, organize participatory processes, and empower stakeholders, especially the marginalized and poor.





## 2 Who Should Use this Guide?

As aforementioned, this guide is designed to be used in conjunction with the four volume training series Promoting Local Economic Development through Strategic Planning also commonly referred to as the LED training series. Users must therefore be familiar with the training series, in particular Volume 2: Manual and Volume 3: Toolkit which outlines training tools that are referenced in this guide.

### 2.1 Who should use this Guide

The Trainers Guide is intended for experienced trainers and facilitators who have read the training series and have a basic understanding and knowledge of the fundamental concepts of strategic planning and local economic development. These include economic development and planning officials with local, regional, state and governments. They also include representatives of business groups and development agencies, community development organizations, and academics with an interest in strategic planning and LED.

Every trainer brings different skills and unique approach and personality to their training sessions. In addition to these skills and approaches, an LED training session will be enhanced by good understanding of the material being delivered as well as other characteristics of a good trainer which include the following:

- Large group and one-on-one facilitation skills;
- Communications skills (listening, speaking, etc.);
- Patience;
- Time-keeping skills; and, of course,
- A sense of humour.

### 2.2 How to use this Guide

The Guide is organized to support a trainer delivering a “typical” five-day, three-day and one-day LED training session. For each length of training session, a detailed and annotated agenda is provided that summarizes the tools to be used, indicates the time for each of the workshop activities and provides direct links to training materials and supplementary activities included in this guide and in *Volume 3: Toolkit* of the LED training series. For each of the workshops, a summary page is also provided that summarizes the workshop’s learning objectives, target audience and material needs. A compact disk (CD) has been attached to this Guide and contains workshop activities, agendas, workshop PowerPoint presentations and appendix materials. ‘Training tips’ based on experiences in the field is an additional element highlighted in related Workshop agendas and spread throughout this Guide. Look out for these valuable tips in all sections.

It is important to clarify that this Guide is just that — a guide. It is not recipe that can be followed directly for the same results each time. Training conditions and training groups change and are inherently dynamic. This can result in different training outcomes. Therefore, a trainer must be flexible and ready to adapt the program as conditions change. Trainers are also encouraged to simplify and/or expand upon the accompanying PowerPoint presentations depending on the capacity and interests of their particular audience.



# 3 Pre-Training Support Tools

Like Step 1- *Getting Started* -in the 10-Steps to Planning Excellence underscored in the LED training series, planning to plan and training preparation are some of the most critical steps in delivering an effective training workshop. Trainers need to:

- ❑ Understand the needs of workshop participants. In so doing they should get answers to questions such as *(What are their capacity-building needs? What are their LED challenges and opportunities? What do they need to prepare for the workshop?);* and,
- ❑ Prepare themselves as a training facilitator. The trainer should ask *(What materials do I need? What should I give the participants in advance to help them prepare?).*

The following sub-sections outline some basic pre-training tools that can be used in the design of a training experience that is responsive to both the audience and the local context.

## 3.1 Quick LED Capacity-building Needs Assessment

A growing number of communities are requesting LED capacity-building initiatives and as trainers, it is important to be able to respond effectively and efficiently to them. This was one of the reasons this guide was created. Requests for training courses can come from local authorities, local organizations, local institutions or from external agencies and organizations such as national-level local government associations. Whoever the request comes from it is important to determine a basic context for the training.

Determining a community's capacity-building needs will help determine training priorities, particularly where time and resources might be limited both on the training end and with those requesting the capacity building. Therefore, for trainers and other workshop organizers, it is important to be able to:

- ❑ Quickly assess whether some of the success conditions for an effective strategic planning for LED process are present in the community requesting the training *(i.e., What is the incentive? What is their interest in the workshop and LED? Will the community and potential workshop participants be receptive to, and ready for, the training? Is there political support? Are there financial and human resources in place?);*
- ❑ Efficiently define the scope and nature of capacity-building needed *(i.e., Is the community "starting from scratch" or is there existing capacity and some resources in place to more effectively put the training into practice?);* and,
- ❑ Rapidly determine the extent of external support required *(i.e., To help ensure that the training is used effectively and/or results in tangible outcomes, will outside financial and/or technical support be required?).*

The following table presents some questions that can be asked in responding to a request for training. Asking them will help determine community capacity and help provide some context to begin carrying out preparations for a training session should it be determined to go forward with one.

**Table 1: Quick LED Capacity-building Needs Assessment Questions**

<p><b>Is there political will or commitment to local economic development? How is this demonstrated?</b></p>	<p>The LED training is a capacity-building exercise in itself. , its effectiveness in generating real and tangible outcomes will be, however, improved if the host community and/or workshop participants are already committed to carrying out local economic development activities.</p>
<p><b>Are there any formal or informal local economic development programs and policies in place or underway? What is their scope and status?</b></p>	<p>The national, state, provincial and regional programs and policies are important to be aware of. But the municipal or local authority level programs and policies are key. Existing local programs are indicators of local LED capacity and can be profiled at the training workshop.</p> <p>Local programs and program staff can also be integrated into the training program through their incorporation with training activities, presentations and field visits.</p> <p>Locally grounded workshop training activities can also be motivational for participants and more meaningful, particularly if their outcomes can be incorporated into the existing program.</p>
<p><b>What kind of local human, financial, and institutional resources are in place in the community?</b></p>	<p>Although it is important to remember, that LED training is often carried out in capacity-poor environments, it is important to:</p> <ul style="list-style-type: none"> <li>• gauge local resources to determine whether workshop outcomes and training could benefit local programs (where they exist); and</li> <li>• determine the scope of the workshop (e.g., is there a budget for outside speakers? Is there a local resource person to organize workshop logistics?)</li> </ul>
<p><b>Who is responsible locally for economic development (public sector and private sector, e.g., Chambers of Commerce)?</b></p>	<p>Conducting a high-level, preliminary stakeholder assessment can help determine potential available resources and can be useful in gauging community capacity (i.e., a community with numerous LED players might have more internal capacity). It is also good to begin identifying potential workshop participants.</p>
<p><b>What has their involvement been in this request for training?</b></p>	<p>Motivated and engaged workshop partners are important, both in assisting with on-the-ground logistics and with workshop preparation.</p>

## 3.2 Preparation Checklist

The checklist below is a modified version of the one found in *Volume 3: Toolkit*. It highlights some essential logistical and pedagogical actions to be addressed before, during and after a training session.

Table 2: Facilitator Workshop Checklist

<p><b>1. Before the Meeting/Workshop</b></p> <ul style="list-style-type: none"> <li><input type="checkbox"/> Establish a contract and get it signed</li> <li><input type="checkbox"/> Interview the client or core group</li> <li><input type="checkbox"/> Identify level of group experience and capacity</li> <li><input type="checkbox"/> Determine time-frame</li> <li><input type="checkbox"/> Clarify goals and learning objectives</li> <li><input type="checkbox"/> Check stakeholder representation and finalize list of attendees</li> <li><input type="checkbox"/> Identify initial issues, "language" &amp; participant attitudes (survey, focus groups, interviews)</li> <li><input type="checkbox"/> Establish workshop/process parameters</li> <li><input type="checkbox"/> Clarify participants' roles/responsibilities</li> <li><input type="checkbox"/> Identify other workshop presenters (if any)</li> <li><input type="checkbox"/> Create an agenda</li> <li><input type="checkbox"/> Check logistics</li> <li><input type="checkbox"/> Delegate workshop tasks</li> <li><input type="checkbox"/> Identify, prepare and send out workshop materials (if required)</li> <li><input type="checkbox"/> Send introduction letter to group</li> <li><input type="checkbox"/> Send out background package</li> </ul>	<p><b>2. At the start of the Meeting/Workshop</b></p> <ul style="list-style-type: none"> <li><input type="checkbox"/> Be first at the location</li> <li><input type="checkbox"/> Introduce yourself &amp; chat one-on-one with people</li> <li><input type="checkbox"/> Introduce members/ice-breaker</li> <li><input type="checkbox"/> Take care of small issues (housekeeping)</li> <li><input type="checkbox"/> Review agenda: meeting goals, learning objectives, assumptions</li> <li><input type="checkbox"/> Review needs/expectations</li> <li><input type="checkbox"/> Vent likes/dislikes (if needed)</li> <li><input type="checkbox"/> Establish conditions to participate</li> <li><input type="checkbox"/> Establish a code of conduct for the workshop</li> <li><input type="checkbox"/> Explain the process</li> <li><input type="checkbox"/> Set time-frames</li> <li><input type="checkbox"/> Reassess the agenda</li> <li><input type="checkbox"/> Establish priorities</li> </ul>
<p><b>4. At the end of the Meeting/Workshop</b></p> <ul style="list-style-type: none"> <li><input type="checkbox"/> Tie up loose ends</li> <li><input type="checkbox"/> Re-visit the "parking lot"</li> <li><input type="checkbox"/> Encourage detailed next steps</li> <li><input type="checkbox"/> Help set up next meeting agenda</li> <li><input type="checkbox"/> Summarise outcomes</li> <li><input type="checkbox"/> Check buy-in to follow-up</li> <li><input type="checkbox"/> Evaluate the meeting</li> <li><input type="checkbox"/> Solicit personal feedback</li> <li><input type="checkbox"/> Say good-bye</li> </ul> <p>Be the last to leave - clean up</p>	<p><b>3. During a Meeting/Workshop</b></p> <ul style="list-style-type: none"> <li><input type="checkbox"/> Make it a safe place for all to participate</li> <li><input type="checkbox"/> Encourage women to participate</li> <li><input type="checkbox"/> Use facilitation tools: summarise, paraphrase, check: are we on track? ensure participation, use humour</li> <li><input type="checkbox"/> Manage disagreements and minimize more dominant participants</li> <li><input type="checkbox"/> Focus on priorities &amp; review goal</li> <li><input type="checkbox"/> Help define tasks</li> <li><input type="checkbox"/> Use breakout or sub-groups</li> <li><input type="checkbox"/> Take breaks</li> <li><input type="checkbox"/> Know when to move on</li> <li><input type="checkbox"/> Watch group dynamics</li> </ul> <p>Put not immediately relevant in a "parking lot" for discussion later</p>

## 3.3 Pre-training Questionnaire

It is important to know the background of the workshop participants, their experience with LED and the context/role/results of LED in the region. To help achieve this, a questionnaire such as the one below should be completed by each participant prior to the workshop – remember, it must be sent out to them with sufficient time to complete it and return it. The answers will not only help determine the knowledge level and experience of the group, but they should be used by the facilitator to structure group discussions on the first day of the workshop. Questionnaires are used for all workshops, whether they are 1-day events or 5-day workshops.

## PRE-WORKSHOP QUESTIONNAIRE

1. In your country, what does local economic development look like?
2. Do local governments play an active role in local economic development?

If yes, what projects, plans or policies are in place? Who initiated the projects and who is leading the effort now? Are NGOs (micro credit, micro enterprise etc), the private sector (chamber of commerce, business development areas etc) and/or local citizens are involved? Are these groups working together in partnership? Have there been any particular successes and/or difficulties?

If no, which level of government and/or institution(s) is responsible for local economic development? What have been the outcomes of their work?

3. What type of strategic planning do local governments undertake in your country? Is local economic development part of this process?
4. Is LED in your country proactive (do your local areas have plans and policies in place to guide LED?) or reactive (do your local areas react to government policy, funding programs, or react to private sector initiatives?)
5. Are you aware of any national / regional / local training tools which have been used to support LED processes, and if so what are they and how successful have they been?
6. Do Local Economic Development policies in your country have specific “pro-poor” poverty reduction elements? If so, please describe these.
7. In your view, what would be the key LED capacity-building needs in your country? What do you think would be the best approach to build this capacity?

### 3.4 Pre-Training Homework and Reading Lists

All attendees should be briefed on their participation in the workshop prior to the event. While extensive reading lists and pre-workshop homework are not required, the following section highlights some pre-event materials and “homework” that could be considered.

#### Required Reading:

- Volume 1, Quick Guide*: The concise, easy-to-read, 23-page guide provides a snapshot of the Local Economic Development series. It can be e-mailed to participants and is available in a number of languages, including English, Arabic, Vietnamese, Spanish, French and Portuguese.

#### Optional Reading:

- The Manual – Volume 3* of the LED series includes a comprehensive reference section and a listing of LED web site links. Both can be sent to participants in advance of the workshop. Access to the materials and even internet access will vary widely from location to location.



## Optional Homework:

- ❑ **Local Case Study:** For practitioners and professionals in the field, a short case study on an LED project, process or policy from their home community can be prepared in advance and presented at the workshop. If the facilitator has local knowledge, or if the pre-workshop questionnaire provides the information, the simple one- or two-page case study should be organized around Manual's 10-Steps to Planning Excellence and highlight one or two particular steps in the planning process (e.g., public engagement and stakeholders, monitoring and evaluation, etc.). If the project is an entire LED strategy, the case study should summarize the project and be organized around the 10-Steps as much as possible. For a local project example, the facilitator should determine whether a field trip during the workshop is possible.
- ❑ **LED Action Idea:** As a final workshop activity, participants are often asked to develop a rough concept plan initiating a LED process, or for a specific LED action or project. Such a plan or project should be reasonably implemented in their home communities over an 18- to 24-month period following the training workshop. This task is particularly common in workshops sponsored by international development agencies (e.g., UN-HABITAT) and can help generate more action-oriented workshop outcomes. Participants can be told in advance about the action idea planning and come prepared with an idea.











Participants generally do not have too much time to prepare for workshop, so limit required reading and make optional reading specific (e.g., include the local case study if one is being developed).



# 4. Core Trainer Support Tools

This section provides a series of core trainer support tools. It is built around three training options that range from a comprehensive five-day training session or workshop to a short, introductory one-day workshop. For each option, links to supporting tools in this guide are provided, as are references to supporting materials in the *Toolkit- Volume 3* of LED training series.

For each of the workshops, a summary page is provided that summarizes the workshop's learning objectives, target audience, time and material needs and activities to be used. An annotated agenda is then provided for each of the workshops. Five icons are used to indicate what materials the facilitator will need for each agenda item and what activities will be undertaken. In addition, the time for each workshop activity is indicated and summary guidelines on presenting and facilitating the particular section are also included.

Activity	Icon
PowerPoint Presentation/Lecture. (The presentations are contained in the CD accompanying this Guide)	
Facilitated Group Discussion	
Toolkit Activity (from LED Training Series, Volume 3: Toolkit)	
Trainer's Guide Activity (Section 5 of this Guide)	
External Presentation/Guest Speaker	
Hand Out (Case Study, background paper, etc)	
Trainers' Tip (Trainers' tip, trainers' tip)	
Activity (Training session activity guide)	

## 4.1 Training Options

The training options presented in the following subsections provide a general agenda for a five-day, three-day and one-day, and workshops. One-day events tend to be more policy-oriented workshops that are targeted towards national and local government officials and private sector representatives who are typically unable to attend longer sessions. They do not go through the strategic planning

process in detail and tend to include substantial discussion of locally/regionally/nationally relevant LED issues and actions. As such, they require substantial advance preparation.

Longer three- and five-day workshops tend to be convened for planners, LED practitioners, trainers and staff involved in LED implementation. While the agendas for the longer workshops will likely not require the same changes and advance preparation as a high-level, one day event, modification will still be required depending on the target audience, the expected outcome and the desired thematic focus. Target audience can be for example., trainers, municipal staff, senior government staff, private sector stakeholder groups, etc., The expected outcome is for example pegged on whether the session is a training workshop or a strategy development workshop. Further, the organizing agency and/or participants may wish to discuss LED in the context of thematic issues, such as the informal sector, youth unemployment, infrastructure, public private partnerships, etc.

Given the changes that may be requested by workshop organizers and sponsors, the three agendas provided in this Guide are provided only as starting points. The agendas are structured to include learning objectives, themes, questions or issues to be covered during the workshop, and include cross-referenced activities commonly used from the *Toolkit - Volume 3* of the LED series for easy reference. Whether it is a one-day or a five-day program and/or the thematic focus of the workshop, all LED training courses typically cover the following components to varying degrees of comprehensiveness:

1. An introduction to the concepts of strategic planning and LED;
2. An overview of key LED core concepts, including:
  - ✓ Developing a Business Enabling Environment
  - ✓ Competition and Cooperation
  - ✓ The Total Economy
  - ✓ Capital (the different kinds of capital, plugging leaks in a local economy, etc.)
  - ✓ Action ideas
3. An overview of seven key points in LED
4. Snapshot case studies of successful strategic planning for LED and LED Action Ideas
5. A review of the strategic planning process, its four overarching questions (*Where are we now? Where do we want to go? How do we get there? Have we arrived?*) and the *10 Steps to Planning Excellence*.

Here are some general points to remember for all workshops:

- ❑ **Group Size:** Most LED training and capacity-building workshops have between 10 and 30 participants, although some workshop can have over 40 participants. From a trainer's perspective, a group of between 15 and 25 is ideal. This is more manageable for one trainer, but is big enough to permit the trainer to break the larger group into three or four smaller groups for break-out sessions. It is also small enough to permit one-to-one work where required and to allow participants to get to meet and get to know other participants over the course of the training session.
- ❑ **Interactivity:** It is important to note, that the most successful training programs are the most interactive. Getting participants to work together on break-out activities is energizing for the whole group and allows participants to put certain aspects of the Manual's approach into action. It important to schedule adequate time for break-out work, particularly as participants often want to spend more than the allotted time on the activities. Be flexible and make up the time where possible. Do not be afraid to cut certain activities if others go longer than planned.
- ❑ **Workshop introductions:** It is important to provide adequate time for introductions

at the beginning of workshops. Often these introductions can be formal as they are attended by local politicians and other dignitaries, many of whom will make opening remarks of varying lengths. Remember, these workshops are valuable capacity-building initiatives and many communities or local government agencies are excited to be hosting them. Before printing the final agenda, it is important to determine who will be attending the workshop opening and who will speak. Be prepared and flexible to accommodate any time overruns during the more formal opening sessions. Participant introductions tend to be more informal and Section 5.1 of this Guide provides different tools for making participant introductions more interesting and interactive.

- ❑ **Workshop Presentations:** Longer training sessions can involve presentations from local or guest LED practitioners and professionals. A presentation from the host community is also common and can often be used as a foundation or context for break-out activities to give them more of a real-world feel. Guest presentations also provide an opportunity for inter-regional learning and can create opportunities for future collaboration and/or support with and between workshop participants. The longer training syllabuses presented in the following sub-sections all include local or host community presentations. It is important to try and limit the number of guest presentations to maintain adequate training time and workshop focus. Clear directions and time lines should be provided to workshop presenters and, ideally, the presentations should be reviewed by the trainer before hand to ensure relevance to the training and to make sure that they are not too long.
- ❑ **Workshop PowerPoint Presentations:** Trainers are encouraged to simplify, expand, or adapt the accompanying PowerPoint presentations depending upon both the capacity and interests of their particular audience and the trainer's own experiences and knowledge. Trainers should also add case study examples they are more familiar with and/or remove and limit examples they are not familiar with. As with the workshop agendas, the PowerPoint presentations are intended to be used as generic starting points to be modified as necessary to fit the trainers' own style and perspective on the material being presented.



**Break-out** sessions or small working groups need to be well defined and managed. Always explain the process and objectives of the break-out activity in plenary (full workshop) very clearly and in detail before the break-out groups. Giving an example of what is expected and discussing it is very helpful. It is often wise to choose a 'group' leader to facilitate the break-out groups.

**Maintaining** the workshop schedule is a difficult and ongoing task. During break-out sessions, be sure to remind groups often how much time they have left and where they should be in activity (e.g., 30 minutes left, 15, 10, 3, etc.).

Use **locally-available** supplies wherever possible for easy replication.

### 4.1.1 Five-Day Training Workshop

Five-day training sessions are typically targeted toward the of training local or regional government officials from planning and economic development departments, representatives of government agencies and associations (e.g., Union of Local Government Authorities) and business group representatives (e.g., Chamber of Commerce). The 5-day training session is quite interactive and includes a significant number of break-out sessions and intensive group work. By the end of the workshop, participants will have gone through a number of coordinated activities that will result in the creation of a basic LED strategy framework for, the local government or for the community selected as the model chosen for the workshop (e.g., the host community) or a simulation tool developed for the workshop.

## Workshop Objectives:

- ❑ To give participants a clear understanding of the need for, and value of, a more strategic and systematic approach to local economic development planning
- ❑ To give participants a clear understanding of the “ten-step model for strategic planning” (adapted, “Promoting Local Economic Development through Strategic Planning”)
- ❑ To develop participants’ skills so that they are able to implement the processes and practices in their own work and enhance their organization’s planning capacity
- ❑ To review potential local economy assessment tools and relevant LED actions (i.e., actual programs, projects and policies) that have been used elsewhere

**Audience:** Practitioners, planners, local implementing agency representatives, private sector

**Time:** 33 hours over five-days NOT including breaks, extended introductions, field trips, etc.

**Training Materials:** Computer, LCD projector, screen, 4 flip charts with paper, markers, tape (for posting flip chart sheets), coloured note cards, voting stickers

## Toolkit Activities:

*(Note: For details of these tools please see Toolkit - Volume 3 of the LED series)*

- ❑ Tool 2a: Stakeholder Identification
- ❑ Tool 2b: Stakeholder Analysis Matrix
- ❑ Tool 3d: Complementary & Comparative Analysis
- ❑ Tool 3i: SWOT Analysis
- ❑ Tool 4a: Developing a Vision
- ❑ Toolk 5a: Working with Issues and Objectives
- ❑ Tool 5a-1: Issues Brainstorming
- ❑ Tool 5a-2: Cause-Effect-Outcome (CEO) Tool
- ❑ Tool 5b: Simple Strategic Prioritization
- ❑ Tool 6a: Creating Strategy Options
- ❑ Tool 7a: Action Planning Frameworks
- ❑ Tool 9a: Evaluation ‘How to’

## Trainer’s Guide Materials:





- ❑ Workshop PowerPoint , including Actions PowerPoint slide sets (found in the CD) Simulation Tool (see appendix 2) and related tools (Stakeholder and Community Engagement Plan, SWOT Activity, Visioning Activities, What’s the Issue?, Crossing the River: Options Analysis Tool)



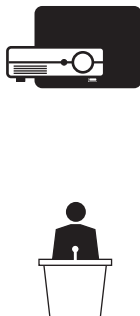




## AGENDA: DAY 1 – Five Day Workshop

DAY ONE: Context & Background	
08:30 hrs	Registration
09:00 hrs	Official Introductions, Ice Breaker, 'Housekeeping' and Participant Introductions
09:45 hrs	Detailed Agenda, Expectations and Workshop Objectives
10:30 hrs	Break
11:00 hrs	The local and national contexts – overview presentations (local presenter - optional)
12:00 hrs	Lunch
13:00 hrs	Overview of LED, Strategic Planning and the Training Series
13:30 hrs	Examples of Strategic Planning for LED: The case of Horezu, Romania
14:30 hrs	Break
15:00 hrs	Module 1: Where are we now? STEP 1: Getting Started STEP 2: Stakeholders
15:30 hrs	Activities <ul style="list-style-type: none"> <li>– Introduction of Simulation Tool</li> <li>– Toolkit activity 2a: Stakeholder Identification</li> <li>– Toolkit activity 2b: Stakeholder Analysis Matrix</li> </ul>
16:30 hrs	Wrap-Up and Review

### Day One: Agenda Notes

Item	Time	Tools	Notes
Introductions	30 min.		Workshops require longer formal introductions for workshop organizers, funders and the like and shorter, more informal participant introductions. Formal introductions are covered in Section 4.1.  For participant introductions, facilitators should consider using different introduction techniques, including pairing participants to interview and introduce each other to the larger group. The introductions should let the facilitator know where the participants are from, their experience with LED and some kind of personal detail (favourite food, etc.) that the facilitator can use to help remember participants and can draw on later in the workshop. Remember, introductions can set the tone for the workshop, so it is important to keep them as interesting, engaging and light as possible. Also, it is important to remember that introductions can be time consuming. Active facilitation and time monitoring is required. On average, estimate 2 minutes per participant. Write down on the board or poster paper what you want them to cover: name, where from (if applicable), position, interest and expectations with workshop, something special (e.g., favourite food). If they have time to write it down, participants will have time to think before responding which saves time overall.
Ice Breaker	15 min.		Many facilitators use an "Ice Breaker" activity to help set the tone for the workshop. Different ice breakers that can be used are outlined in Section 5.1 of this Guide. As a rule, ice breakers should be relatively high paced, short and fun with an LED/strategic planning learning focus or lesson.
Housekeeping	5 min.		In addition to identifying the location of bathrooms, break-out rooms and other workshop facilities, facilitators should get participants to quickly identify a set workshop "rules" regarding cell phone use, breaks, start times and the like. These are recorded on a flip chart and posted in the main workshop room. If time permits have participants make the rules themselves.
Detailed Agenda & Objectives	45 min.		Provide an overview of the workshop agenda, review workshop objectives and clarify them with participants. Use information collected during the introductions to begin personalizing the workshop and to help remember participants' names.
BREAK			




## Day One: Agenda Notes (continued)

Item	Time	Tools	Notes
LED - Local and National Context Presentation OPTIONAL	1 hr.		<p>This is an optional agenda item that will need to be organized ahead of time. It would not occur, or would be replaced by other activities, if:</p> <ul style="list-style-type: none"> <li><input type="checkbox"/> There is no desire on the part of local workshop organizers and/or sponsors for it;</li> <li><input type="checkbox"/> Local workshop organizers and/or sponsors are unable to prepare a relevant lecture (i.e., lack of data, lack of time, etc.);</li> <li><input type="checkbox"/> The activity does not fit into the program learning objectives and/or desired workshop output; or</li> <li><input type="checkbox"/> The host community will not be used as the “model” for workshop activities.</li> </ul> <p>Still, a local presentation can be an important “courtesy” item. It is also common for workshop funders to also make a short presentation on their LED activities and approaches (e.g., UN Development Program, International Labour Organization, national agencies, etc.).</p> <p>In cases where the host community will be used as the “model” for workshop activities and/or field visits will be included in the workshop, then a relatively comprehensive overview, or “Situation Assessment,” may be necessary. Guidelines for the types of information to be collected are found in I, Module 1, Step 3 of the <i>Manual – Volume 2</i> of the LED series. It is important to work with the presenter and to assist them in developing the presentation to make sure it meets training needs. If possible, previewing the presentation before hand is important. Presentations should be organized around <i>Manual’s</i> 10-Steps to Planning Excellence and highlight the relevant steps completed to date (e.g., public engagement and stakeholders, planning to plan, etc.). For a local project example, the facilitator should determine whether a field trip during the workshop is possible.</p>
LUNCH	1 hr.		A guest speaker who can provide insight on local and regional LED activities should be considered for lunch(es). To ensure that participants get a break, the presentations should be kept to 20- to 25-minutes. It is common for local politicians and high ranking civil servants to make lunchtime speeches and presentations.
Overview of LED and Strategic Planning	1 hr.		<p>Walk participants through the first section of the workshop PowerPoint covering the key concepts of LED and strategic planning. Some of the key concepts to be covered include:</p> <ul style="list-style-type: none"> <li><input type="checkbox"/> Economic leakage</li> <li><input type="checkbox"/> Value chains</li> <li><input type="checkbox"/> Business enabling environments</li> <li><input type="checkbox"/> Community values and objectives in LED</li> <li><input type="checkbox"/> What is “local”</li> <li><input type="checkbox"/> Capital types (e.g., human, natural, physical and economic)</li> <li><input type="checkbox"/> Sustainable development and LED</li> <li><input type="checkbox"/> LED actions and spheres of control (defined by politics, agencies, power to make decisions, financial constraints, etc.)</li> <li><input type="checkbox"/> Jobs versus revenue in LED planning (e.g., in Latin America 80% of revenue comes from large corporations which provide only 20% of employment, while small and micro-businesses generate 20% of revenues, but provide 80% of employment)</li> <li><input type="checkbox"/> The “7 key points about LED”</li> </ul>
Horezu Case Study	30 min.		The Horezu case study provides an example of a full-cycle, strategic planning for LED project using the approach outlined in the Manual. Facilitators need to be familiar with the example. The presentation should include time for discussion and questions from the group.
BREAK			
STEP 1 and STEP 2	30 min.		Using the workshop PowerPoint presentation, introduce participants to the first Module, “Where are we now?”, and lead participants through an animated lecture on the first two steps, Getting Started and Stakeholders and Participation.



Sometimes, when fielding questions pertaining to identifying stakeholders long discussions can arise on power dynamics (i.e., Who decides who is a stakeholder and why do they get to choose the stakeholders?) It may be helpful to use the “parking lot” strategy here and set some questions aside for the end of the session. This will allow for the group to focus on the task at hand while being careful not to discourage individuals from participating and sharing their ideas.

## Day One: Agenda Notes (continued)

Item	Time	Tools	Notes
Simulation Tool	30 min.		<p>Introduce the Simulation Tool and review the two overview slides of whichever community is selected for the workshop (i.e., Fictionali, Case Studies A, B or C – see appendix 2). The relatively short case study provides an overview of a hypothetical municipality (Fictionali), its LED challenges and its current initiative to develop a Strategic LED Plan. It is designed for use with Trainer's Guide activities in each of the Modules, and in conjunction with workshop activities from the Toolkit – Volume 3 of the LED series. The tool will be used when workshop activities are not based on the host community, or if it is more appropriate to use a 'generic' example of a community for the workshop activities.</p> <p>Hand out copies of the Simulation Tool to participants. Give participants 25-minutes to read it. After 25-minutes, ask the participants if they have any questions about the Simulation Tool. Make sure they bring the Simulation Tool hand out with them to future sessions.</p>
<b>Activity 2a:</b> Stakeholder Identification  <b>Activity 2b:</b> Stakeholder Analysis Matrix	30 min.		<p>Both activities can be done with the Simulation Tool or with the host community case study where the host community is being used as a model/foundation for workshop activities.</p> <p>Activity 2a: Stakeholder Identification can be done with participants working independently for five minutes, answering the questions using their community as an example or using the Simulation Tool. Record their responses on flip chart, black board or white board. The total activity should take 15-minutes.</p> <p>Activity 2b: Stakeholder Analysis Matrix should be done as a whole group activity with the facilitator leading it. Record participant responses on a flip chart at the head of the room. Flip chart headers similar to those in activity can be prepared before hand by the facilitator. The whole activity should take 15-minutes.</p>
Wrap Up and Review	10 min.		<p>Using the PowerPoint presentation, wrap-up and review day's work highlighting the 7 Principles of LED, the 10-step strategic planning process, the importance of the "planning to plan" stage and stakeholder identification and involvement. Direct participants to the relevant sections of the Manual for the next day's session.</p>



**When asking participants to define "local", use the question, "What is your community?" Do not provide any more details. Get participants to write their answers on a piece of paper. Get participants to read out their answers. Depending upon the answers, it might become evident that people define the word "community" differently. Some may identify it geographically (e.g., by neighbourhood, by city, by country), while others may define it more socially (e.g., by their nationality, tribe, profession, etc.). The short activity can be used to underscore the importance of defining what the word "local" means in LED.**

## AGENDA: DAY 2 – Five Day Workshop








### DAY TWO: Modules 1 & 2

- 09:00 hrs Module 1: Where are we now?  
STEP 3: Situation Assessment
- Toolkit activity 3d: Complementary & Comparative Analysis
  - Toolkit activity 3i: SWOT Analysis
  - SWOT activity and discussion
- 10:30 hrs **Break**
- 11:00 hrs Group discussion and presentations
- 11:30 hrs Module 2: Where do we want to go?  
STEP 4: Visioning
- 12:00 hrs **Lunch**
- 13:00 hrs Activity
- Toolkit activity 4a: Developing a Vision
- 14:00 hrs STEP 5: Setting Objectives

## AGENDA: DAY 2 – Five Day Workshop (Continued)

14:30 hrs	Break
15:00 hrs	Setting Objectives Activity
	<ul style="list-style-type: none"> <li>– Toolkit activity 5a: Working with Issues &amp; Objectives</li> <li>– Toolkit activity 5a-2: Cause-Effects-Outcome</li> </ul>
16:30 hrs	Wrap-Up and Review

### Day Two Agenda Notes









Item	Time	Tools	Notes
STEP 3	10 min.		<p>Using the workshop PowerPoint presentation, the facilitator will continue working through the first Module, “Where are we now?” and lead participants through an animated lecture on this phase’s last step, Situation Assessment.</p> <p>The facilitator should explain that there are host of tools for analysis depending on the degree of complexity, the time, the human resources and the budget. While there are examples in the Toolkit, other methods from the World Bank, the ILO and other agencies also exist.<sup>1</sup></p>
Tool 3d: Complementary & Comparative Analysis	40 min.	  	<p>Using either the Simulation Tool (see Appendix 2) or the host community case study, break participants into small work groups and have them work through Tool 3d: Complementary and Comparative Analysis.</p> <p>It should take 5-minutes to introduce and set-up the activity, 25-minutes to work through the questions and 10-minutes to report back. Given time issues, reporting back should be done in plenary with the entire group.</p> <p>Participants can either use their Toolkit , if they have it, or the facilitator will need to prepare photocopies of the activity beforehand.</p>
Tool 3i: SWOT Analysis and Guide SWOT Tools	40 min.	 	<p>Introduce the concept of SWOT analysis being sure to highlight the differences between the external (threats, opportunities) and internal (strengths, weaknesses). Go back to the overview slide and get participants to classify the issues identified as strengths, weaknesses, opportunities or threats.</p> <p>Next, walk participants through Tool 3i, SWOT Analysis. Copies of the worksheet can be made in advance if the participants do not have the Toolkit . Based on the questions asked in the activity, the facilitator will ask the group for samples for each of the question areas (strengths, weaknesses, opportunities threats). This portion of the activity should take no more than 10-minutes.</p> <p>Keeping the activity’s guiding questions in mind, direct participants back to the Simulation Tool and break participants into break-out work teams. For each of the Simulation Tools, a list of strengths, weaknesses, opportunities and threats has been identified. While you will have a master list, hand out the mixed SWOT list from the Appendix and ask participants to identify which is which. Participants should be given 20-minutes for this portion. Depending upon time, this activity can be done in plenary.</p>
<b>BREAK</b>			
Tool 3i: SWOT Analysis continued Group Discussion	30 min.		<p>Following the morning break, lead an open discussion on the results of Tool 3i: SWOT Analysis. It is likely that participants will not have identical SWOT analyses. Be sure to discuss why and how threats can be perceived as opportunities, weaknesses as strengths, etc.</p> <p>Following this discussion, bring participants back to Tool 3i: SWOT Analysis worksheet and get participants to identify the “top three” strengths to build on, weaknesses to minimize, opportunities to exploit and threats to address. Record their answers on a flip chart.</p>



**When getting** participants to report back on their break-out sessions, try using different approaches and tools. For example, you can move the entire group to each of the break-out “stations” or areas for each break-out group’s presentation, or you can report back in plenary. In plenary, encourage participants to post their notes and use other visual tools (PowerPoint presentations, though sometimes successful, are discouraged because of the extra time they take). Often it is important for the trainer to kick-off questioning and/or encourage questions from the other participants.

<sup>1</sup>For a good overview of tools to analyze and profile a local economy refer to a resource guide, “Understanding Your Local Economy” published by Cities Alliance, 2007.

## Day Two: Agenda Notes (continued)







Item	Time	Tools	Notes
STEP 4	30 min.		Using the PowerPoint, take participants through Step 4, Visioning.
<b>LUNCH</b>			
<b>Tool 4a:</b> Developing a Vision  <b>or</b> <b>Guide Tools</b>	1 hr.	 	Tool 4a: Developing a Vision can be done as a break-out session or as a group activity depending on group dynamics and time. Other visioning activities that can be used are found in Section 5.2 of this guide.
STEP 5	30 min.		Using the PowerPoint, take participants through Step 5, Issues and Objectives. Step 5, in particular, is a critical stage in the strategic planning process and facilitators should take time with it.
<b>BREAK</b>			
<b>Tool 5a:</b> Working with Issues & Objectives  <b>Tool 5a-1:</b> Focus Questions  <b>Tool 5a-2:</b> The CEO Tool (Cause – Effects – Outcome)	1.5 hrs.	  	<p>Lead participants through three inter-connected activities using both the Toolkit and the Guide's Simulation Tool. The activities will build on and reinforce the examples provided in the PowerPoint presentation.</p> <p>Using the Simulation Tool (or the host community, if it is being used as the base case), lead participants through Tool 5a: Working with Issues and Objectives as a group activity. Approximately 15-minutes should be used for the brainstorming and in organizing the issues. Following this brainstorming activity, the facilitator will work with participants to roughly arrange and organize the LED issues along thematic lines (e.g. Administration and Governance, Infrastructure, etc.). This should take an additional 15-minutes. Use the questions from Tool 5a-1: Focus Questions to help guide the discussion.</p> <p>Next, break the participants into their break-out work groups. Each group will be given five sticky dots of the same colour and asked to stick them next to/beside the issues that they believe are the most important. The sticky dots can be placed in any combination (i.e., spread out between issues or all on one. This basic prioritization exercise should take no more than 10-minutes. Lead a short discussion on the outcome asking the group if they agree with the prioritization and why they stuck the dots where they did. This discussion will lead to the LED objectives being defined and refined.</p> <p>Each group will then be assigned one of the issues and asked to go through Tool 5a-2, Cause-Effects-Outcome (CEO) as a group. Each group will be given one or two sheets of flip-chart paper for the activity. The facilitator should take one of the non-assigned issues and lead participants through a group CEO analysis. The example should take no more than 10-minutes. Participants will then have 30-minutes to go through the activity themselves using an issue assigned to them by you.</p> <p>Use the remaining 10-minutes to have groups present their CEO results and for the facilitator to summarize key points.</p>
<b>Wrap Up and Review</b>	10 min.		Review day's work highlighting the key points of Steps 3, 4 and 5. Direct participants to the relevant sections of the Quick Guide –Volume 1 of the LED series -for the next day's session.

## AGENDA: DAY 3 – Five Day Workshop

### DAY THREE: Modules 2 & 3











09:00 hrs	Setting Objectives continued Activity
	– Toolkit activity 5a-3: Issues to Objectives Matrix
	– SMART Performance Indicators
10:30 hrs	<b>Break</b>
11:00 hrs	Activity
	– Toolkit activity 5b: Simple Strategic Prioritization Tool
12:00 hrs	<b>Lunch</b>
13:30 hrs	Module Three: How Do We Get There? STEP 6: Identifying and Evaluating Alternatives
14:00 hrs	Activity
	– Toolkit activity 6a: Creating Strategy Options
	– Toolkit activity 6b: Organizing Strategy Options
14:30 hrs	<b>Break</b>
15:00 hrs	Activity
	– Guide Tools: Introduction to Technical Analysis
	– Guide Tools: “What’s the Issue”
16:30 hrs	Wrap Up and Review

## Day Three: Agenda Notes

Item	Time	Tools	Notes
Tool 5a-3: Issues to Objectives Matrix	1.5 hrs.	  	<p>Lead participants through a review of the activities and output of the previous day. Using the PowerPoint presentation, review the example Issues to Objectives Matrix and discuss performance measures. This should take about 20-minutes.</p> <p>Next, break the participants into their work groups. Using the objective with which they carried out their Tool 5a-2, CEO Analysis, get participants to complete an Issues to Objectives Matrix on a sheet of flip-chart paper. Participants should be given 40-minutes to complete their matrix.</p> <p>Invite a spokesperson from each group to post and review their matrices. After each group has presented, lead a group discussion to highlight the possible performance measures and to discuss SMART measures. The presentation and discussion should take 20-minutes.</p> <p>Now, get the participants back into their break-out work groups. Give each group another five sticky dots of the same colour and ask them to stick them next to/beside the LED objective that they believe could generate the greatest positive change if actions were taken on it. This basic prioritization exercise should take no more than 10-minutes. Lead a short discussion on the outcome.</p>
<b>BREAK</b>			
Tool 5b: Simple Strategic Prioritization	1 hr.	  	<p>Prepare flip-chart sheets in advance with the top three or four prioritized objectives that were identified by participants the day before when participants went through Tool 5a, 5a-1, 5a-2 Working with Issues and Objectives. Ask the participants to consider the potential economic development situation in relation to each of the prioritized objectives. Participants will be asked how, in the context of the project, economic development could positively affect the particular objective. If time permits, begin the activity by going through an example with them. Give participants at least 35-minutes to complete their own.</p> <p>After completing this task, post the flip charts and review them as a large group. After reviewing them, give participants two sticky dots and ask them to place them next to the objective(s) they feel could generate the greatest positive change if actions were taken on it. This should take 5-minutes.</p> <p>Following the ranking, lead a brief, <b>10-minute</b> group discussion on the results.</p>
<b>LUNCH</b>			



## Day Three Agenda Notes

Item	Time	Tools	Notes
STEP 6	30 min.		<p>Using the PowerPoint, take participants through Step 6, Strategy Development. Direct participants to page 129 in the <i>Manual – Volume 2</i> and review the Action Ideas. To illustrate additional potential actions, the facilitator can also use two 'Actions' slide sets (Lima, Peru and Dar es Salaam, Tanzania) included in the CD. Facilitators can also use locally or regionally relevant examples they may be aware of.</p> <p>Facilitators may find that participants will want to spend additional time discussing actions, as they are often perceived as the most important outcome of an LED process. It may be important to re-emphasize the need to use a good process to determine the types of actions to be undertaken when discussing Step 6.</p>
<p>Tool 6a: Creating Strategy Options</p> <p>Tool 6b: Organizing Strategy Options</p>	1 hr.	  	<p>Before beginning the activity, review the differences between <i>objectives</i> and <i>actions</i> and get participants to provide examples of each. Next, for Tool 6a: Creating Strategy Options, ask each participant to take 15-minutes to write down two or three LED actions he or she believes will have the biggest impact on the prioritized objectives they identified in the previous activity. Go around the room and ask participants to share their LED action ideas, writing them on a flip chart or blackboard as they are read out. After the list has been compiled, ask participants to add any additional action ideas they have thought of.</p> <p>In a large group, review the LED actions and cross off any that are repetitive. Once the list has been developed, ask participants how they would organize, group and prioritize the actions. Use the questions from Tool 6b: Organizing Strategy Options to structure your questions. The second part of the activity should take 30-minutes.</p>
BREAK			
<p>Guide Tools Intro to Technical Analysis</p> <p>Crossing the River – Intro to Option Analysis</p>	1 hr. 15 min.	    	<p>Begin the activity with the PowerPoint slides that illustrate the “Buying a Plane Ticket” Technical Analysis. Here it should be noted that the activity or decision can be changed to something that may have more relevance for the participant group (e.g., buying a car). For the “Buying a Plane Ticket” example, ask participants what they look for in a buying a plane ticket (e.g., cost, safety record of airline, schedule, etc.). These will be the objectives against which the four options (or actions) will be evaluated. The activity should take 30-minutes.</p> <p>The remaining 45-minutes lead participants through the presentation slides called “What’s the Issue?” In it, participants brainstorm different ways of crossing the Yawning River that separates the two communities outlined in the Simulation Tool. Capture their suggestions on a flip chart. See instructions in Section 5.3. This should take 15-minutes.</p> <p>After the brainstorming, lead a 15-minute group discussion about distinguishing between strategic objectives (i.e., increasing economic linkages between the two communities) and strategic actions or options (e.g., building a bridge).</p> <p>In the remaining 15-minutes, introduce participants to the Crossing the River Technical Option activity that will be taking place the next day. Hand out the activity sheets and review its key concepts:</p> <ul style="list-style-type: none"> <li><input type="checkbox"/> Technical analysis helps keep people focused on meeting the objectives when choosing between actions/strategy options.</li> <li><input type="checkbox"/> Values and facts are both incorporated but kept separate, so “perceptions” are eliminated.</li> <li><input type="checkbox"/> It is a transparent tool that can be used to help frame discussions, to illustrate how decisions can be made more strategically and for communication.</li> <li><input type="checkbox"/> It is a decision support tool. It does <b>NOT</b> make the decisions.</li> </ul>
Wrap Up and Review	10 min.		Using the PowerPoint, review day's work highlighting the key points of Step 6. Direct participants to the relevant sections of the <i>Manual</i> for the next day's session.



Post and leave worksheets on the wall around the room organized by module and planning step. They make a handy review tool and visual reference for illustrating the flow of the strategic planning process. Be sure to also post any of the participants' worksheets.






If a participant wants to discuss something that is not relevant to the specific module, write it down on a card, introduce it, and place it to the side of the room (in the “parking lot”) for discussion later. **ALWAYS** review the “parking lot” at end of the day.

## AGENDA: DAY 4 – Five Day Workshop






### DAY FOUR: Modules 3 & 4

09:00 hrs	STEP 6: Evaluating Alternatives continued Activity – Guide Tools: Crossing the River - Technical Option Analysis
10:30 hrs	<b>Break</b>
11:00 hrs	STEP 7: Action Planning and Strategy Documentation
11:20 hrs	Activity – Toolkit activity 7a: Action Planning Frameworks
12:00 hrs	<b>Lunch</b>
13:00 hrs	Activity – Guide Tools: Action Planning and Clear Communication
13:30 hrs	STEP 8: Organization and Implementation
14:00 hrs	<b>Break</b>
14:30 hrs	Module Four: Have we Arrived? STEP 9: Monitor and Evaluate STEP 10: Adjust and Modify
15:00 hrs	Activity – Toolkit activity 9a: Developing a Monitoring Framework
16:00 hrs	Wrap Up and Review

## Day Four: Agenda Notes

Item	Time	Tools	Notes
Guide Tools Crossing the River - Technical Option Analysis	1.5 hrs.	  	<p>In this activity, participants are introduced to a basic, Microsoft Excel-based Option Analysis model to assess different methods of improving transportation links across the Yawning River in Fictionali (see CD for this excel based model). The 5-step activity allows participants to examine the impacts, costs and benefits of several waterway crossing options and compares how each would perform against the overall LED objectives and project specific objectives.</p> <p>There are five parts to the activity. Each one corresponds to one of the pages on the Excel model. While the model may seem technical at first glance, it is relatively straightforward and the concepts behind it are simple. The key concepts are:</p> <ul style="list-style-type: none"> <li><input type="checkbox"/> Technical analysis helps keep people focused on meeting the objectives when choosing between actions/strategy options.</li> <li><input type="checkbox"/> Values and facts are both incorporated but kept separate, so “perceptions” are minimized.</li> <li><input type="checkbox"/> It is a transparent tool can be used to help frame discussions, to illustrate how decisions can be made more strategically and for communication.</li> <li><input type="checkbox"/> It is a decision support tool. It does <b>NOT</b> make the decisions.</li> </ul>
<b>BREAK</b>			
STEP 7	20 min.		Using the PowerPoint, take participants through Step 7, <i>Action Planning</i> .
Tool 7a: Action Planning Frameworks	70 min.		Get participants into their break-out groups for this activity. Each group will go through the action planning steps for one of the specific strategy actions evaluated in the previous activity. After 40-minutes, each group will report back. Note the differences (if any) between the groups and identify any gaps.

## Day Four: Agenda Notes (continued)


LUNCH			
Guide Tools Action Planning Activity	45 min.		Lead participants through a relatively short energizer activity that highlights the importance of clear and concise writing when creating and documenting an LED strategy. Instructions for the activity are found in Section 5.3 – Step 7. The activity illustrates how the same instructions can yield different results. Ask participants if they have had any experiences with poorly written or confusing Action Plans or other policy documents and briefly discuss best practices when writing and laying out planning documents.  Next, lead participants through a 25-minute discussion on potential Action Ideas. Direct participants to the, Action Guide - Volume 4 of the LED Series - and review the general types of actions and mechanisms to implement LED strategies, including co-operatives, economic development councils, business improvement agencies, community contracting and procurement, training, demonstration projects, etc. While there will likely be considerable participant interest in Action Ideas, it is important to reiterate the pre-planning process necessary to identify, select and implement them.
STEP 8	15 min.		Using the PowerPoint, the facilitator will take participants through Step 8 of the strategic planning process, <i>Organization and Implementation</i> .
BREAK			
STEP 9 and STEP 10	30 min.		Using the PowerPoint, take participants through Steps 9 and 10, <i>Monitor and Evaluate</i> and <i>Adjust and Modify</i> . The importance of monitoring and evaluation to the overall strategic planning and LED processes needs to be stressed and highlighted, since this step is often ignored or its importance downplayed.
Tool 9a: Evaluation 'How to'	1 hr.		Get participants into their break-out groups for this activity. Each group will be responsible for developing a monitoring and evaluation plan for one of the strategy actions. Give participants about <b>30-minutes</b> for the break-out work. Each group will then report back. Note the differences between the groups (if any) and identify any gaps.
Wrap Up and Review	10 min.		Review day's work highlighting the key points of Steps 7, 8 and 9. Provide an overview of the next day's work, so that participants can have the night to think about potential post-workshop actions they can develop.

## AGENDA: DAY 5 – Five Day Workshop




### DAY FIVE: Review and Action Planning

- 09:00 hrs Review  
STEPS 1 to 10
- 09:30 hrs Action Planning in Practice – What will we do in the next 18 to 24 months?
- 11:00 hrs Action Planning in Practice  
– Group discussion and presentation of plans
- 11:30 hrs Feedback on workshop and evaluation
- 12:00 hrs Final comments and closure

## Day Five: Agenda Notes

Item	Time	Tools	Notes
Review	30 min.		Using the workshop PowerPoint presentation, provide a high level review of 10-Steps to Planning Excellence and the 7 key concepts of LED. The review should tie into the work carried out during the workshop to trace the arc of the planning process. Any areas where the group had difficulties should be highlighted and discussed to ensure learning objectives have been met.

## Day Five: Agenda Notes (continued)

Action Planning in Practice	2 hrs.		<p>A key component of the training sessions is to try and generate and promote strategic planning for LED in new locations and/or to strengthen it where it is already happening. To help achieve this goal and to maintain the momentum of the training session, ask participants to think about what it would take to start a LED strategic planning process in their community or to conceive a small LED project that they could reasonably expect to complete within the next 12 to 18 months. Given the development partners including financial supporters and technical experts often in attendance, this activity also provides an opportunity to carry out some pre-planning and networking. Discuss projects that have come out of past training sessions, including the adaptation of training materials to local contexts, introducing materials into curricula and existing courses, initiating a pilot LED process at a given locality, initiating a national LED program etc.</p> <p>After introducing the activity, break participants into their country, region, city or affiliated groups. Groups have 1-hour to prepare a brief outline of their project potential. Direct participants back to Tool 7A, Action Planning and have them organize their concepts along those lines.</p> <p>With the remaining 30-minutes, get participants to present their concepts to the larger group.</p>
Workshop Evaluations	30 min.		<p>Distribute the standard facilitator/workshop evaluation form included in this guide. Give participants 30-minutes to complete. If possible, door prizes can be awarded for completed evaluations.</p>
Final Comments and Closure	30 min.		<p>Thank participants for their attendance. Completion certificates can be handed out. Closing comments may be delivered by dignitaries or senior staff in attendance.</p>

**NOTE:** On the final day, the morning tea/coffee break is typically handled as a “working break”.

### 4.1.2 Three Day Training Workshop

Three-day training sessions are typically targeted towards higher level government officials and private sector representatives. Even shorter versions have been delivered to community groups and the general public as part of larger community planning and visioning initiatives.

#### Workshop Objectives:

- To give participants a clear understanding of the need for, and value of, a more strategic and systematic approach to local economic development planning
- To give participants a clear understanding of the “ten-step model for strategic planning” (adapted from, “Promoting Local Economic Development through Strategic Planning”)
- To develop participants’ skills so that they are able to implement the processes and practices in their own work and enhance their organization’s planning capacity
- To review potential local economy assessment tools and relevant LED actions (i.e., actual programs, projects and policies) that have been used elsewhere

**Audience:** Practitioners, planners, local implementing agency representatives. Three-day workshops may target participants with stronger backgrounds and capabilities in local economic development than Five-day workshops.

**Time:** 25 hours over five-days with breaks

**Training Materials:** Computer, LCD projector, screen, 4 flip charts with paper, markers, tape (for posting flip chart sheets), coloured note cards.

**Note:** For details of these tools please see *Toolkit – Volume 3 of the LED series*

- Tool 4a: Developing a Vision
- Tool 5a: Working with Issues and Objectives
- Tool 5a-1: Issues Brainstorming
- Tool 5a-2: Cause, Effect and Outcome
- Tool 5b: Simple Strategic Prioritization
- Tool 6c: Option Evaluation - Technical Analysis





Trainer’s Guide Materials:

- ❑ Workshop PowerPoint (see CD)
- ❑ Actions (Step 6) PowerPoint slide sets on Lima, Peru and Dar es Salaam, Tanzania (see CD).
- ❑ Simulation Tool (see CD) and associated tools (Stakeholder and Community Engagement Plan, SWOT Activity, Visioning Activities, What’s the Issue? (see Toolkit), Technical Option Analysis Tool (see CD)











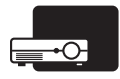
**AGENDA: DAY 1 – Three Day Workshop**

**AGENDA – Three Day LED Training Workshop**  
**DAY ONE: Context - Module 1: Where are we now?**  
 08:30 hrs Registration  
 09:00 hrs Ice Breaker, Workshop ‘Housekeeping’ and Introductions  
 09:45 hrs Detailed Agenda, Expectations and Workshop Objectives  
 10:30 hrs **Break**  
 11:00 hrs Overview of LED, Strategic Planning and the Training Series  
 12:00 hrs **Lunch**  
 13:00 hrs Examples of Strategic Planning for LED: The Case of Horezu, Romania  
 13:45 hrs Module 1: Where are we now?  
     STEP 1: Getting Started  
     STEP 2: Stakeholders  
     STEP 3: Situation Assessment  
 14:30 hrs **Break**  
 15:00 hrs Activities  
 – Introduction of Simulation Tool  
 – SWOT Analysis – Simulation Tool  
 – Group discussion  
 16:30 hrs Wrap-Up and Review

**Day One: Agenda Notes**

Item	Time	Tools	Notes
Introductions	30 min.		Workshops require longer formal introductions for workshop organizers, financial supporters and the like and shorter, more informal participant introductions. Formal introductions are covered in Section 4.1.  For participant introductions, facilitators should consider using different introduction techniques, including pairing participants to interview and introduce each other to the larger group. The introductions should let the facilitator know where the participants are from, their experience with LED and some kind of personal detail that the facilitator can use to help remember participants and can draw on later in the workshop. Remember, introductions can set the tone for the workshop, so it is important to keep them as engaging and light as possible. Also, it is important to remember that introductions can be time consuming. Active facilitation and time monitoring is required. On average, estimate 2 minutes per participant. Write down on the board or poster paper what you want them to cover: name, where from (if applicable), position, interest and expectations with workshop, something special (e.g., favourite food). If they have time to write it down, participants will have time to think before responding which saves time in the long run.
Ice Breaker	15 min.		Many facilitators use an “Ice Breaker” activity to help set the tone for the workshop. Three different ice breakers that can be used are outlined in Section 5.1 of this Guide. As a rule, ice breakers should be relatively high paced, short and fun with an LED or strategic planning learning focus or lesson.
Housekeeping	10 min.		In addition to identifying the location of bathrooms, break-out rooms and other workshop facilities, facilitators should get participants to quickly identify a set of workshop “rules” regarding cell phone use, breaks, start times and the like. These are recorded on a flip chart and posted in the main workshop room.
Detailed Agenda & Objectives	35 min.		Provide an overview of the workshop agenda, review workshop objectives and clarify them with participants. Use information collected during the introductions to begin personalizing the workshop and to help remember participants’ names.
<b>BREAK</b>			

## Day One: Agenda Notes (continued)

Item	Time	Tools	Notes
Overview of LED and Strategic Planning	1 hr.		<p>Walk participants through the first section of the workshop PowerPoint covering the key concepts of LED and strategic planning. Some of the key concepts to be covered include:</p> <ul style="list-style-type: none"> <li>• Economic leakage</li> <li>• Value chains</li> <li>• Business enabling environments</li> <li>• Community values and objectives in LED</li> <li>• What is “local”</li> <li>• Capital types (e.g., human, natural, physical and economic)</li> <li>• Sustainable development and LED</li> <li>• LED actions and spheres of control (defined by politics, agencies, power to make decisions, financial constraints, etc.)</li> <li>• Jobs versus revenue in LED planning (e.g., in Latin America 80% of revenue comes from large corporations which provide only 20% of employment, while small and micro-businesses generate 20% of revenues, but provide 80% of employment)</li> <li>• The “7 key concepts of LED”</li> </ul>
LUNCH	1 hr.		A guest speaker who can provide insight on local and regional LED activities should be considered for lunch(es). To ensure that participants get a break, the presentations should be kept to 20- to 25-minutes. It is common for local politicians and high-ranking civil servants to make lunchtime speeches and presentations.
Horezu Case Study	45 min.		The Horezu case study provides an example of a full-cycle, strategic planning for LED project using the approach outlined in the <i>Manual – Volume 2</i> of the LED series. Facilitators need to be familiar with the example.
STEPS1, 2 and 3	45 min.		<p>Using the workshop PowerPoint presentation, introduce participants to the first Module, “Where are we now?” , and lead participants through an animated lecture on the first three steps, <i>Getting Started, Stakeholders and Participation and Situation Assessment</i>.</p> <p>The facilitator should explain that there are host of tools for analysis depending on the degree of complexity, the time, the human resources and the budget. While there are examples in the Toolkit, other methods from the World Bank, the ILO, Cities Alliance<sup>2</sup> and other agencies , for example, Mesopartners.</p>
BREAK			
Simulation Tool: Intro	45 min.	    	<p>Introduce the Simulation Tool and review the two overview slides of the community selected as a case study for the workshop i.e., either Fictionali Case Studies A, B or C (see appendix 2). The relatively short case study provides an overview of a fictional municipality, its LED challenges and its current initiative to develop a Strategic LED Plan. It is designed to be used for Trainer’s Guide activities in each of the Modules, and in conjunction with workshop activities from the <i>Toolkit</i> document. The tool will be used when workshop activities are not based on the host community, or if it is more appropriate to use a ‘generic’ example of a community for the workshop activities.</p> <p>Hand out copies of the Simulation Tool to participants. Give participants 25-minutes to read it. After 25-minutes, ask the participants if they have any questions about the Simulation Tool.</p>
Guide SWOT Tools	45 min.		<p>Introduce the concept of SWOT analysis being sure to highlight the differences between the external (threats, opportunities) and internal (strengths, weaknesses). Go back to overview slide of Fictionali and get participants to classify the issues identified as strengths, weaknesses, opportunities or threats.</p> <p>Direct participants back to the Simulation Tool and break participants into break-out work teams. For each of the Simulation Tools, a list of strengths, weaknesses, opportunities and threats has already been identified. While you will have a master list, hand out the mixed SWOT list from the Appendix and ask participants to identify which is which. Participants should be given 30-minutes for this portion.</p>
Wrap Up and Review	10 min.		Review the day’s work highlighting the 7 Principles of LED, the strategic planning process, the importance of the “planning to plan” stage and stakeholder identification and involvement. Direct participants to the relevant sections of the <i>Manual</i> for the next day’s session.

<sup>2</sup>See also the Cities Alliance 2007 publication, “Understanding your Local Economy, A Resource Guide for Cities”








## AGENDA: DAY 2 – Three Day Workshop

### AGENDA – Three Day LED Training Workshop








#### DAY TWO: Module 2

- 09:00 hrs **Module 2: Where do we want to go?**  
 STEP 4: Visioning  
 STEP 5: Setting Objectives
- 09:45 hrs **Activity**  
 – Toolkit activity 4a: Developing a Vision
- 10:30 hrs **Break**
- 11:00 hrs **Activity**  
 – Toolkit activity 5a: Working with Issues and Objectives
- 12:00 hrs **Lunch**
- 13:00 hrs **Working with Issues and Objectives (continued)**  
**Activity**  
 – Toolkit activity 5a-3: Issues to Objectives Matrix  
 – SMART Performance Indicators
- 14:30 hrs **Break**
- 15:00 hrs **Activity**  
 – Toolkit activity 5b: Simple Strategic Prioritization Tool
- 16:30 hrs **Wrap-Up and Review**

## Day Two: Agenda Notes

Item	Time	Tools	Notes
STEP 4 STEP 5	45 min.		Using the PowerPoint, take participants through Step 4, Visioning and Step 5, Issues and Objectives. Step 5, in particular, is a critical stage in the strategic planning process and facilitators should take their time with it.
Tool 4a: Developing a Vision or Guide Tools	45 min.		Tool 4a: Developing a Vision can be done as a break-out session or as a group activity depending on group dynamics and time. Other visioning activities that can be used are found in Section 5.2 of this guide. It is important to explain to participants that not much time should be spent on this activity and to explain why they should try not to get bogged down on this step in their own LED initiatives.
<b>BREAK</b>			
Tool 5a: Working with Issues & Objectives  5a-1: Focus Questions	1 hr.	  	<p>Lead participants through two inter-connected activities using both the <i>Toolkit – Volume 3</i> of the LED series, and the Guide's Simulation Tool. The activities will build on and reinforce the examples provided in the PowerPoint presentation.</p> <p>Using the Simulation Tool (or the host community, if it is being used as the base case), lead participants through Tool 5a: Working with Issues and Objectives as a group activity. Approximately 20-minutes should be used for the brainstorming and general organizing of the issues. Following this brainstorming activity, the facilitator will work with participants to roughly arrange and organize the LED issues along thematic lines (e.g. Administration and Governance, Infrastructure, etc.). This should take an additional 20-minutes. Use the questions from Tool 5a-1: Focus Questions to help guide the discussion.</p> <p>Next, break the participants into their break-out work groups. Each group will be given five sticky dots of the same colour and asked to stick them next to the issues that they believe are the most important. The sticky dots can be placed in any combination (i.e., spread out between issues or all on one. This basic prioritization exercise should take no more than 10-minutes. Lead a short discussion on the outcome asking the group if they agree with the prioritization and why they stuck the dots where they did. This discussion will lead to the LED objectives being defined and refined.</p> <p>Lead a short, 10-minute discussion on the outcomes asking why they prioritized as they did.</p>
<b>LUNCH</b>			

## Day Two Agenda Notes (continued)

Item	Time	Tools	Note
Tool 5a-3: Issues to Objectives Matrix	1.5 hrs.	  	<p>Lead participants through a review of the activities and output of the previous day. Using the PowerPoint presentation, review the example Issues to Objectives Matrix and discuss performance measures. This should take about 20-minutes.</p> <p>Next, break the participants into their work groups. Using the objective with which they carried out their Tool 5a-2, CEO Analysis, get participants to complete an Issues to Objectives Matrix on a sheet of flip-chart paper. Participants should be given 40-minutes to complete their matrix.</p> <p>Invite a spokesperson from each group to post and review their matrices. After each group has presented, lead a group discussion to highlight the possible performance measures and to discuss SMART measures. The presentation and discussion should take 20-minutes.</p> <p>Now, get the participants back into their break-out work groups. Give each group another five sticky dots of the same colour and ask them to stick them next to the LED objective that they believe could generate the greatest positive change if actions were taken on it. This basic prioritization exercise should take no more than 10-minutes. Lead a short discussion on the outcome.</p>
BREAK			
Tool 5b: Simple Strategic Prioritization Tool	80 min.	  	<p>Prepare flip-chart sheets over the break with the top three or four prioritized objectives that were identified by participants the day before when participants went through Tool 5a, 5a-1, 5a-2 Working with Issues and Objectives. Ask the participants to consider the potential economic development situation in relation to each of the objectives. Participants will be asked how, in the context of the project, economic development could positively affect the particular objective. If time permits, begin the activity by going through an example with them. Give participants at least 50-minutes to complete their own.</p> <p>After the completing this task, post the flip charts and review them as a large group. After reviewing them, give participants two sticky dots and ask them to place them next to the objective(s) they feel could generate the greatest positive change if actions were taken on it. This should take 10-minutes.</p> <p>Following the ranking, lead a brief, 20-minutes group discussion on the results.</p>
Wrap Up and Review	10 min.		<p>Review day's work highlighting the key points of Step 4, Visioning and Step 5, Issues and Objectives. Direct participants to the relevant sections of the Manual for the next day's session.</p>



**Asking people** to write down things before they speak or present will help move the workshop along. People are usually take less time in saying what they want as they have already thought about it while writing it down. Also, try working with small note cards. Participants can write on them directly and they can be posted on a wall, meaning that the facilitator does not need to interpret what they say and everything is captured.

**ALWAYS** review the agenda and accompanying PowerPoint presentation the evening before to re-familiarize yourself with it. Depending on group needs and interest and overall timing, you may want to/need to revise the portions of the agenda and presentation. This means that you may want to reduce and/or expand certain activities and sections of the presentation.

**Do not feel** compelled to fill up all class time with talking. Allowing for silence and time to reflect is important. Brief periods of silence can be helpful, as it gives people time to digest the materials, emerging ideas, and consider questions. Remember, not everyone is an extroverted thinker.









## AGENDA: DAY 3 – Three Day Workshop

### AGENDA – Three Day LED Training Workshop

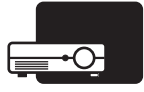










#### DAY THREE: Modules 3 & 4

09:00 hrs	Module Three: How Do We Get There? STEP 6: Identifying and Evaluating Alternatives
09:30 hrs	Activity <ul style="list-style-type: none"> <li>– What’s the Issue?</li> <li>– Strategy Options &amp; Intro to Technical Analysis</li> </ul>
10:30 hrs	<b>Break</b>
11:00 hrs	Activity <ul style="list-style-type: none"> <li>– Crossing the river: making the best decision we can</li> </ul>
12:00 hrs	STEP 7: Action Planning and Strategy Documentation STEP 8: Organization and Implementation
12:30 hrs	Lunch
13:30 hrs	Module Four: Have we Arrived? STEP 9: Monitor and Evaluate STEP 10: Adjust and Modify
14:00 hrs	Review: STEPS 1 to 10
14:30 hrs	<b>Break</b>
15:00 hrs	Action Planning in Practice – What will we do in the next 18 to 24 months?
16:00 hrs	Feedback, final comments and closure

## Day Three Agenda Notes

Item	Time	Tools	Notes
STEP 6	30 min.		Using the PowerPoint, take participants through Step 6, Strategy Development. Direct participants to page 129 in the Manual and review the Action Ideas. The facilitator can also use two ‘Actions’ slide sets (Lima, Peru and Dar es Salaam, Tanzania included in the CD) or use a locally or regionally relevant examples they may be aware of. Facilitators may find that participants want to spend additional time discussing actions, as they are often perceived as the most important outcome of an LED process. It is important to re-emphasize the need to use a good process to determine the types of actions to be undertaken when discussing Step 6.
Identifying Options or LED Actions Simulation Tool	30 min.	  	Lead participants through the presentation slides called “What’s the Issue?” In it, participants brainstorm different ways of crossing the Yawning River that separates Fictionali from South Fictionali. Capture their suggestions on a flip chart. See instructions in Section 5.3.  After the brainstorming, lead a 15-minute group discussion about distinguishing between strategic objectives (i.e., increasing economic linkages between the two communities) and strategic actions or options (e.g., building a bridge).
Intro to Technical Option Analysis	30 min.	 	Begin the activity with the PowerPoint slides that illustrate the “Buying a Plane Ticket” Technical Analysis. Here it should be noted that the activity or decision can be changed to something that may have more relevance for the participant group (e.g., buying a vehicle). For the “Buying a Plane Ticket” example, ask participants what they look for in a buying plane ticket (e.g., cost, safety record of airline, schedule, etc.). These will be the objectives against which the four options (or actions) will be evaluated.
BREAK			

## Day Three Agenda Notes (continued)

Item	Time	Tools	Notes
<b>Trainer's Guide Activity</b> Crossing the River (Technical Option Analysis)	35 min.	  	<p>In this activity, participants are introduced to a basic, Microsoft Excel-based Option Analysis model (or Portfolio Assessment as it sometimes referred to) that has been developed to assess different methods of improving transportation links across the Yawning River in Fictionali. This spreadsheet tool is contained in the CD. The 5-step activity allows participants to examine the impacts, costs and benefits of several waterway crossing options and compares how each would perform against the overall LED objectives and project specific objectives. It builds on the "What's the Issue?" activity, as many of the different methods of crossing river are carried over and inserted into the model to be evaluated against one another.</p> <p>There are five parts to the activity. Each one corresponds to one of the pages on the Excel model. While the model may seem technical at first glance, it is relatively straightforward and the concepts behind it are simple. The key concepts are:</p> <ul style="list-style-type: none"> <li>• Technical analysis helps keep people focused on meeting the objectives when choosing between actions/strategy options.</li> <li>• Values and facts are both incorporated but kept separate, so "perceptions" are minimized.</li> <li>• It is a transparent tool can be used to help frame discussions, to illustrate how decisions can be made more strategically and for communication.</li> <li>• It is a decision support tool. It does NOT make the decisions.</li> </ul>
<b>STEPS 7 and 8</b>	25 min.		<p>Using the PowerPoint, take participants through Step 7, Action Planning and Step 8, Organization and Implementation. Direct participants to the Action Guide – Volume 4 of the LED series and review the general types of Action Ideas. While there will likely be considerable participant interest in Action Ideas, it is important to reiterate the pre-planning process necessary to identify, select and implement them.</p>
<b>LUNCH</b>			
<b>STEPS 9 and 10</b>	30 min.		<p>Using the PowerPoint, the facilitator will take participants through Step 9. Evaluate and Monitor and Step 10, Adjust and Modify. The importance of monitoring and evaluation to the overall strategic planning and LED processes needs to be stressed and highlighted, as these steps can typically be ignored or their importance downplayed.</p>
<b>Review</b>	1 hour.	 	<p>Using the workshop PowerPoint presentation, provide a high level review of the 10-Steps to Planning Excellence and the 7 key concepts of LED. The facilitator's review should tie into the work carried out during the workshop to trace the arc of the planning process. Any areas where the group had difficulties should be highlighted and discussed to ensure learning objectives have been met.</p>
<b>BREAK</b>			
<b>Action Planning in Practice</b>	2 hrs.	 	<p>A key component of the training sessions is to try to generate and promote strategic planning for LED in new locations and/or to strengthen and support it in locations where it is already underway. To help achieve this goal and to maintain the momentum of the training session, ask participants to think about what it would take to start a LED strategic planning process in their community or to conceive a small LED project that they could reasonably expect to complete within a post workshop period of about 12 to 18 months. Given that financial supporters and technical experts are often in attendance, this activity also provides an opportunity to carry out some pre-planning and networking. Discuss projects that have come out of past training sessions, including the adaptation of training materials to local contexts, introducing materials into curricula and existing courses, initiating a pilot LED process at a given locality, initiating a national LED program etc.</p> <p>After introducing the activity, break participants into their country, region, city or affiliated groups as may be appropriate. Groups have 1-hour to prepare a brief outline of their project potential. Direct participants back to Tool 7A, Action Planning and have them organize their concepts along those lines.</p> <p>With the remaining 30-minutes, participants will present their concepts to the larger group.</p>
<b>Workshop Evaluations</b>	30 min.		<p>Distribute the standard facilitator/workshop evaluation form included in this guide (see section 6). Give participants 30-minutes to complete. If possible, door prizes can be awarded for completed evaluations.</p>
<b>Final Comments and Closure</b>	10 min.		<p>Thank participants for their attendance. Completion certificates can be handed out. Closing comments may be delivered by dignitaries or senior staff in attendance.</p>



**Remember**, both the workshop agendas and the accompanying PowerPoint presentations are provided as starting points. Trainers are encouraged to incorporate their own LED and strategic planning experiences and case studies they are familiar with in the workshops. These experiences help animate and “give life” to training materials and the core LED concepts. Trainers also encouraged to .modify materials depending upon their comfort level with the materials, the workshop participants’ interest areas and the trainers’ experience with LED and strategic planning. Spend some time with the materials before hand and make them your own!

### 4.1.3 One Day Training Workshop

One-day training sessions are typically targeted towards higher level policy makers and politicians. Typically, they can be more policy-oriented “motivational” sessions. They are used to sensitize the audience on LED and strategic planning, to review relevant and successful LED actions (focusing on policies and programs), and to discuss context specific policy options for moving LED and strategic planning forward in the locale.

The audience and the objectives of the one day workshops requires a skilled and experienced facilitator. The facilitator will have to modify the agenda substantially to create more time to discuss important, context-specific LED policy issues, such as creating a business enabling environment, public private partnerships, institutional arrangements to support LED, the integration of LED approaches into municipal capital budgets, the informal sector, incorporating LED within sectoral initiatives (e.g., housing, infrastructure, etc.), LED and land use planning (regional and local), etc.

Given the higher level audiences attending these sessions, it is important to carefully select and prepare guest speakers. You should aim to make their presentations both educational and motivational. Extra organization is also required to keep the session flowing smoothly and to ensure that participants remain actively engaged in the workshop. While there are no activities in these sessions, there will be substantial policy discussions that will require active facilitation. Refer to this guide’s Core Questions by Module ( see Section 4.3) and use them as discussion and speaking points for your session.

#### Workshop Objectives:

- To sensitize participants to the value of LED and the need for supporting policy tools and instruments
- To introduce the four volume “Promoting Local Economic Development through Strategic Planning” Training series and give participants an overview of the “10-Steps to Planning Excellence” strategic planning process
- To provide a venue to discuss context-specific LED challenges and issues (e.g., creating business enabling environment, public private partnerships, institutional arrangement to support LED, etc.)

**Audience:** National and regional government officials (typically)

**Time:** 6 hours with breaks

**Training Materials:** Computer, LCD projector, screen, additional PowerPoint example slides (to be developed by facilitator in cooperation with workshop organizers)

#### Toolkit Activities:

- None

#### Trainer’s Guide Materials:









- Workshop PowerPoint (see CD)
- Actions (Step 6) PowerPoint slide sets (Lima, Peru and Dar es Salaam, Tanzania – see CD)
- Agenda

## AGENDA: DAY 1 – One Day Workshop






### Agenda Notes

09:00 hrs	Introductions
09:30 hrs	LED and Strategic Planning: an overview
10:30 hrs	<b>Break</b>
11:00 hrs	Context specific LED discussion (topic TBD)
12:30 hrs	<b>Lunch</b> – Guest Speaker
13:30 hrs	Context specific LED discussion continued (topic TBD)
14:30 hrs	<b>Break</b>
15:00 hrs	Summary review of 10-Step strategic planning for LED process STEPS 1 - 10
16:30 hrs	Review and Q&A

### Agenda Notes

Item	Time	Tools	Notes
Introductions	30 min.		Individual introductions at a one-day workshop, particularly one that does not involve break-out sessions, are not as important as in longer sessions. As a presentation to higher level officials, formal introductions and welcoming remarks can be expected.
Overview of LED and Strategic Planning	1 hr.		Facilitators walk participants through the first section of the workshop PowerPoint covering the key concepts of LED and strategic planning. <ul style="list-style-type: none"> <li>• Some of the key concepts to be covered include:</li> <li>• Economic leakage</li> <li>• Business enabling environments</li> <li>• LED as a national and regional policy issue</li> <li>• Capital types (e.g., human, natural, physical and economic)</li> <li>• Sustainable development and LED</li> </ul> <p>It is important to link LED with existing regional, national and international program objectives and policies (e.g., the role of local government in LED, decentralization and LED, public-private partnerships and LED, etc.). It is also important to use this section to begin highlighting the positive results and impacts of LED and strategic planning.</p>
<b>BREAK</b>			
Context-specific LED Discussion	1 hr.	 	Based on pre-workshop discussions and direction from workshop organizers, the facilitator will lead an open discussion on important location/context-specific LED issues. This could include topics such as creating a business enabling environment, public private partnerships, institutional arrangement to support LED, the integration of LED approaches into municipal capital budgets, the informal sector, incorporating LED within sectoral initiatives (e.g., housing, infrastructure, etc.) and land use planning, etc. <p>Where feasible and practical, summary PowerPoint slides will be developed to provide relevant examples and to illustrate key discussion points.</p>
LUNCH	1 hr.		A guest speaker who can provide insight on the seminar's LED focus should be invited to speak. To ensure that participants get a break, the presentation should be kept to 30-minutes. Care should be given in selecting the speaker and in helping them prepare for their presentation. Presentations should be both educational and motivational (i.e., they should highlight context specific LED examples and success stories).
Context-specific LED Discussion	1 hr.	 	The morning discussion will be carried over into this section. It is important that the facilitator wraps-up, reviews and summarizes the morning discussion. Again, where feasible and practical, summary PowerPoint slides will be developed to provide relevant examples and to illustrate key discussion points.
<b>BREAK</b>			
STEPS 1, 2 and 3	15 min.		Using the workshop PowerPoint presentation, the facilitator will introduce participants to Module 1, "Where are we now?", and lead participants through an animated lecture on the steps.

## Agenda Notes

Item	Time	Tools	Notes
STEPS 4 and 5	20 min.		Using the workshop PowerPoint presentation, the facilitator will introduce participants to Module 2, "Where do we want to go?", and lead participants through an animated lecture on the steps.
STEPS 6, 7 and 8	30 min.	 	Using the workshop PowerPoint presentation, the facilitator will introduce participants to Module 3, "How do we get there?", and lead participants through an animated lecture on the steps. If time permits, the facilitator may wish to include a simple decision analysis/project prioritization activity, such as "buying a plane ticket". The facilitator can also use two 'Actions' slide sets (Lima, Peru and Dar es Salaam, Tanzania) included with this guide or use locally or regionally relevant examples they may be aware of. Facilitators may find that participants want to spend additional time discussing actions, as they are often perceived as the most important outcome of an LED process.
STEPS 9 and 10	10 min.		Using the workshop PowerPoint presentation, the facilitator will introduce participants to the fourth and final Module, "Have we arrived?" and lead participants through an animated lecture on the steps.
Question and Answers	10 min.		The facilitator will provide a high level review of 10-Steps to Planning Excellence and the 7 key points of LED. Any areas where the group had difficulties should be highlighted and discussed to ensure learning objectives have been met. The facilitator should also review and summarize the morning's discussion of the context-specific LED issue(s).



Facilitators may find that participants want to spend additional time discussing Actions, as they are often perceived as the most important outcome of an LED process. While the discussion of potential Actions is valuable and encouraged, it is also important for the facilitator to emphasize the need to use a solid and strategic planning process to determine the types of actions to be undertaken. Simply moving through to the action stage can be a recipe for failure on many levels.

## 4.2 Snapshot LED Case Studies

This section provides "snap shots" of case studies for each of the 10-Steps to Planning Excellence. Longer versions of the case studies are found in Appendix 3 and can be distributed to participants to help them relate the tools and their applications to real world situations. The Trainer's Guide CD also provides summary PowerPoint slides for each of the case studies. The case studies will supplement the Horezu full-cycle case study or a similar more detailed case study the trainer chooses to use.



### MODULE 1: Where are we now?

#### STEP 1: Getting Started

- ❑ **Project:** Musqueam Strategic Plan - Planning to Plan
- ❑ **Location:** Vancouver, Canada
- ❑ **Summary Description:** The Musqueam Indian Band is an aboriginal community located on the south-western edge of Vancouver, Canada. Like most Canadian First Nation reserves, the community's economic and social well-being is below that of neighbouring non-native communities. To kick-start a comprehensive community strategic planning process, the community first went through a comprehensive 'planning to plan' phase, or Step 1 of the Strategic Planning for LED process. This involved the creation of a Project Support Team made up key Band officials and the consultant planning team, and the establishment of a Community Committee made up a wide variety of community stakeholders, including



youth and Elders. The 'getting started' work helped raise awareness of the project in the community, brought the necessary stakeholders to the table, set a positive tone for future project work, and identified planning needs and resources for future phases. It also helped generate political support for the project.

## STEP 2: Stakeholders and Participation

- ❑ **Project:** Huddersfield Public Engagement
- ❑ **Location:** Huddersfield, England
- ❑ **Summary Description:** As with many older, industrial cities in Europe, Huddersfield in



England was declining in the 1990's economically, culturally and socially. Faced with significant foreign competition for manufacturing and an aging manufacturing infrastructure, many factories were closing and unemployment was high. With few job prospects, large numbers of youth were also leaving to work in larger urban centres. Faced with these issues, the municipality launched the Huddersfield Challenge to revitalize and help stabilize the city and its economy. The planning process included a major public participation component that successfully engaged the city's diverse cultural and religious communities, many of whom had neither worked together before, nor particularly trusted one another (i.e., there were cultural tensions and divisions). The meaningful community participation process engaged stakeholders through a variety of outreach and involvement activities and brought the community together to collectively improve its local economy and maintain its cultural vibrancy and stability. The city was awarded the "Creative Town" prize by the European Union for its work.

## STEP 3: Situation Assessment

- ❑ **Project:** Strategic Planning for Pro-Poor Tourism
- ❑ **Location:** Livingstone, Zambia
- ❑ **Summary Description:** Livingstone, Zambia is a poor city in one of the world's poorest



countries. While it is a community rife with poverty, it is also a place of riches, where wealthy tourists come to spend thousands of dollars on leisure and adventure in view of the famed Victoria Falls. Over the past decade, Livingstone's tourism industry has seen a meteoric rise in visitor numbers. It has grown from a sleepy border post to one of Africa's top tourism destinations, complete with four and five-star hotels, golf courses, franchised restaurants, and an international airport. Despite many benefits, the growth of the local tourism industry has had few, if any, positive impacts on the city's poor.

In order to identify and assess opportunities for reorienting some of Livingstone's tourism benefits to the poor, a strategic planning process was established to determine the government's best course of action. During the first phase of the project the planning team carried out a Situation Assessment of the local tourism sector. This began with a data collection program that included stakeholder interviews, literature review, and policy analysis. More innovative tools were also used, including 'participatory video' where a series of basic video documentaries were made with community members on the economic development situation in Livingstone.

## MODULE 2: Where do we want to go?

### STEP 4: Visioning

- ❑ **Project:** Promoting Integrated Local Development through Strategic Planning and Territorial Marketing
- ❑ **Location:** Nis, Serbia





- ❑ **Description:** Located in central Serbia, Nis is Serbia's third largest city with a population over 250,000. In response to emerging trends and signs of economic decline, the city initiated an LED strategic planning process in early 2007. Using a similar 10-step process to this guide's, the project included an innovative and comprehensive visioning component called "Our Nis: Glancing into the city's future." It included a children's drawing competition, round tables at the local Chamber of Commerce and University, distribution of a questionnaire entitled, "What is Nis when it is at its very best?" and a full-day creative session at one of the main city-wide LED strategy workshops. The visioning component generated significant awareness of the LED project and was broadly supported and embraced by all stakeholders. The resulting vision statement was: Nis – City of Future: Crossroads and meeting point for people, ideas, culture and tradition; regional economy, university, sport and tourism leader; center of sustainable development where a high quality of life for all citizens is achieved.



## STEP 5: Issues and Objectives

- ❑ **Project:** St'át'imc First Nation Economic Opportunities Project, Canada
- ❑ **Location:** Lillooet, British Columbia, Canada
- ❑ **Summary Description:** Located in south-western British Columbia, Canada, the



St'át'imc First Nation is an aboriginal group whose traditional territory includes the Resort Municipality of Whistler, a world-renowned ski resort and the home of the 2010 Winter Olympic Games. The St'át'imc went through a strategic planning process to identify sustainable, Olympic Games-related economic opportunities. The planning process utilized a structured decision-making process involving an Advisory Committee that represented a wide range of stakeholders. This Advisory Committee identified the major economic development issues facing the community from which they pulled out and prioritized a group of economic development objectives against which they could evaluate potential economic opportunities (over 40 in total!). After the opportunities were short listed, SMART indicators were developed for each of the objectives so that a preliminary technical analysis of the opportunities could be carried out. The process led to the reorganizing and repackaging of opportunities and the selection of two final economic alternatives. The technical and value assessments of the objectives helped St'át'imc leadership make transparent and clear decisions and identified the necessary next steps required to realize the opportunities.

## MODULE 3: How do we get there?

### Step 6: Strategy Development

- ❑ **Project:** Yukon River Salmon Cooperative Options Evaluation
- ❑ **Location:** Dawson City, Canada
- ❑ **Summary Description:** Members of this unique and community-



based salmon fishing and processing cooperative had several options available to them to develop a value-added fish plant. In addition to different locations, the co-operative also had different groups with whom they could partner to develop the business. To help the co-operative decide where and with whom they were going to build their plant, a facilitated structured decision making process, or Options Evaluation, was undertaken. This planning process helped the cooperative understand the risks of both working with the different partners and the pros and cons of setting up a business in different locations. They also needed to know which option would best meet their business objectives, including

economic self-sufficiency, minimization of risk, straightforward business structure, opportunities for future expansion, potential for including other partners in the future, and community economic development benefits for their small town. In the end, members of the Yukon River Salmon Cooperative unanimously decided to pursue the development of value-added fish processing facility in partnership with another fish processing business located in the region's urban centre, 600 kilometres away from Dawson City. It was a difficult decision to make, as the group wanted to build a local plant to "show" the results of their work to their community. In the end, however, the Options Evaluation helped them choose the strategy option that best met all of their business development objectives.

## Step 7: Action Planning

- ❑ **Project:** Metro Iloilo-Guimaras Economic Development Council
- ❑ **Location:** Iloilo, Philippines
- ❑ **Summary Description:** The Metro Iloilo-Guimaras Economic Development Council



(MIGEDC) is an alliance of six neighbouring municipalities and an island province in the western Philippines. Established after a round of preliminary LED strategy development and planning, their mission is to improve cooperation and partnerships in socio-economic development and in the management of environmental and natural resources in the region. This is achieved primarily through capacity-building and institutionalization of LED and strategic planning processes amongst local government partners. MIGEDC executives, legislators, planners and NGO partners work in the region with the six municipalities and the

island province of Guimaras to organize and deliver ongoing training workshops, professional development seminars and study tours for local government workers. MIBEDC has developed a number of Action Plans with various time frames (1-year, 5-years, etc.) and is working with government and non-government partners to implement them. Each local government member of the MIGEDC helps fund the organization and supplies it with equipment and materials.

## Step 8: Organization and Implementation

- ❑ **Project:** San Jose Tourist Management Board
- ❑ **Location:** San Jose, Costa Rica
- ❑ **Summary Description:** San Jose is the largest city in Costa Rica and its capital. As



the country's business and financial centre, San Jose accounts for well over 25% of the country's foreign earnings. Despite its role as gateway to the country and the strategic importance of tourism to the national economy (it is one Costa Rica's largest economic sectors and one of the country's leading employers), few tourists spend time and money in San Jose. In 2005, the municipality of San Jose underwent a training course in LED. As part of the training, the local organizing agency requested that there be a focus on tourism in the city. During the workshop, a preliminary plan of action was developed. The plan included an ambitious

conference centre, the mapping out of specific tourist routes, and several ideas for public-private partnerships. Realizing that there was a desire and skill set amongst the private sector, and understanding that there was a need to have municipal involvement, workshop participants decided that the first thing to do in order to implement the action plan was develop a 'junta del turismo' - joint partnership between the tourism private sector and the municipality. The 'junta del turismo' was established in April 2006 as San Jose's principal tourism project implementing agency. It has since moved to initiate many of the ideas developed during the workshop.



## MODULE 4: Have we arrived?

### Step 9: Monitor and Evaluate



- ❑ **Project:** City of Smolyan Local Economic Development Strategy 2004-2007
- ❑ **Location:** Smolyan, Bulgaria
- ❑ **Summary Description:** Located in southern Bulgaria, the municipality of Smolyan



was facing considerable economic challenges in its transition to a democratic, free market system, including high unemployment, aging infrastructure and out-dated, economic planning policies. To help counter these challenges, an LED process was launched in 2001. Included in the plan was a simple monitoring and evaluation system. In it, the lead implementing agency (the Department of Investment and Tourism) developed at least one indicator or measure for each of goals and objectives (programs). Data sources for monitoring the indicator were identified and baseline data gathered. To ensure that the strategy implementation activities “crossed political lines”, yearly monitoring and evaluation reports were prepared for the Mayor and Council that identified positive trends, successes and implementation challenges to be overcome. This open and transparent approach to monitoring and evaluation has helped better coordinate and improve strategy implementation and built cross-party support the work.

### Step 10: Adjust and Modify

- ❑ **Project:** Horezu LED Strategy Review
- ❑ **Location:** Horezu, Romania
- ❑ **Summary Description:** Horezu is a small town of 7,000 located in central Romania



that is the administrative, social and market service centre for a regional population of 40,000. Known for its pottery, Horezu’s economic activities were mainly based on agriculture and forestry. In the recent past, as Romania moved from a centrally planned regime to democratic market economy, Horezu found itself in a serious economic challenge characterized by a high unemployment rate, the closure of State Owned Enterprises (SoEs), increasing out-migration of young people seeking opportunities elsewhere, declining investment, and a weak municipal revenue base. With the assistance of UN-Habitat the town was selected as a pilot site to field test the UN-Habitat – EcoPlan International 10-step LED strategic planning process in 2001. After successfully moving through the project, Horezu evaluated its effort and the resulting impacts in 2007. It was established that 70% of the strategy actions had been completed. Following the review, the project was adjusted and modified to improve on some aspects of its implementation.

## 4.3 Core Questions by Module

The following core questions can be used by the facilitator to help participants deepen their understanding of the dynamics of LED in today’s world and to better relate it to their local contexts.

### Module 1: Where are we now?

- ❑ What is local?
- ❑ What stakeholders should be involved and how?

- What is the difference between stakeholder involvement and public engagement?
- What is the current situation?
  - What are the key economic sectors?
  - How much do they contribute to local employment?
  - How have they been performing in the last two to three years?
  - What are the driving factors or forces of the local economy currently?
  - What sectors are stagnating?
  - What sectors are growing?
  - What are the major challenges facing the local economy?
- How can necessary background data be collected most efficiently and cheaply?
- What kind of information is needed for a good Situation Assessment and where can it be located?
- Is there a difference between development and growth?
- Others? -----  
-----

## Module 2: Where do we want to go?

- Is there a difference between development and growth?
- Can pro-growth strategies address poverty?
  - Does economic growth = poverty reduction?
  - Is growth without jobs a good thing?
  - What should be done to make growth deliver jobs as well?
- What is the impact of strategies focused on small- and medium-sized enterprises (SMEs) on growth and poverty alleviation?
- What are the trade-offs in making an economic development strategy focus on jobs or poverty reduction?
- Should the formalization of the informal sector be pursued? Why? How?
- How critical are entrepreneurial inputs to LED?
- Where we should look when determining the major LED objectives for the next 5 years?
- Others? -----  
-----

## Module 3: How do we get there?

- How can strategy actions be best chosen and prioritized?
- How does one determine which option/alternative will be most effective?
- What is “best”?
- Is there only one “best”?
- Is it better to carry out small-scale, quick start actions, then to try and implement larger, time and capital intensive projects? Or should we go for the “big push” approach?
- Is there “hanging fruit”? Why did nobody see it before or try to reap it earlier?
- Who we should involve in the selection of projects and actions?
- What resources are available locally, regionally and nationally to help carry out actions? How can we mobilize them?
- How critical are external resources?
- What is our implementation capacity like? What capacity building interventions do we need?
- How far should a local authority be involved in implementation? What is our past record like when it comes to implementation? If our record is not good, what makes us “believe” we can succeed in this case?
- Others? -----  
-----

## Module 4: Have we arrived?

- What is the difference between monitoring and evaluation?
- What is the difference between compliance monitoring and impact monitoring?
- How can one most effectively and efficiently monitor LED work?
- What needs to be monitored and evaluated?
- Who should collect the information and how?
- Who should be in charge of monitoring and evaluation and how should they be supported and by whom?
- How can monitoring best be tied to plan objectives?
- What should be the process if a strategy does require altering and adjusting?
- Others? -----  
-----

### 4.4 Municipal Development Simulation Tool – “Fictionali”

While some training workshops hosted by a particular region or municipality have used their community as the base case for workshop activities, this is not always possible due to both capacity issues and technical issues, such as:

- There is no available community profile;
- There are limited or no resources (times, skills, money) with which to prepare one for the workshop; or,
- It is a regional workshop and there is a desire not to link it to any one community.

To make training workshops more effective and flexible in such a context, a Municipal Development Simulation Tool was developed to simply provide participants the opportunity of a learning experience where they can apply some of the skills and tools in a situation that mimics a certain local reality. The tool is based on a real data set modeled on an actual city in one of the three regions used for the tool (i.e., Africa, Asia, and Latin America). It consists of modified basic statistical information and a narrative overview of a fictional municipality and its local economy. The overview includes a general data set with basic economic and social development indicators (including intentional data gaps) and information on potential LED stakeholders (again, with deliberate gaps). The Simulation Tool also includes some basic stakeholder information. There are intentional blanks and gaps left in all of the information for participants to identify and, using their common sense and creativity, to fill for training purposes.

Should the Simulation Tool be used, it is very important to make it clear to participants that it is hypothetical, very general in nature and cannot be considered accurate reflections of regional realities. Although three variations of the simulation tool are included to represent different global regions, the contextual differences made in the case studies do not adequately reflect the differences in reality. This is because both regional contexts and local contexts in the same region vary so greatly in terms of: 1) economic structure (i.e., is it well-developed or not?); 2) growth dynamics (i.e., is it a growing economy or is it in decline and stagnating?); 3) size (i.e., is it a mid-size city or metropolis); and 4) the national level of economic development (i.e., is the country low income, middle income or in transition?). Given these variables it is not possible to have the Simulation Tool reflect all such variations. It should therefore be used with caution.

The Simulation Tool can be used with *Toolkit* activities in addition to several integrated training activities that are included in this guide. These are outlined in the table below. Integrated Trainer’s Guide activities are described further in Section 5 below.

## Simulation Tool Activities Overview

PHASE	ACTIVITY
<b>Module 1: Where are we now?</b>	
Task 1: Getting Started	<ul style="list-style-type: none"> <li>Getting Started, Trainer's Guide case study</li> </ul>
Task 2: Stakeholders & Participation	<ul style="list-style-type: none"> <li>Tool 2a: Stakeholder Identification</li> <li>Tool 2b: Stakeholder Analysis Matrix</li> <li>Trainer's Guide – Simulation Tool – Stakeholder and Public Engagement Plan</li> </ul>
Task 3: Situation Assessment	<ul style="list-style-type: none"> <li>Tool 3d: Complementary and Comparative Analysis</li> <li>Tool 3i: SWOT Analysis</li> <li>Trainer's Guide – Simulation Tool SWOT Analysis</li> </ul>
<b>Module 2: Where do we want to go?</b>	
Task 4: Visioning	Tool 4a: Developing a Vision
Task 5: Objectives & Measures	Tool 5a: Working with Issues and Objectives Tool 5a-2: Cause-Effects-Outcome Tool Tool activity 5a-3: Issues to Objectives Matrix Tool 5b: Simple Strategic Prioritization
<b>Module 3: How do we get there?</b>	
Task 6: Alternatives & Priorities	Tool 6a: Creating Alternatives Tool 6c: Evaluating Strategy Options - Value Analysis Trainer's Guide - Simulation Tool Technical Analysis Trainer's Guide - What's the Issue? Trainer's Guide - Crossing the River: Technical Option Analysis
Task 7: Action Planning	Tool 7a: Action Planning Frameworks
Task 8: Organization & Implementation	Trainer's Guide - Action Planning Activit
<b>Module 4: Have we arrived?</b>	
Task 9: Monitor & Evaluate	Tool 9a: Developing a Monitoring Framework

There are three separate Simulation Tools with information sets on fictional communities in three distinct regions of the world – Africa, Asia and Latin America. While the three are structurally very similar (each shares the same place names to avoid creating multiple information sets), the contexts for each are unique and the underlying statistical survey incorporates real data from United Nations and World Bank sources.

# 5. Other Activities, Tips and Resources

This section provides some other training tools and activities that can be used in training workshops. Many of the activities have been referenced in the annotated training agendas. They are arranged by Module.

## 5.1 Module 1: Where are we now?

The following subsection provides a number of activities that can be used for the three steps of Module 1. Additional activities can be found in *Volume 3: Toolkit* of the training series.



### Step 1: Getting Started

**Ice Breakers:** Ice Breakers are meant to be enjoyable (often fun) introduction activities that can help to relax participants, set a positive tone and working atmosphere for the workshop and illustrate some key learning concepts. Different ice breakers can be used in different contexts, however all introduction activities must:

- ❑ Be completed within the time allotment
- ❑ Involve activity or something different than sitting and presenting.
- ❑ Support a concept key to the training (e.g., the importance of creative thinking, the importance of clear communication, etc.)

Here are three simple ice breakers that have been used in a variety of contexts and regions.

- ❑ **Blind Self Portrait:** Get participants to take a blank page and pen or pencil. Explain to them that they are going to draw a self portrait with their eyes closed. It is important to take a moment and make sure everyone has their eyes closed. Now, ask participants to draw different parts of their face or body one at a time. Be sure to give them body or face parts that are separated to make it more difficult for them (e.g., ask them to draw their left ear, followed by their left leg, followed by their hair, etc.). While it can either be a face portrait or a body portrait, do not get too complicated and have participants draw only 6 to 10 features. After they have completed their portraits get them to open their eyes and to share the drawings with those around them.
  - Concept: Vision, coordination/integration/connection and creativity are key concepts in successful strategic planning for LED. You must have vision to plan effectively. When you cannot see the whole picture certain elements are emphasized too much and others too little. Good portraits, like good LED strategies, are also integrated and connected (hands are connected to arms, not legs). Good LED strategies also require creativity to develop new ideas and actions.
- ❑ **Beans in a Jar:** During the introduction ask participants to guess the weight number of beans (or nuts) in a jar. Ask them to write it down and collect their guesses. Make sure that you have weighed and verified the weight of the jar yourself. Take time to calculate the average and identify the general “high guesses”

and “low guesses” (i.e., the outliers). Ask any outside presenters for their guesses and any one else who comes into the training room (e.g., servers, clean up staff, support staff, etc.) When you begin the module on Stakeholder Participation you can disclose the actual amount of jelly beans.

- Concept: The more people you ask the closer to their average answer will be to the real answer. So, in developing a plan for LED you would ideally like to ask as many people as possible to determine the ‘best’ way to develop. The key message is that the more people or stakeholders you include the “better” your final LED strategy should be.
- **Birthday Line:** Ask participants to stand up and arrange themselves around the room by their birth month and day. They are to do this without talking or writing on paper.
  - Concept: LED requires organization and communication, including, often non-verbal communication.

## Step 2: Stakeholders and Engagement



**Activity:** Simulation Tool – Stakeholder and Public Engagement Plan

**Time:** 45-minutes

**Materials:** Simulation Tool, flip chart

The City of Fictionali’s Department of Economic Development has received planning grants to prepare a Local Economic Development Strategy using a participatory approach. The total budget is currently US \$50,000 with a significant portion provided through an international agency to help support the overall process, including the project’s stakeholder participation and engagement, and to help bring in external support if needed. The anticipated time to complete the plan is 6-months to 1-year. The international agency requires an overall “Process Plan” that specifically includes a “Public Engagement and Stakeholder Plan” in order to release the funds for the project.

As staff members of the City of Fictionali, you have been tasked with developing this Process Plan and budget. Based on your understanding of Fictionali, sketch out the basic elements of a Process Plan that includes both a Public Engagement Plan and a Stakeholder Plan. Some of the questions the Public Engagement and Stakeholder Plan should answer are:

- How much public engagement is required? When? Who? How?
- What might you anticipate for stakeholder involvement? A support group, advisory group, partnership group? Who is involved? When do they meet? How are they organized?

To help develop the rough plan guidelines, Fictionali’s Department of Economic Development estimated some potential project costs. The Department itself will help support the project by providing staff support and can cover some basic in-house communication costs and translation services (for business survey, etc.). While this is not an exhaustive list, some potential items include:

- **External Facilitator/Technical Support:** This could be someone from the university or from the capital, or an external foreign expert. The cost will vary between \$3,000 to \$10,000 per trip (flight or in-country travel and accommodation expenses, etc.). A foreign advisor will cost closer to \$10,000 while an in-country advisor would be closer to \$3,000. What are the relative benefits, what do you need, etc?
- **Local Facilitator:** \$1,000 per month (limited experience in contemporary LED or strategic planning)
- **Advisory Group Meetings:** \$250 (assumes 15 members, \$10 honorarium, food)
- **Working Group Meetings:** \$50 (assumes 5 members, \$5 honorarium, food)
- **Focus Groups:** \$100 (assumes 5)



- Open House: \$1500 (room rental, equipment, food, information materials)
- Web site: \$450
- Newsletter and poster printing: \$800 per run
- Radio and cell phone text ads: \$3000 per run
- Business survey: \$3500
- Citizen survey: \$3500
- Data collection & literature review: \$450
- Mapping (community mapping): \$1,500
- OTHER???

### Step 3: Situation Assessment



**Activity:** SWOT Analysis

**Time:** 30-minutes to 1-hour

**Materials:** Simulation Tool, list of uncategorized SWOT issues, flip chart, tape

Each Simulation Tool includes an unsorted list of strengths, weaknesses, opportunities and threats for participants to identify and categorize. The small group activity helps participants analyze LED issues and learn that each can be categorized differently or under multiple headings, depending upon who is analyzing them and how. It will also help participants identify the differences between internal and external threats and opportunities.

In carrying out the activity, it should also become apparent that one of the major issues is the lack of an effective and efficient transportation link a between the communities of Fictionali and South Fictionali. This will be picked up in later activities.

The activity can be done in small groups and takes between 30-minutes and 1-hour to go through. Copies of the unorganized SWOT activities for distribution to participants are included in the accompanying Trainer's Guide CD.

## 5.2 Module 2: Where do we want to go?



The following subsection provides a number of activities than can be used for the two steps of Module 2. Additional activities can be found in Volume 3: Toolkit of the training series.

### Step 4: Visioning

**Visioning Tools:** The following tools are quite simple and not meant to take much time to do during a workshop. This is because crafting a vision statement during an actual strategic planning process is not meant to occupy more time than more constructively important components, like developing objectives and selecting strategy options, etc. Both of these activities take 30-minutes to carry out. In addition, these exercises are meant to stimulate thinking and “check in” to see where the group is. The vision statement can be revised many times through the process.



**Activity:** Newspaper Article

**Time:** 30-minutes

**Materials:** flip chart, tape

Ask participants to close their eyes and imagine opening up a newspaper in 15-years time and seeing the headline “Town X, A Wonderful Place to Live and Work”. Ask them to think about what they would like to read in the article’s first paragraph. In

the break-out groups have them discuss the elements of what is different between the present day and the qualities of the town as described in the newspaper. Have them discuss what needs to change. Next in a large group discussion, capture the main points and as a large group craft a draft vision statement.



**Activity:** Drawing the Future

**Time:** 30-minutes

**Materials:** blank paper, pens, pencils, flip chart, tape

This activity is similar to the newspaper article activity, except it involves participants using a blank piece paper to draw what they would like their community to look like in 15-years time. Participants can use words or pictures and can either work individually or in small groups depending on the size of the group. Give participants 10-minutes to work on their drawings and have them go around the room and have them share them with the larger group. In a group discussion, the facilitator will capture key concepts on a flip chart from which a draft vision statement can be crafted. Be sure to post the individual drawings on the wall next to the draft vision statement.

## Step 5: Objectives and Measures

**Objective Development Tools:** The following tools can be used in conjunction with *Toolkit* activities to help participants craft objectives from issues.



**Activity:** Problem Tree – Root Cause Analysis

**Time:** 45-minutes

**Materials:** blank note cards, markers, tape, flip chart, tape

This activity is designed to help participants understand the systematic cause-and-effect relationships around LED issues and objectives. It is modeled on Activity 5a-2 from the Tool Kit document and will help participants to visually see the causes of current problems and the real and potential barriers to achieving desired objectives.

Ask participants to identify a single LED issue that the group has identified in previous work. Write it on a card and post it on a wall. Ask participants to identify the cause of the problem. Put each answer on a card and post it on the wall below the issues card. When each card is posted, be sure to ask whether it is the root cause or if it is an effect of an even deeper cause. Rearrange and group the cards as more answers and causes are posted.

When the question/analysis has been exhausted, review the Problem Tree with participants and start linking the problem forward by asking participants how they know it is a problem. This question will produce a list of effects that the facilitator will capture on a card and post above the original problem card.

Once the effects analysis has been exhausted, review the Problem Tree. Ask participants what the desired end state would be (i.e., what is the root objective). Ask them about what outcomes could be expected when and if the symptoms or causes are cured. Restate the desired outcome as a concise objective.



**Activity:** Problem Tree – Means and Ends Objectives

**Time:** 45-minutes

**Materials:** blank note cards, markers, tape, flip chart, tape

This activity is similar to the other Problem Tree activity in its use of movable note cards. The activity will help participants understand and see the relationship between Means Objectives (i.e., those objectives that are subsidiary or secondary in



helping reach End Objectives) and End Objectives. In this activity, the facilitator writes all of the objectives identified by the group on cards and posts them on a wall. For each objective, the facilitator will ask participants what kind of objective it is and if it is related to any of the others. For an example of typical means-ends hierarchy, see Tool 5a-3, Issues to Objectives Matrix, in the *Toolkit*.



## 5.3 Module 3: How do we get there?

The following subsection provides a number of activities that can be used for the three steps of Module 3. Additional activities can be found in *Volume 3: Toolkit* of the training series.

### Step 6: Alternatives and Priorities

LED Actions/Strategy Options Development and Options Analysis Tools: The following activities can be used with the Simulation Tool and in conjunction with *Toolkit* activities to:

- Help participants identify LED actions
- Differentiate between project-level and strategy level actions
- Group LED actions into strategy options (if necessary – they can also be single LED actions)
- Compare and evaluate LED actions and/or strategy options against one another using structured decision making tools

While the activities are most effective if done together, they can be done independently.



**Activity:** What's the Issue – LED Action/Option Development<sup>3</sup>

**Time:** 20-minutes

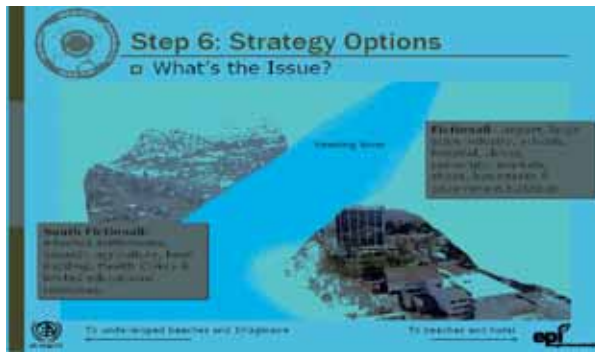
**Materials:** Simulation Tool, PowerPoint presentation, markers, tape, flip chart

This activity uses the simple, 5-slide “What’s the Issue?” PowerPoint. It is a good tool for interaction, plus it helps people to understand the value of brain storming and to expand the scope of thinking/solutions to undertake a more thorough analysis. In it, first, bring the participants back to the Simulation Tool. No matter which Simulation Tool the facilitator is using, every Fictionali faces one similar problem – the Yawning River hinders traffic and trade flow between the larger, primary community (Fictionali) and a smaller, informal community on the other side of the river (South Fictionali).

Next, lead the participants through the PowerPoint slides called “What’s the Issue” (Day 4 – 5-Day Workshop or Day 3 – 3-Day Workshop). Discuss the overarching, high level strategic action (i.e., making the connection better between the two centers now separated by the river) and its relationship to LED. Next, get the participants to brainstorm on specific actions (e.g., building a bridge) that could be undertaken to solve the issue. This should take 5-minutes.

Be sure to capture their suggestions on a flip chart or black board. Next, review the slide that illustrates how the community solved the challenge (i.e., by building a dam). Discuss the importance of being creative when developing options and of generating a large number of options (or LED actions) to evaluate and compare against one another.

<sup>3</sup> Adapted from an exercise created by Robert Mellor, an international development expert.



Screen Shot from the PowerPoint Presentation – What's the Issue



**Activity:** Crossing the River: Making the best decision you can (Technical Option Analysis)

**Time:** 1.5 hours (5-day workshop), 60-minutes (3-day workshop)

**Materials:** Options Analysis tool (Microsoft Excel file “River Crossing.xls” found in the CD), What's the Issue PowerPoint presentation, markers, tape, flip chart, tape

In this activity, participants are introduced to a basic, Microsoft Excel-based Option Analysis model (or Portfolio Assessment as it sometimes referred to) that has been developed to assess different methods of improving transportation links across the Yawning River in Fictionali. The 5-step activity allows participants to examine the impacts, costs and benefits of several waterway crossing options and compares how each would perform against the overall LED objectives and project specific objectives. It builds on the “What's the Issue?” activity, as many of the different methods of crossing river are carried over and inserted into the model to be evaluated against one another.

This technical analysis differs from traditional cost-benefit analysis in that costs are included alongside other objectives, and may or may not be the most influential objective depending on stakeholder ranking. In traditional cost-benefit approaches the relative benefits (e.g., the number of people transported, the number of people employed, etc.) are balanced against the cost of implementation.

In the technical analysis, however, benefits are translated into objectives. In this case, ‘cost’ is translated into the objective, “Minimize costs of implementation and operation”. In a technical analysis, the cost objective is ranked by its relative importance in comparison to all other objectives. This is one of the key advantages of the technical analysis over cost-benefit analysis: it allows for comparisons to be done between different options, through dominance analysis, without reducing comparisons to purely a cost issue (i.e., number of people transported per \$ spent).

In sum, the technical analysis allows for many more issues and values to be incorporated into the decision framework without necessarily increasing the complexity of the problem. It permits ‘local values’ to be represented by objectives and isolated from the ‘facts’, which are technical scores. Technical analysis can also incorporate expert judgment and be used as a rapid assessment tool for community engagement to narrow down the potential options, whereupon a more traditional cost-benefit analysis could be conducted on the remaining options. This saves both time and effort in evaluating options, as the cost-benefit analysis is used only on options which have more fully and broadly evaluated through the technical analysis phase.

There are five parts to the activity. Each one corresponds to one of the pages on the Excel model. While the model may seem technical at first glance, it is relatively straightforward and the concepts behind it are simple. The key concepts are:

- Technical analysis helps keep people focused on meeting the objectives when choosing between actions/strategy options.
- Values and facts are both incorporated but kept separate, so “perceptions” are eliminated.

- It is a transparent tool can be used to help frame discussions, to illustrate how decisions can be made more strategically and for communication.
- It is a decision support tool. It does NOT make the decisions.

### Activity Instructions

1. For participants in a 5-day workshop, hand out the activity sheets (preferably before the break). These are found in the Appendix of the Trainer's Guide and on the accompanying CD.
2. Explain that there are 5 parts to the activity and that each one corresponds to one of the steps that will be taken with the model.
3. Use the power point slides to discuss what the key concepts are for the technical analysis.
4. Take them through the situation and briefly discuss the options that appear on page 2 of the handouts.
5. Walk them through the activities. Remember, all of the steps can be done in plenary if there are time constraints. For the 3-day workshop, there are only 30-minutes to go through the model, so all the steps will be done in plenary.

### Notes:

- In the 3-day program there is only one group activity at the beginning. The model is then looked at and discussed briefly (45-minutes) in plenary (use one or two participants to go through it with you).
- In the 3-day and 5-day programs there is a break-out group activity for Part 1 and a break-out group activity for Part 2 for 5-day program participants only. All other parts of the model are to be gone through in plenary (use one participant to go through it with you).
- Depending on time, some 5-day group activities can be done in plenary.
- The first four handout pages should be given out before the exercise. The last two pages of handouts should be handed out after Part 1 of the activities. Copies of the handouts are in the Appendix.
- IMPORTANT: Familiarize yourself with the Excel tool before demonstrating it! If you do not understand it, neither will the participants.
  - Always start a new analysis – click the 'Start new analysis' button to clear information from cells to carry out a new analysis.
  - As you move through the model use the white navigation buttons on the bottom of the pages to move forwards or backwards. From the menu on the first page you can jump to any page on the model.
  - Move the cursor over the red triangles in the upper right hand corner of cells to get more information. When you do this, a note box will appear.

### Options Analysis Tool worksheets:

1. Main Menu
2. Data – Consequence Matrix
3. Revised Consequence Table
4. Objective Weighting
5. Options Score Sheet
6. Reassessment

### Part 1 – Eliminating weak options

**Time:** 20 minutes for 5-day and 3-day workshops

**Group size/approach:** Small groups

Pass out 'Handout 1' and "Handout 2" (or if they were handed out the previous day for 5-day workshops, get participants to find it) and go to sheet 2 - Data – Consequence Matrix on the Excel model. Get participants to read over the handouts.

Before getting the participants into groups, explain the concept of measurement, what is meant by direction ( i.e., wanting to increase something – like employment; or wanting to decrease something – like expenditure and costs). Be sure to mention the importance to note direction when looking at a Consequence Matrix. Also briefly discuss the ideas behind dominance and redundancy, being sure to remind them of the “Buying a plan ticket” activity.

Break participants into their work groups and ask them to read over and take 15-minutes to discuss and see whether any objectives can be eliminated because the difference between the alternatives is small. Ask them also to see if there are any options or alternatives that could be eliminated because there are others that are clearly ‘better’ at meeting the objectives.

When going through the activity, it will likely become evident to participants that the “Do nothing”, “Tunnel” and “Pedestrian – Bicycle Bridge” options can be struck out.

### *In Plenary*

Get the groups to return to plenary and ask participants what, if any, objectives were eliminated and what, if any, options were eliminated. Using the Excel model, now go to sheet 3 - Revised Consequence Matrix and discuss the following (Note: not all groups will have come up with the same outcomes):

- The Safety objective was removed because all the results are very similar - they are either the same, or they are so close that the level of error in their measurements would not be accurate enough to distinguish a difference between any alternative.
- The Tunnel option was removed because the bridge was better or just as good in meeting all objectives.
- The Pedestrian - Bicycle Bridge option removed because the municipal ferry alternative is better.
- The Municipal Revenue objective removed because a difference of going from < \$5,000 to between \$5,000 - \$10,000 is too small a difference to worry about. Remember this is for explanation purposes.

Pass out “Handout 3” (or if it was handed out the previous day for 5-day workshops, get participants to find it) and, for 5-day workshop, get participants into their break-out groups.

### *Part 2 – Revised Consequence Matrix – Technical Score (Excel program)*

**Time:** 10 minutes for 5-day workshops, 10-minutes for 3-day workshops

**Group size/approach:** Plenary for 3-day and 5-day workshop groups

Go to Sheet 3 - Revised Consequence Matrix. Here we are assigning the Technical Score to the alternatives. The Technical Score represents the FACTS of how well the various alternatives meet the objectives. Developing appropriate scales for comparing the facts can be complicated, particularly when the difference between values can be deceiving.

For instance comparing costs may not be so straight-forward. An absolute comparison between \$50,000 (i.e., <\$200,000 - for enhancing water taxis) versus \$2 million (for building a new bridge) may not be appropriate. Is building the bridge really 40 times less desirable in terms of money? Are there national or international sources for funding? Can money be raised through the private sector? A simple comparison may, or may not be appropriate. With a more detailed study, an appropriate scale could be developed for all the objectives. For simplicity, a range of scales have been used to look at the options. For instance:

### **Objective: Minimize Cost of Implementation and Operations**

	(\$2 m >)	(\$1-2 m)	(\$0.5-1 m)	(\$0.2-0.5 m)	(\$0-0.2 m)
Impact in meeting objectives	Low	Medium-Low	Medium	Medium-High	High

### *Part 3 – Weighing objectives (Excel program)*

**Time:** 20 minutes for 5-day workshops, 10-minutes for 3-day workshops

**Group size/approach:** Plenary for 3-day and 5-day workshop groups

Go to sheet 4 - Objective Weighting in the Excel model. Explain to participants that weighting represents the importance of impact on each objective and that it is at this point that local VALUES are again incorporated in the decision process. The first time they were incorporated was in the Consequence Matrix (the foundation of the evaluation). Explain that if a discussion were conducted using only the Consequence Matrix it would still be of great benefit, but that the weighting exercise will take it a step further and help take into account people's values.

In looking at the objectives, some people may view "minimizing cost" as more important an objective than "increasing direct employment". However, the important question is not which of these absolute objectives is more important, and thus should have more weight in the decision-making; but rather, based on the alternatives, which of differences in the objectives in going from the worst to best case is the most important. This is called 'Swing weighting'.

In this case, the difference between spending \$2 million and less than \$200,000 may be more important than the difference between having more than 35 full time employees and less than 10 full time employees.

The objectives, and their weight, represent the VALUES and what is important to the stakeholders in the decision-making. They are weighted separately based on the relative importance of each objective in the specific situation with respect to the specific alternatives - and NOT the absolute importance of the objectives (see the discussion above). Follow the explanations in the Excel sheet under Rank and Weight.

Weight	Rank
<p><b>Step 1-</b> Examine the DIFFERENCE between the best and worst of the objectives.</p> <p><b>Step 2-</b> Give the DIFFERENCE that is most important a '1' - and give the least important a '3'; the remaining one is assigned a '2'</p> <p><b>NOTE:</b> In doing rankings it is important to start with the most and the least important - the high then low - this helps frame the other ranks. This is called making 'Bookends'</p>	<p><b>Step 3</b> Now set the number 1 rank to 10 - it is the most important and so gets the highest score.</p> <p><b>Step 4 -</b> Now take your lowest rank (3) and evaluate what % of importance it is in relation to the 10. For example if it is only 1/2 as important it would be 5.</p> <p><b>REMEMBER IT IS THE DIFFERENCES BETWEEN WORST AND BEST THAT WE ARE STILL CONSIDERING!!!</b></p> <p><b>Step 5</b> Do the same for the remainder of the Differences.</p> <p><b>Note:</b> it is good to start with the highest then the lowest to make 'book-ends' of the evaluation.</p>
<p><b>Remember:</b> It is the difference we are weighing against each other.</p>	

**Part 4 – Score Sheet (Excel program)**

**Time:** 20 minutes for 5-day workshops, 10-minutes for 3-day workshops

**Group size/approach:** Plenary for 3-day and 5-day workshop groups

Go to sheet 5 – Options Score Sheet on the Excel model and review with participants. Explain that the sheet is the summary of the technical analysis they have just gone through. There are three columns for each Alternative:

1. the Value Weight (from Part 2).
2. the Technical Score (which is derived from ratings- see below)
3. the Overall Score which is the Value Weight multiplied by the Technical Score

Explain to participants again that the importance of looking at these elements independently is that the technical analysis minimizes bias. If the preferred alternative of a certain party may be building the floating bridge, it is less likely that that option will prevail while analyzing all elements independently (objectives, impacts and feasibility). Bias is thus reduced and transparency maximized.

The impacts of the alternatives have been assessed relative to the specific objectives

The Technical Score represents of the FACTS of how well the various alternatives meet the objectives. Developing appropriate scale for comparing the facts can be complicated, particularly when the difference between values can be deceiving.

## Objective: Minimize Cost of Implementation and Operations

Fact	(\$2 m >)	(\$1-2 m)	(\$0.5-1 m)	(\$0.2-0.5 m)	(\$0-0.2 m)
Impact in meeting objectives	Low	Medium-Low	Medium	Medium-High	High
Technical Score	1	2	3	4	5

Recall here that the lower the cost, the higher the impact in meeting the objectives, and thus the higher the technical score.

The Total Overall Score is given at the bottom of the table for each of the alternatives. It is sum of the overall scores for each alternative.

### Part 5 – Reassessment

Time: 20 minutes for 5-day workshops, 10-minutes for 3-day workshops

Group size/approach: Small groups for 5-day workshops, plenary for 3-day workshops

After reviewing the score sheet (on Sheet 5), review the feasibility for the selected action to be implemented. Go to the sheet 8 – Reassessment on the model and go through the questions. Get participants to discuss the issues relating to feasibility with respect to the various options. Is the alternative with the highest score still the ‘best alternative’? If so, why? If not, why? What is the ‘best alternative’?

This final screen will help ensure that the best option has been selected.



**Activity:** The Neighbourhood Tree – Interest-based Negotiation

**Time:** 30-minutes

**Materials:** markers, tape, flip chart, tape

This activity sets up a situation where two participants will play the role of neighbours negotiating the fate of a tree that straddles their properties. The activity introduces participants to interest-based negotiation (as opposed to position-based) and its application in analyzing strategy options. The activity highlights the concept that by focusing on interests rather than positions can lead to many more ‘options’ or alternatives being developed.

For the activity, get two participants to volunteer to play the neighbours. Give each their background card which will identify their position and their underlying interests. The participants will not share the information with each other. As an option, and if time permits, you can get a third volunteer to play the role of facilitator for the activity. Their role will be to move the two neighbours off of their positions (e.g., cut down the tree) and to discover their underlying interests (e.g., to avoid cleaning up leaves from the tree). The workshop facilitator can support them in this role.

**Background story:** Two identical houses were built beside each other. When the houses were bought, 20 years ago, the owners decided to plant a tree between them as part of the fence separating their back yards. The grown tree now casts a shadow over House-A in the morning and a shadow over House-B in the afternoon. The tree is now old, very large, drops many leaves and is home to particularly beautiful family of birds.

Over the years the owners had become good friends, and they watched as their children grew up and played in their yards.

Recently the owner of House-A has asked that the tree be chopped down. They say they want to have the morning sun for their garden, they don’t like the sound of the birds and the leaves are falling on the roof and starting to create a problem. They are old and they do not want to have to look after all the problems with the tree. The owner of House-B says he likes the tree, it is an old friend, and it shades him in the afternoon sun as he takes a nap.

*NOTE: Story adapted from Pacific Resolutions*



## The Neighbourhood Tree Interest-based Negotiation Activity: Player information cards

### NEIGHBOUR A - For your information only!

*Your position: Chop down the tree.*

*Your underlying interests:*

- *The tree only provides shade in the morning. You want garden with morning light.*
- *You are tired of having to clean up the leaves every year.*
- *You remember when the tree was much smaller. You liked the tree when it was not so big.*

*You need to find a solution to this tree. Your neighbours have been good friends and you hope that they are willing to meet your needs.*

### NEIGHBOUR B - For your information only!

*Your position: Leave the tree standing*

*Your underlying interests:*

- *You would like to sit outside in the shade for your morning tea, but the tree only shades in the afternoon.*
- *You like watching the birds.*
- *Your son has offered to help out with cleaning the leaves and the deadfall to use as fire wood.*

*You need to find a solution to this problem. You are concerned it will damage your relationship with your neighbours.*

### FACILITATOR - For your information only!

**Your role:** To determine what the participants' positions are (e.g., cut down the tree) and to move them from this to an interest-based negotiation (i.e., discover the reasons, objectives or interests behind their positions).

To discover **underlying interests:**

- Keep asking "Why?" (i.e., Why do the neighbours either want to keep the tree or cut it down?)
- Look for potential solutions that could meet both neighbours interests (i.e., could the tree either be saved or cut down while still making both neighbours happy?).

You need to find a solution to this problem. You do not want the neighbours' relationship to be damaged.

## Step 7: Action Planning



**Activity:** Following Instructions:

**Time:** 10-minutes

**Materials:** blank pieces of A4 paper and instructions for the instruction giver.

This short ice-breaker/energizer style activity highlights the importance of clear and concise writing when creating and documenting an LED strategy (or any plan for that matter) for other groups and agencies to follow.

For the activity, divide participants into groups of two. Hand one person a blank piece of letter paper and the other the instructions to construct a paper airplane. The person with the instructions cannot share their instructions with the other person. Have the person with the instructions read them to the person with the blank paper. Instructions can be repeated only twice. After five minutes have the groups compare their airplanes (or whatever else they ended up making!). The chances are that there will be mix of models and types. Even though the instructions were relatively clear, it illustrates how the same instructions can yield different results. Ask participants

where they experienced difficulties and discuss the underlying concept of the activity. Ask participants if they have had any experiences with poorly written or confusing instructions, documents, policies and strategy documents.

**Step 1:** Find a piece of paper shaped like a rectangle

**Step 2:** Place the paper on a table with one of the long edges closest to you.

**Step 3:** Fold the paper in half lengthwise. When the two edges match up, use your thumb to make a sharp crease along the fold. The crease should be at the bottom.

**Step 4:** Take the upper left corner of the top layer of paper and fold it diagonally down toward the first crease you made. When the edges match up, use your thumbs to make a sharp crease along the new fold, which should create a small triangular flap.

**Step 5:** Turn the paper over. Take the upper right corner of the top layer of paper and fold it diagonally toward you, until the edges line up with the first crease you made. When the edges match up, make a sharp crease along the new fold. (This is a mirror of what you did in Step 4)

**Step 6:** Take the newly formed diagonal edge on the right side of the paper, and fold it straight down toward the first crease you made. When the edges match, make another sharp crease.

**Step 7:** Turn the paper over, and again fold the diagonal edge down toward the first crease you made; make another sharp crease. The paper should now look like a triangle with a 90-degree angle.

**Step 8:** Flip the paper over and repeat steps 6 and 7. (Note: Remember, if you have read either Step 6 or 7 twice already, you cannot read them out again.)

**Step 9:** Hold the paper in one hand along the first crease you made. Let the newly folded pieces of paper flare out.

## 5.4 Module 4: Have we arrived?

The following subsection provides a number of activities that can be used for the two steps of Module 4. Additional activities can be found in Volume 3: Toolkit of the training series.



### Step 9: Monitor and Evaluate

**Monitoring and Evaluation Tool:** The following tools can be used to help introduce participants to monitoring and evaluation. Facilitators can choose any of the following activities, or select their own.



**Activity:** Birthday Party Indicators

**Time:** 30-minutes

**Materials:** blank note cards, markers, tape, flip chart, tape

Hand out a blank piece of paper to participants and ask them to draw what a successful birthday would look like. Participants can use words or pictures and can either work individually or in small groups depending on the size of the group. Give participants 5-minutes to work on their drawings and have them go around the room and have them share them with the larger group. Next ask the individuals or groups to create a short list of both qualitative (e.g., fun, laughter, etc.) and quantitative (e.g., number of guests, number of presents, amount of food consumed, time people stay, etc.) indicators. Have participants share their lists with the larger group. Ask them how they could collect this information? Who would collect it? How would it be shared? What impact would it have on the party (i.e., how could the party be adjusted to make it better)? If time permits, get participants to do another exercise in a higher ordered scale, possibly using one of the actions already identified by the group. Be sure to post the individual drawings on the wall.



## 5.5 Other Training Tools

There are other training resources and tools that facilitators can use for their workshops. The following section highlights a set of additional tools and tips for trainers to use during their workshop activities.

### Tools

- ❑ **Carousel Exercise:** This approach can be used for any of the longer break-out activities. In it, participants break out into groups to conduct exercises (e.g., by municipality, country, region, etc.) as directed by the facilitator. Each of the groups is asked to appoint an 'ambassador' who will be asked to visit other groups to build collaboration and exchange knowledge at some point during the activity. The approach helps build and reinforce collaborative working styles and highlights the importance of open knowledge sharing and information transfer when building effective LED strategies.
- ❑ **Study Trips:** If the workshop is being held in or hosted by a municipality that is actively involved in LED, a study trip or field visit to a project site(s) can be helpful for participants to experience what LED looks like on the ground. Past workshops have included trips to municipally-supported informal sector markets, co-operative business ventures, micro credit facilities and innovative public-private business ventures.
- ❑ **Videos:** Video is increasingly used in stakeholder engagement activities and can be used in a number of ways during a workshop. Short video clips can be used to illustrate core concepts (e.g., sustainable development, poverty reduction, water, etc.) and short videos or mini-documentaries (i.e., 5 to 10 minutes) can be shown to illustrate LED. Video can be a powerful tool to stimulate interactions and discussions.
- ❑ **Workshop Slideshow:** If there are resources available, the longer workshops should be photo documented and a PowerPoint slide show on the training session can be prepared to be shown at workshop closing. The slide show provides participants with an opportunity to reflect on the workshop and the work they did during it and can be a pleasant and fun way of ending the workshop. Copies can also be made available to participants to take home as a souvenir.



# 6. Post Training Evaluation Tools

## 6.1 Facilitator Evaluation Tool

Each training session offers many new learning opportunities for facilitators and trainers. The following standard workshop evaluation form should be completed at the end of each training session. It will help facilitators learn about areas to improve or modify their approach and/or tools they choose to use.

### Workshop Evaluation

Our objective is to deliver workshops that are informative and relevant to local challenges. To assist us in the future please take a few minutes to answer the questions below.

**PART 1.**  
 Evaluation score : 1=strongly disagree; 2=disagree; 3=neither; 4=agree; 5=strongly agree

1. The objectives of the workshop were clear	1	2	3	4	5
2. The workshop was well delivered and effective	1	2	3	4	5
3. The workshop material was useful and well structured	1	2	3	4	5
4. I will use the training materials in my current work	1	2	3	4	5
5. Topics were sufficiently covered	1	2	3	4	5
6. Senior trainers/facilitators demonstrated knowledge and understanding of topics	1	2	3	4	5
7. Workshop was well facilitated and conducted in a professional manner	1	2	3	4	5
8. The break-out groups were useful	1	2	3	4	5
9. The break-out groups were well facilitated	1	2	3	4	5
10. The case studies were relevant and helpful	1	2	3	4	5
11. My knowledge and skills increased as a result of this workshop	1	2	3	4	5
12. The workshop produced substantial results that will likely be implemented	1	2	3	4	5
13. Overall, I was satisfied with having attended the workshop	1	2	3	4	5

**PART II**  
 On the back of this page, please provide general comments and answers to the following questions:

1. What aspects of the workshop did you find most useful?
2. What did you find most effective in terms of the design and delivery of the workshop?
3. What would you change to improve the delivery of the workshop (please comment in general and provide comments for issues rated 1, 2 or 3 above)?

## 6.2 Long-Term Evaluation

This Guide, like the LED strategic planning process it profiles, is meant to be both flexible and adaptable. While the training tools it presents are based on in-the-field and in-the-classroom experience, it is expected that the tools will change and be adapted by different trainers and, hopefully, that new tools will be added in later editions based on the experiences of the new trainers. To help in applying the 10th step of strategic planning process to this guide — Adjust and Modify – this section outlines how trainers can both monitor the impacts and outcomes of their training sessions in participants’ communities, and how best to share this and other important training lessons learned with a broader community of LED trainers.

Both UN-HABITAT and EcoPlan hope to capture, record, track and share this valuable and important information with both trainers and the communities benefiting from strategic planning for LED. Ultimately, an on-line clearing house and LED information portal will be established. In the short term, feedback and information can be sent to [led@ecoplan.ca](mailto:led@ecoplan.ca) where it will be used to help generate a semi-annual e-newsletter called the LED Update. An LED trainers’ list serve may also be established.

- ❑ **Training Outputs and Impacts:** Facilitators should follow up with participants (of 3-day and longer workshops) at six months, 12 months and 18 months after the workshop to see how, and if, any of their LED actions have been applied in their home communities. Questions to ask include:
  - Have any of the lessons learned at the training workshop been applied?
  - Have they worked or been helpful in advancing LED at the local level? How?
  - Have any of the actions outlined in the participants’ LED Action Plans been implemented?
  - Which ones?
  - Has there been an impact on the community? What is the impact?
  
- ❑ **Learning Lessons and Process:** Ultimately, every facilitator will use this guide differently and deliver training sessions that incorporate their own personal style and experiences. It is expected that trainers will adopt “favourite” activities and, potentially, develop new tools or modify existing ones. To help share these lessons with other trainers and to track the use of the guide, some questions we would like your feedback on include:
  - What activities worked best?
  - Which activities were not as successful and why?
  - What new tools or approaches, if any, did you incorporate in the training session?
  - Did you modify existing tools to better fit your program? How? What was the result?

We would also like you tell us about the workshops. Where were they held? How many people participated? What agencies or individuals helped in its delivery? Please send your feedback to [led@ecoplan.ca](mailto:led@ecoplan.ca) or [tcbb@unhabitat.org](mailto:tcbb@unhabitat.org)

# APPENDICES

## APPENDIX 1 – AGENDAS

### FIVE DAY AGENDA

#### DAY ONE: Context & Background

- 08:30 hrs Registration
- 09:00 hrs Formal Introductions, Ice Breaker, 'Housekeeping' and Participant Introductions
- 09:45 hrs Detailed Agenda, Expectations and Workshop Objectives
- 10:30 hrs **Break**
- 11:00 hrs The local and national contexts – overview presentations (local presenter - optional)
- 12:00 hrs **Lunch**
- 13:00 hrs Overview of LED, Strategic Planning and the Training Series
- 13:30 hrs Examples of Strategic Planning for LED: The case of Horezu, Romania (or other case study)
- 14:30 hrs **Break**
- 15:00 hrs Module 1: Where are we now?  
STEP 1: Getting Started  
STEP 2: Stakeholders
- 15:30 hrs Activities
  - *Introduction of Simulation Tool*
  - Tool 2a: Stakeholder Identification
  - Tool 2b: Stakeholder Analysis Matrix
- 16:30 hrs Wrap-Up and Review

#### DAY TWO: Modules 1 & 2

- 09:00 hrs Module 1: Where are we now?  
STEP 3: Situation Assessment
  - Tool 3d: Complementary & Comparative Analysis
  - Tool 3i: SWOT Analysis
  - SWOT activity
- 10:30 hrs **Break**
- 11:00 hrs Group discussion and presentations
- 11:30 hrs Module 2: Where do we want to go?  
STEP FOUR: Visioning
- 12:00 hrs **Lunch**
- 13:00 hrs Activity
  - Tool 4a: Developing a Vision
- 14:00 hrs STEP FIVE: Setting Objectives
- 14:30 hrs **Break**
- 15:00 hrs Setting Objectives  
Activity
  - Tool 5a: Working with Issues & Objectives
  - Tool 5a-2: Cause-Effects-Outcome
- 16:30 hrs Wrap-Up and Review

**DAY THREE: Modules 2 & 3**

- 09:00 hrs Setting Objectives continued  
Activity
- Tool 5a-3: Issues to Objectives Matrix
  - SMART Performance Indicators
- 10:30 hrs **Break**
- 11:00 hrs Activity
- Tool 5b: Simple Strategic Prioritization Tool
- 12:00 hrs **Lunch**
- 13:30 hrs Module Three: How Do We Get There?  
STEP SIX: Identifying and Evaluating Alternatives
- 14:00 hrs Activity
- Tool 6a: Creating Strategy Options
  - Tool 6b: Organizing Strategy Options
- 14:30 hrs **Break**
- 15:00 hrs Activity
- *Options and Option Analysis*
  - *Creating Alternatives: What's the Issue?*
- 16:30 hrs Wrap Up and Review

**DAY FOUR: Modules 3 & 4**

- 09:00 hrs STEPSIX: Evaluating Alternatives continued  
Activity
- *Crossing the River: Options Analysis*
- 10:30 hrs **Break**
- 11:00 hrs STEP SEVEN: Action Planning and Strategy Documentation
- 11:20 hrs Activity
- Tool 7a: *Action Planning Frameworks*
- 12:00 hrs **Lunch**
- 13:00 hrs Activity
- *Action Planning and Clear Communication*
- 13:30 hrs STEP EIGHT: Organization and Implementation
- 14:00 hrs **Break**
- 14:30 hrs Module Four: Have we Arrived?  
STEP 9: Monitor and Evaluate  
STEP 10: Adjust and Modify
- 15:00 hrs Activity
- Tool 9a: *Developing a Monitoring Framework*
- 16:00 hrs Wrap Up and Review

**DAY FIVE: Review and Action Planning**

- 09:00 hrs Review  
STEPS 1 to 10
- 09:30 hrs Action Planning in Practice – What will we do in the next 18 to 24 months?
- 11:00 hrs Action Planning in Practice
- Group discussion and presentation of plans
- 11:30 hrs Feedback on workshop and evaluation
- 12:00 hrs Final comments and closure

## THREE DAY WORKSHOP

### AGENDA – Three Day LED Training Workshop

#### DAY ONE: Context - Module 1: Where are we now?

- 08:30 hrs Registration
- 09:00 hrs Formal Introductions, Ice Breaker, 'Housekeeping' and Participant Introductions
- 09:45 hrs Detailed Agenda, Expectations and Workshop Objectives
- 10:30 hrs **Break**
- 11:00 hrs Overview of LED, Strategic Planning and the Training Series
- 12:00 hrs **Lunch**
- 13:00 hrs Examples of Strategic Planning for LED: The Case of Horezu, Romania (or other case study)
- 13:45 hrs Module 1: Where are we now?
  - STEP 1: Getting Started
  - STEP 2: Stakeholders
  - STEP 3: Situation Assessment
- 14:30 hrs **Break**
- 15:00 hrs Activities
  - *Introduction of Simulation Tool*
  - *SWOT Analysis – Simulation Tool*
- 16:30 hrs Wrap-Up and Review

#### DAY TWO: Module 2

- 09:00 hrs Module 2: Where do we want to go?
  - STEP FOUR: Visioning
  - STEP FIVE: Setting Objectives
- 09:45 hrs Activity
  - *Tool 4a: Developing a Vision*
- 10:30 hrs **Break**
- 11:00 hrs Activity
  - *Tool 5a: Working with Issues and Objectives*
- 12:00 hrs **Lunch**
- 13:00 hrs Working with Issues and Objectives (continued)
  - Activity
    - *Tool 5a-3: Issues to Objectives Matrix*
    - SMART Performance Indicator
- 14:30 hrs **Break**
- 15:00 hrs Activity
  - *Tool 5b: Simple Strategic Prioritization Tool*
- 16:30 hrs Wrap-Up and Review



**DAY THREE: Modules 3 & 4**

09:00 hrs	Module Three: How Do We Get There? STEP SIX: Identifying and Evaluating Alternatives
09:30 hrs	Activity <ul style="list-style-type: none"><li>- <i>What's the Issue?</i></li><li>- <i>Strategy Options &amp; Intro to Technical Analysis</i></li></ul>
10:30 hrs	<b>Break</b>
11:00 hrs	Activity <ul style="list-style-type: none"><li>- <i>Crossing the river: making the best decision we can</i></li></ul>
12:00 hrs	STEP SEVEN: Action Planning and Strategy Documentation STEP EIGHT: Organization and Implementation
12:30 hrs	<b>Lunch</b>
13:30 hrs	Module Four: Have we Arrived? STEP 9: Monitor and Evaluate STEP 10: Adjust and Modify
14:00 hrs	Review: STEPS 1 to 10
14:30 hrs	<b>Break</b>
15:00 hrs	Action Planning in Practice – What will we do in the next 18 to 24 months?
16:00 hrs	Feedback on seminar and evaluation
16:30 hrs	Final comments and closure

**ONE DAY WORKSHOP****AGENDA**

09:00 hrs	Introductions
09:30 hrs	LED and Strategic Planning: an overview
10:30 hrs	<b>Break</b>
11:00 hrs	Context specific LED discussion (topic TBD)
12:30 hrs	<b>Lunch</b> <ul style="list-style-type: none"><li>- Guest Speaker</li></ul>
13:30 hrs	Context specific LED discussion continued (topic TBD)
14:30 hrs	<b>Break</b>
15:00 hrs	Summary review of 10-Step strategic planning for LED process STEPS 1 - 10
16:30 hrs	Review and Q&A

## APPENDIX 2 – MUNICIPAL DEVELOPMENT SIMULATION TOOLS

### APPENDIX 2.1: Case A: City of Fictionali

#### Overview

Located in East of Continent A, Fictionali is a medium-sized port city situated on the central coast of the Republic of Imagina. It is the provincial capital and administrative and service centre for the surrounding region. It is the country's third largest city. It is located 450 kilometres from the country's capital and 60 kilometres from the smaller coastal city of Imaginaire, with which Fictionali competes with to be the regional centre for agriculture and tourism.

In 2001, Fictionali had a population of almost 1.7 million inhabitants with a growth rate of 2.4%. It has a population density of 574 persons per square kilometer. There is considerable poverty and a large informal economy. The average income is \$1,000 USD a year.

The City of Fictionali's Department of Economic Development (a Director and an Assistant) has received a small planning grant from the central government to prepare a Local Economic Development Strategy using a participatory approach. The initiative is a pilot project that the national government is hoping to replicate in other cities if successful. Additional funding and technical assistance has been provided through a UN agency. In total, Fictionali has raised about 75,000 Afrasian Ringas (about U.S. \$50,000 for the study), not including the staff time and support that the City has agreed to put towards the project.

#### The National Economy

The Imagina economy is primarily based on mining, rubber, timber and agricultural processing, with principal commercial crops being cocoa, coffee, tobacco, cotton and bananas. Rubber products make up roughly one third of Imagination's exports. Mining accounts for 20% of all exports, and copper 70% of mineral exports. Timber is also a major export accounting for 10% of all exports. Most timber is exported as semi-processed lumber for furniture and building in Europe. Tourism currently accounts for less than 12% GDP.

The economy reached rock bottom in the 1980's with a fall in the rubber, copper, timber and agricultural prices. Since then the economy has benefited from reforms to promote good governance, transparency, and accountability in both public expenditure management and tax administration. The banking system has been rehabilitated and some progress has been made under a privatization program.

There has been a considerable devolution process in the national government that has resulted in the transfer of considerable responsibilities to local governments. Unfortunately, there has not been a corresponding increase in funding to local governments, most of whom face considerable challenges in financing the additional services they are meant to provide.

Imagina has a significant rural population, accounting for about 50% of the population. A 2001 census suggested that up to 60% of the rural population was living in poverty. Rural populations have been migrating increasingly to Imagination's urban centres like Fictionali and Imaginaire, placing greater and greater demands on infrastructure and urban resources.

A nationwide study in 1993 showed that the informal economy through unlicensed small and micro-enterprises constituted an estimated 28% of the national economy. The same study determined that they represented the majority of the workforce nationally and were essential for community well being and economic diversity.

## The Local Economy

Fictionali grew rapidly during the mid-1800's as a port for rubber, timber, and copper exports. It was a major port and with rail links to the capital which is also the country's main trade centre. These rail links have deteriorated with the increased use of roads and poor resource prices. The growth of agriculture in other countries and the opening alternative transportation routes that bypassed the city led to a down turn in the local economy. While the city benefited from new industrial developments in the 1960's and 1970's, it faced fierce competition from regional cities.

Unemployment is some of the highest in the country at 27%. Fictionali has gained the reputation of being a dangerous place where petty crime and assaults are commonplace, often blamed on the many youth gangs that roam the city and have a reputation for being active at night. This unfortunate image is not founded on fact as studies have shown that crime in the city is no greater than the national average.

The city has a relatively diverse economy based on trade and commerce, tourism and manufacturing. Trade has been damaged by regional and intra-national instability and conflict, lack of investment in infrastructure, external shocks and poor management of the national economy. The total volume of cargo traffic (8.5 million tonnes in 1998) has stagnated. More recent, small annual increases (0.5% per year) can be attributed to increased imports rather than export growth. Operation of the port is also hindered by poor rail and road transport links within the city and to the surrounding region and by congestion and mismanagement. The Port Authority is generally regarded as inefficient.

### *Tourism*

Mass tourism grew in the 1980s, with most tourists visiting the beaches to the north of Fictionali where large foreign owned hotels, many now becoming run-down, dominate the waterfront. Little planning, design or other development control was implemented. The tourists that visit the area have always avoided the run-down, but historic colonial old city in the heart of Fictionali.

The beaches to the south of South Fictionali are spectacular and still relatively pristine and undeveloped. They have been preserved largely by the transportation challenge created by the Yawning River which can only be crossed in private "taxi boats", or by an old and often congested bridge that is located 15km outside of the city. There are also mangrove swamps at the mouth of the river and a large, relatively intact wetland area that's beginning to attract eco-tourists. The finest beaches are located in Imaginaire and along the coast between South Fictionali and Imaginaire. Several small up-market resorts have located in Imaginaire. There are wildlife viewing opportunities at the Soggy Wetlands near the port at the mouth of the Yawning River.

Despite upgrading of Fictionali's airport, tourism declined in the 1990s, due to deteriorating infrastructure, inadequate promotion and marketing and competition from other African countries. The city's association with crime and insecurity has also hurt Fictionali's image as a travel destination. Occupancy rates in coastal hotels and resorts have fallen from 70% in 1991 to less than 30% in 1998. Rates have been slowly increasing in recent years.

### *Industry and Manufacturing*

Fictionali has a relatively well-established industrial sector, comprised of several large and over 200 medium and small-scale manufacturing enterprises. Almost half are engaged in agro-processing. Cement production and textiles and clothing are also important. There is a multi-national presence with a Coca Cola bottling plant and a Nestle canning and fruit drink factory. Industry is restricted by severe water shortages, frequent power failures, a shortage of serviced industrial land and both the real and perceived levels of crime and insecurity. A small cluster of saw milling businesses is located across the Yawning River in South Fictionali.

### *SMEs and the Informal Sector*

A recent study of Fictionali showed that small and micro-enterprises (including the large informal sector) accounted for 87% of the businesses and employed 75% of the workforce in Fictionali.

However, these businesses generate less than 10% of the capital product of the region. The same study found that jobs in the formal sector have always favoured men, who have been able to get work as loaders at the port, in the coffee-exporting trades, as watchmen, factory hands and in the transport industry. Women continue to be under-represented in the labour force. Although their participation in the economy has increased in recent years, they continue to be disproportionately concentrated in the informal sector (56% compared to 41% of men). Fictionali's large informal sector is also dominated by men, most of whom are involved in the more lucrative activities, such as the hawking of curios, manufacturing, renting out rooms and water vending. Women are engaged mainly in selling foodstuffs, handicraft manufacture and sales. There is a small, but growing women's handicraft cooperative that is working to represent and organize this group. The group currently operates a small craft market in the city centre.

Businesses face a number of challenges, including lack of access to credit; cumbersome and bureaucratic licensing requirements and "taxation" in the form of bribes demanded by the police, especially in the central business district. There is a lack of city-managed market sites. While the informal sector is largely tolerated by the municipality, the city has tried to relocate informal enterprises outside of the city centre in an ad hoc effort to improve the city's tourist image.

### *South Fictionali*

While not technically a part of Fictionali, the unincorporated community of South Fictionali across the wide Yawing River is sprawling community of 60,000+ (est.) with many informal settlements. It is home to significant saw milling, agriculture and boat building industries. To get from one to the other there are two options: by boat or by road. The only bridge spanning the Yawing River was built in 1939 and is some 15km outside the city centre where the river is most narrow. It is highly congested with trucks, buses and private vehicles. There are numerous, unregulated commercial transport boats that provide links across the river along with a fleet of speedy taxi boats.

There is no sewage or formal water supply connections to South Fictionali. It is connected to the power and phone grid through underwater cables. There has been much discussion of improving and formalizing connections between the communities. There has even been some discussion of annexing the area, incorporating it into Fictionali.

### *Imaginaire*

Just 30 kilometres past South Fictionali on the beautiful coast of the Tranquile Ocean lies Imaginaire. The city of 100,000 is much younger and has little industrial or trading base to speak of. The beaches and green spaces of Imaginaire attracted many of Fictionali's wealthy and it evolved from a small fishing and agricultural community to a destination for weekend and summer holiday makers, both national and international. There are several undeveloped but beautiful small beaches between South Fictionali and Imaginaire. There is an impressive historical site located 10 kilometres outside of Imaginaire. It is a significant tourist draw and was recently recognized as a UNESCO World Heritage Site.

### *Stakeholders and Issues*

Both Fictionali and Imaginaire boast higher learning institutions and both have Departments of Economic Development that cater to small and micro-enterprises. Both Fictionali and Imaginaire have Chambers of Commerce and an active business community pushing for development and economic growth. There are several environmental NGOs that are well established and lobby hard for their respective causes. The major environmental issues involve protection of the Yawning River mangrove swamps and wetlands. There is also an effort underway to protect the Hanuman Hills rain forests behind Imaginaire where extensive logging is occurring. Reduction in pesticide use in the agricultural sectors, and marine and beach protection, for both the tourist and fishing industries are also important. The social movement is particularly focused on job creation and better social services for the less privileged.

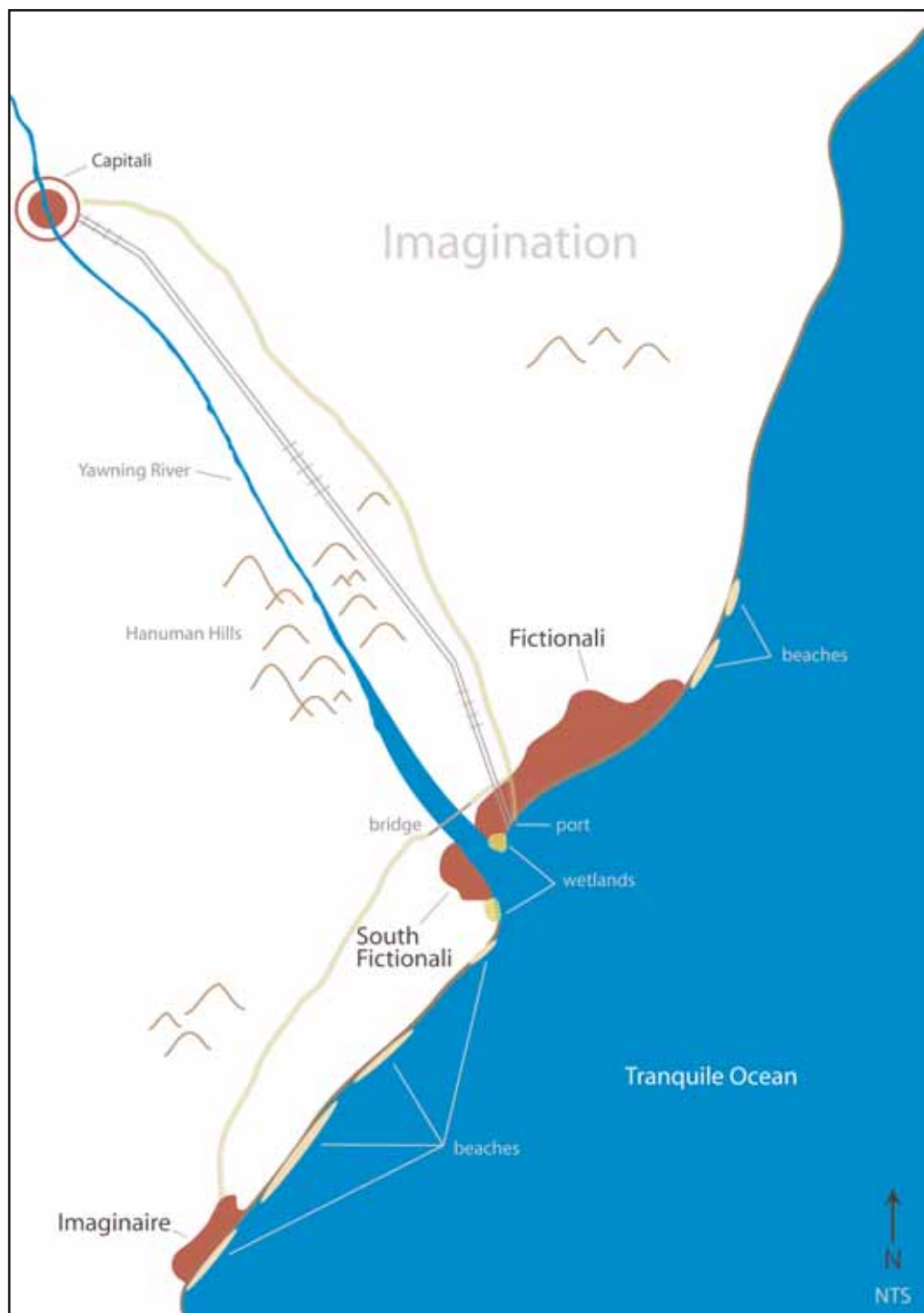
### *LED Planning Context*

The City of Fictionali's Department of Economic Development has recently received a planning grant from the central government to prepare a Local Economic Development Strategy using a

participatory approach. The initiative is a pilot project that the national government is hoping to replicate in other cities if successful. Additional funding and technical assistance has been provided through a UN agency. In total, Fictionali has raised about 75,000 Afrasian Ringas (about U.S. \$50,000) for the study, not including the staff time and support that the City has agreed to put towards the project.

The external funding through a UN-agency's funding (approximately 1/3 of the total project budget) is earmarked to help support the project's stakeholder participation and engagement. While the UN funding is enough to help support other aspects of the project (e.g., consultant costs, technical support, etc.), it requires a Public Engagement and Stakeholder Plan to release the funds to the project.

### **Fictionali - Imaginaire Regional Map**



**Case A Fictionali – Statistical Profile**

HUMAN and SOCIAL CAPITAL	1971	1981	1991	2001
Population	574,094	941,027	1,326,796	1,680,863
Male	262,121	443,104	634,400	813,583
Female	311,973	497,923	692,396	867,280
Population Distribution (%)				
0-4	17.6	18.8	14.6	11.6
5-14	29.9	28.8	28.6	25
15-29	26.9	27.6	31.8	38.2
30-64	19.4	29.8	25.5	22.0
65+	4.6	4.1	3.9	4
Infant Mortality Rate (per 1,000)	97	71	48	56
Life Expectancy	55.5	56.5	65.3	55.6
Males	52.5	52.3	63.3	52.0
Females	58.6	59.7	67.1	57.4
Population Growth Rate		4.7	3.5	2.4
Literacy (%)	45	52	67	71
% Adults with higher education (college+)	8			
Employment Rate (%)	48			
Employment - male	71			
Employment - female	26			
Employment rate by age group (%)				
15 - 24	40			
25 - 54	56			
55 - 64	32			
% working in the informal economy	30			
Informal economy - % male	41			
Informal economy - % female	56			
Youth unemployment rate	46			
Major industries	Agriculture processing, textiles, services			
Average mean annual income (USD)	\$1,000			
Business Associations	Chamber of Commerce, Agricultural Processors Association			
Institutions	Fictionali Technical College, Fictionali Agricultural College			
<b>PHYSICAL CAPITAL</b>				
Telephone access	35% have access to a land line, 3 mobile providers			
Potable water access (%)	25			
Communications facilities	4 radio stations, 1 TV station, 2 internet server providers, 2 newspapers			
Railway	Single track – port to capital			
Industrial Park	5 hectare business park with rail and port access, 2 tenants			
Sewer	Direct discharge, no treatment , downtown/inner city only			
	Only pit latrines in informal settlements with no toilets			

**Case A Fictionali – Statistical Profile continued**

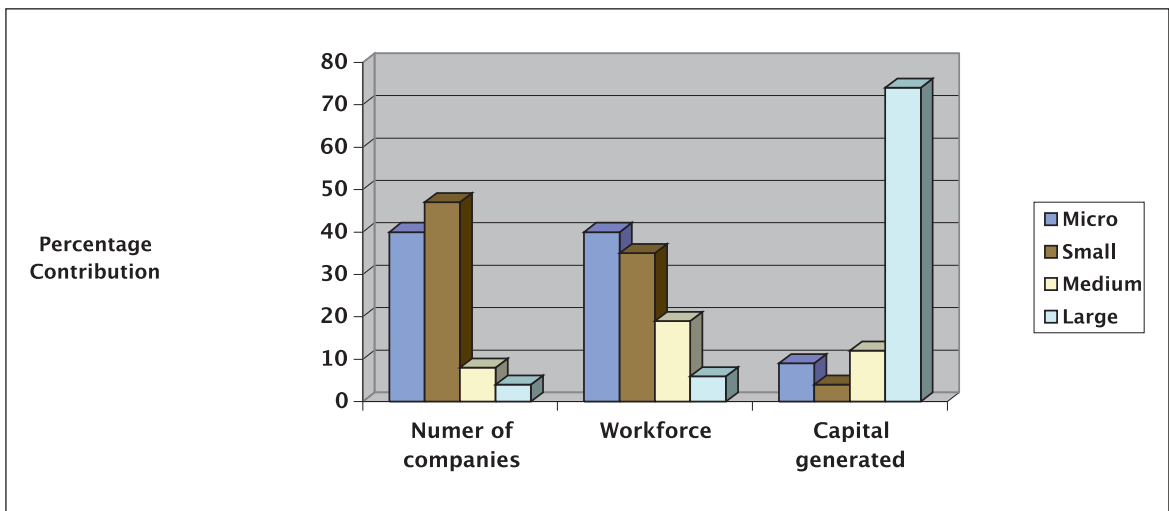
<b>FINANCIAL CAPITAL</b>	
Banks	8
Banks with micro-credit capacity	1
Credit Unions	2
Credit Unions with micro-credit	2
Taxes on income and profit	22%
Taxes on goods and services	15%
Inflation rate %	6
Est. % Taxes spent at local level	10
Est. % Taxes spent at provincial level	20
Est. % Taxes spent at national level	70
City tax avenues	Business licenses, sewer and water, hotel tax, parking tax, property tax (commercial only).
Some rent from city-owned buildings.	
<b>NATURAL CAPITAL</b>	
Arable land	200 sq. km. is 'zoned' agricultural
City area - urban	16 sq. km
Water	Yawning River – untreated (4,000 m3/second)
	Only pit latrines in informal settlements

**Starting a Business in Fictionali (2006)**

The challenges of launching a business in Fictionali are shown in the table below. Included are: the number of steps entrepreneurs can expect to go through to launch, the time it takes on average, and the cost and minimum capital required as a percentage of gross national income (GNI) per capita.

Indicator	Afrasia	Region	OECD
Procedures (number)	13	11.1	6.2
Time (days)	30	61.8	16.6

**Relative Contribution of Industries in Fictional**





**Fictionali - SWOT Analysis** (Note: This is for the Trainers use only. The mixed copy for SWOT activity is contained in Appendix 5)

**Strengths:**

- The Technical College of Imagination located in the city.
- Agricultural resources, including palm nuts, vegetables and spices
- Timber resources and processing capacities for value-added work, including furniture
- Good water supply
- Small port and rail links to interior
- Entrepreneurial informal sector with two markets, one operated by a woman's group
- Good access to micro-credit
- Existing industrial lands
- Central Business District with good services and transportation links
- City Council supportive of local economic development
- Some large businesses & multi-national presence (Coca Cola bottling plant, Nestle canning and fruit drink factory)
- Technical School located in city
- Local Chamber of Commerce
- Environmental and social NGOs that are well established
- Banking and financial resources (8 banks and 2 credit unions) with access to micro credit
- Department of Economic Development that caters to small and micro-enterprises

**Weaknesses:**

- High unemployment
- Large and unregulated informal sector, active in Central Business District
- Industry and manufacturing declining steadily
- Limited urban planning and no economic development strategy
- Few large employers/industries
- Significant local taxes (commercial property, parking, taxi, business, hotel, restaurant, etc.)
- Poor and congested transportation linkages
- No LED strategy
- Difficult business environment (processing delays for licenses and other city requirements, high city taxes, poor coordination and consultation with business community)
- Congested, poorly managed port

**Opportunities:**

- Growing tourism industry in Imaginaire
- Regional tourist destinations with nearby hotels, nearby beaches, wetlands and rainforests
- LED becoming an important national issue
- Growing international and bilateral donor interest in region
- Capital city improving rail links to city
- Major sea channel for regional and international trade just offshore

**Threats:**

- Reputation as a dangerous place where petty crime is commonplace (despite studies that show crime is no greater than the national average)
- Competes with nearby Imaginaire for tourism and agriculture
- Food processing conducted throughout region (i.e., not clustered)
- Fluctuating resource prices (agriculture, timber and rubber)
- National and private sector disinvestment in existing transportation linkages (port, rail, roads)
- Poor transportation linkages to and through city
- Growing unplanned communities south of city
- National tourism industry poorly marketed

## APPENDIX 2.2: Case B: City of Fictionali

### Overview

Situated in the interior of the island archipelago nation of Imagina, Fictionali is a small city, the provincial capital and the administrative and service centre for the surrounding region. It is the country's seventh largest city. It is located on the country's largest island, 450 kilometres from the country's capital and 60 kilometres from the smaller coastal city of Imaginaire, with which Fictionali competes with to be the regional centre for agriculture and tourism.

In 2004, Fictionali had a population of almost 800,000 inhabitants with a growth rate of 2%. It has a population density of five hundred seventy four (774) persons per square kilometres. It is considered by the World Bank to be a lower middle income country. Poverty is still a major issues and there is a significant informal economy. The average income is \$1,130 USD a year.

The City of Fictionali's Department of Economic Development (a Director and an Assistant) has received a small planning grant from the central government to prepare a Local Economic Development Strategy using a participatory approach. The initiative is a pilot project that the national government is hoping to replicate in other cities if successful. Additional funding and technical assistance has been provided through a UN agency. In total, Fictionali has raised about U.S. \$50,000 for the study, not including the staff time and support that the City has agreed to put towards the project.

### The National Economy

Imagina has made a strong economic recovery from the 1997 financial crisis and its transition to democratic governance and decentralization continues with the country making important reforms on several fronts. Imagina has graduated from the International Monetary Fund's support program, its macro-economy has strengthened and development spending and poverty levels have returned to pre-crisis levels. While governance issues remain an impediment to progress on some fronts, prospects of genuine reform are better now than in decades.

Against this background, Imagina has, over the past two years, suffered an unprecedented series of natural disasters, including the tsunami of December 2004 and major earthquakes in March 2005, May 2006 and July 2006. In addition, avian influenza (bird flu) has already claimed more Imagina lives than in any other country.

The Imagina economy is relatively diversified, but still heavily dependent on export-oriented resource industries and associated value-added processing. With significant agricultural lands (over 25% of Imagina's land base), agriculture is very important, with principal commercial crops being coffee, cocoa and fruits. Mining and petroleum are also major industries, although there is only a small mining industry located in the region of Fictionali. Wood and wood products along with pulp and paper are also major industries throughout the country. Rubber and rubber products also make up a significant proportion of exports. Tourism currently accounts for less than 10% GDP. The economy grew quickly in the early 1990s with heavy investment made in the country's high tech industries. As one of the so-called seven tiger economies, the economy went through a currency crisis and associated crash in the late 1990s. Since then the economy has benefited from reforms to promote good governance, transparency, and accountability in both public expenditure management and tax administration.

The investment image of the country is made somewhat attractive by its political stability and its resources. However, potential investors are sometimes discouraged by the bureaucracy in the country and the time for processing transactions. The government is keen to attract foreign direct investment to the country.

Imagina has a significant rural population, accounting for about 40% of the population. The 2001 census suggested that up to 30% of the rural population was living in poverty. Rural populations

have been migrating increasingly to Imagina's large urban centres, placing greater and greater demands on infrastructure and urban resources. As a relatively isolated and smaller island province, rural migration to Fictionali has not been as significant as in other cities. South Fictionali, across the Yawning River is a large rural community that provides much of Fictionali's agricultural production.

A nationwide study in 1993 showed that small and micro-enterprises constituted only 13% and 3%, respectively, to the national economy. However, they encompass a large portion of the workforce and are essential for community well being and economic diversity.

## The Local Economy

Fictionali grew rapidly during the mid-1800's as a rubber, timber, and tin centre. It was a significant port with regular boats traveling to the capital other regional ports. While the port remains, it is relatively small and has seen little infrastructure improvements over the years.

Agricultural competition and shifting of the mining and petroleum industries to the north of the country led to a down turn in the local economy. While the city benefited from new industrial developments in the 1960's and 1970's, it faced fierce competition from regional cities.

In the early 1990s, Fictionali developed an industrial park for high tech manufacturing during the tech boom. Despite high quality servicing (electricity, water supply, and roads) few companies have set up shop there and the industrial park was hit hard by the 1997 economic crisis and tech boom collapse. Congestion, a lack of modern facilities and a small port that cannot accommodate larger new vessels are partly to blame. There is a significant inshore fishing fleet based out of Fictionali and two seafood processing plants still operate near the port. There is potential to upgrade the port for both commercial and tourist traffic. There are wildlife viewing opportunities at the Soggy Wetlands near the port at the mouth of the Yawning River.

The City Council is active in wanting to support economic and social development. There is a significant informal sector due to migration from the rural areas and, unfortunately, Fictionali has a reputation as a dangerous place. Nevertheless, it has some large industries including rubber and food processing businesses and a relatively modern timber mill and pulp and paper plant. Because it used to be an old trading port, there is a lot of history in Fictionali as well as developed service industries.

### *Tourism*

Tourism began growing in the early 1990's with the arrival of an increasing number of "back packer" tourists who stayed in the laid back city before heading off to the beaches to the north or for more rural and backcountry adventures inland. After the hostels, larger and more upscale hotels and resorts were developed in the late 1990's. An effort was made to clean up and revitalize the city's old colonial core. While the city's beaches are still relatively nice, better beaches are located across the Yawning River and further south in Imaginaire.

### *SMEs and the Informal Sector*

A recent study (see table) showed that small and micro-enterprises (including the large informal sector) accounted for 87% of the businesses and employed 75% of the workforce in Fictionali. However, these businesses generate less than 10% of the capital product of region. The same study found that jobs in the formal sector have always favoured men, who have been able to get work as loaders at the port, in the coffee-exporting trades, as watchmen, factory hands and in the transport industry. Women continue to be under-represented. Although their participation in the economy has increased in recent years, they continue to be disproportionately concentrated in the informal sector (56% compared to 41% of men). Fictionali's large informal sector is also dominated by men, most of who are involved in the more lucrative activities, such as the hawking of curios, manufacturing, renting out rooms and water vending. Women are engaged mainly in selling food-stuffs and handicraft manufacture and sales. There is a small, but growing women's handicraft

cooperative that is working to represent and organize this group. The group currently operates a small craft market in the city centre.

The informal sector face problems a number of problems, including lack of access to credit; cumbersome and bureaucratic licensing requirements, and “taxation” in the form of bribes demanded by the police from those operating without licenses or in non-permitted locations, especially the central business district. There is a lack of city-managed market sites. While the informal sector is largely tolerated by the municipality, the city has tried to relocate informal enterprises outside of the city centre in an ad hoc effort to improve the city’s tourist image.

### *South Fictionali*

South Fictionali is sprawling community of 60,000+ (est.) across the Yawning River from Fictionali. It is home and home to significant saw milling, agriculture and boat building industries. A small bridge does cross the river, but it is 15 kilometre’s upstream where the river is narrower. Numerous commercial transport boats provide links across the river along with a fleet of speedy “water tuk-tuks”. There is no sewage or formal water supply connections to South Fictionali. It is connected to the power and phone grid through underwater cables. There has been some discussion of improving and formalizing connections between the communities.

### *Imaginaire*

Just 60 kilometres past Fictionali on the beautiful coast lays Imaginaire. The city of 100,000 is much younger and has little industrial or trading base to speak of. The beaches and green spaces of Imaginaire attract many of Fictionali’s wealthy and it evolved from a small fishing and agricultural community to a destination for weekend and summer holiday makers, both national and international. There is an impressive historical site located 10 kilometres outside of Imaginaire. It is a significant tourist draw and was recently recognized as a UNESCO World Heritage Site.

### *Stakeholders and Issues*

Both Fictionali and Imaginaire boast higher learning institutions and both have Departments of Economic Development that cater to small and micro-enterprises. Both Fictionali and Imaginaire have Chambers of Commerce and an active business community pushing for development and economic growth. There are several environmental NGOs that are well established and lobby hard for their respective causes. The major environmental issues involve protection of the Yawning River mangrove swamps and wetlands. There is also an effort underway to protect the Hanuman Hills rain forests behind Imaginaire where extensive logging is occurring. Reduction in pesticide use in the agricultural sectors, and marine and beach protection, for both the tourist and fishing industries are also important. The social movement is particularly focused on job creation and better social services for the less privileged.

### *LED Planning Context*

The City of Fictionali’s Department of Economic Development has recently received a planning grant from the central government to prepare a Local Economic Development Strategy using a participatory approach. The initiative is a pilot project that the national government is hoping to replicate in other cities if successful. Additional funding and technical assistance has been provided through a UN agency. In total, Fictionali has raised about U.S. \$50,000 for the study, not including the staff time and support that the City has agreed to put towards the project.

The external funding through the UN agency (approximately 1/3 of the total project budget) is earmarked to help support the project’s stakeholder participation and engagement. While the UN funding is enough to help support other aspects of the project (e.g., consultant costs, technical support, etc.), it requires a Public Engagement and Stakeholder Plan to release the funds to the project.

**Case B Fictionali – Statistical Profile**

<b>HUMAN and SOCIAL CAPITAL</b>	<b>1990</b>	<b>1995</b>	<b>2000</b>	<b>2004</b>
Population	584,000	641,000	710,700	780,800
Male	290,100	311,000	334,400	813,500
Female	294,900	330,000	375,300	867,300
Population Distribution (%)				
0-4	12	11	11	10
5-14	25	28	27	26
15-29	23	22	24	26
30-64	35	34	32	34
65+	5	5	6	4
Infant Mortality Rate (per 1,000)	91	66	48	38
Life Expectancy	62	66	66	67
Males	60	65	65	66
Females	64	69	69	70
Population Growth Rate		2.4	2.1	2.0
Literacy (%)	80	85	86	90\
% Adults with higher education	16.7%			
Employment Rate (%)	86			
Employment - male	88			
Employment - female	79			
Employment rate by age group (%)				
15 - 24	40			
25 - 54	86			
55 - 64	42			
% working in the informal economy	11			
Informal economy - % male	67			
Informal economy - % female	33			
Youth unemployment rate	26			
Major industries	Agriculture, forestry, processing, manufacturing			
Average mean annual income (USD)	\$1,130 (2004)			
Business Associations	Chamber of Commerce, Agricultural Processors Assoc., Ecotourism Assoc.			
Institutions	Technical College, Agricultural College			
<b>PHYSICAL CAPITAL</b>				
Fixed line & mobile subscribers (per 1,000)	210			
Potable water access (%)	77			
Communications facilities	4 radio stations, 1 TV station, 2 internet service providers, 2 mobile providers, 2 newspapers			
Railway	Single track – port to capital			
Industrial Park	10 hectare fully serviced business park with road access, 2 tenants			
Sanitation (% of population with access)	69%			
<b>FINANCIAL CAPITAL</b>				
Banks	8			
Banks with micro-credit capacity	3			

## Asia Fictionali – Statistical Profile continued

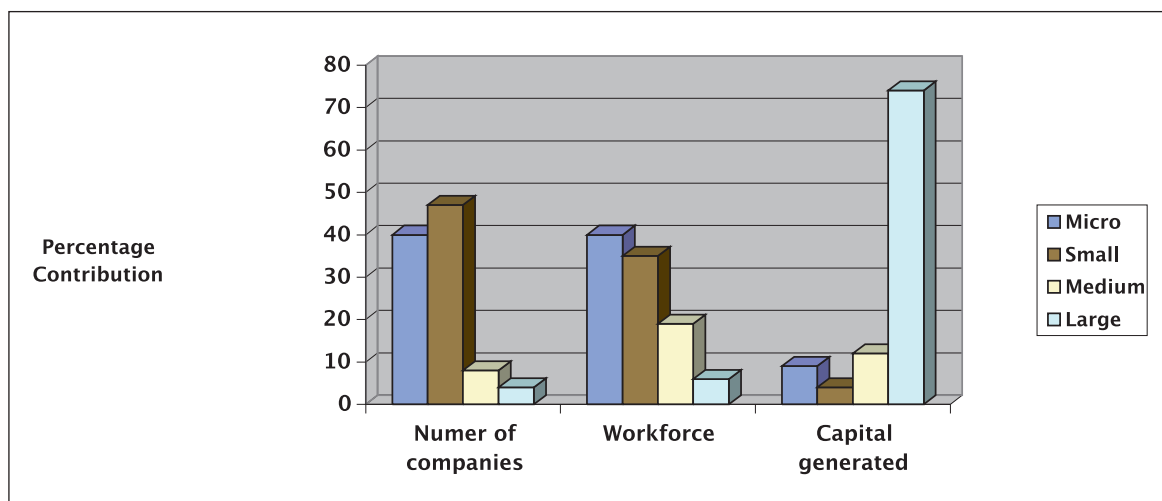
Credit Unions	2
Credit Unions with micro-credit	2
Taxes on income and profit	22%
Taxes on goods and services	15%
Inflation rate %	11%
GDP per capita average annual growth rate	4.1%
Est. % Taxes spent at local level	10
Est. % Taxes spent at provincial level	20
Est. % Taxes spent at national level	70
City tax avenues	Business licenses, sewer and water, hotel tax, parking tax, property tax (commercial only). Some rent from city owned land and buildings.
<b>NATURAL CAPITAL</b>	
Agricultural land (% of land area)	22%
City area - urban	16 sq. km
Water	Yawning River – untreated (4,000 m3/second)
	Basic latrines in informal settlements

### Starting a Business in Fictionali (2006)

The challenges of launching a business in Fictionali are shown in the table below. Included are: the number of steps entrepreneurs can expect to go through to launch, the time it takes on average, and the cost and minimum capital required as a percentage of gross national income (GNI) per capita.

Indicator	Imaganesia	Region	OECD
Procedures (number)	12	8.2	6.2
Time (days)	97	46.3	16.6

### Relative Contribution of Industries in Fictional



**Fictionali - SWOT Analysis** (Note: his is for the Trainers use only. The mixed copy for SWOT activity is contained in Appendix 5)

#### Strengths:

- The Technical College of Imagination located in the city.
- Agricultural resources, including palm nuts, vegetables and spices
- Timber resources and processing capacities for value-added work, including furniture
- Good water supply
- Small port and rail links to interior

- Entrepreneurial informal sector with two markets, one operated by a woman's group
- Good access to micro-credit
- Existing industrial lands
- Central Business District with good services and transportation links
- City Council supportive of local economic development
- Some large businesses & multi-national presence (Coca Cola bottling plant, Nestle canning and fruit drink factory)
- Local Chamber of Commerce
- Environmental and social NGOs that are well established
- Banking and financial resources (8 banks and 2 credit unions) with access to micro credit
- Department of Economic Development that caters to small and micro-enterprises

**Weaknesses:**

- High unemployment
- Large and unregulated informal sector, active in Central Business District
- Industry and manufacturing declining steadily
- Limited urban planning and no economic development strategy
- Few large employers/industries
- Significant local taxes (commercial property, parking, taxi, business, hotel, restaurant, etc.)
- Poor and congested transportation linkages
- No LED strategy
- Difficult business environment (processing delays for licenses and other city requirements, high city taxes, poor coordination and consultation with business community)
- Congested, poorly managed port

**Opportunities:**

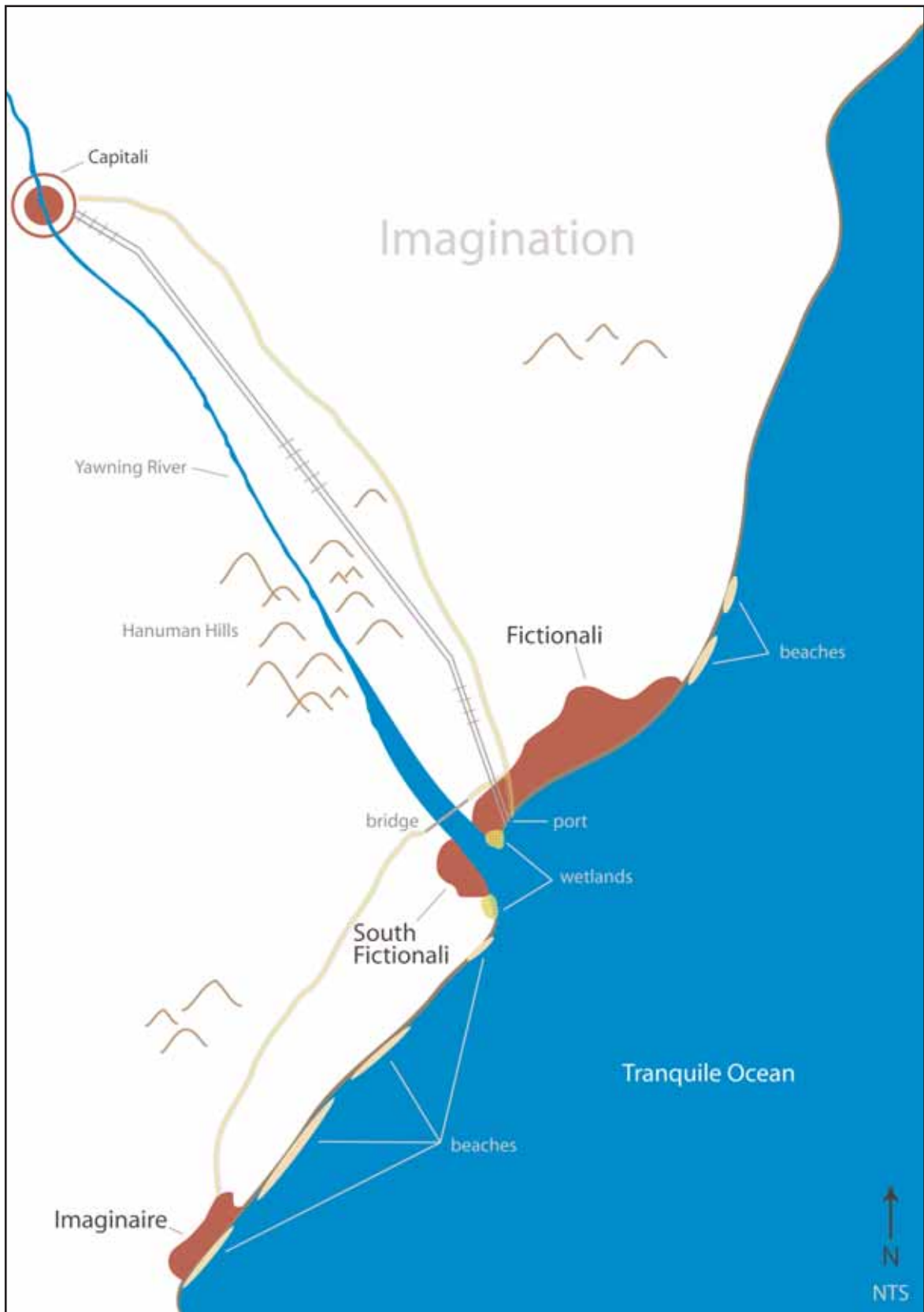
- Growing tourism industry in Imaginaire
- Regional tourist destinations with nearby hotels, nearby beaches, wetlands and rainforests
- LED becoming an important national issue
- Growing international and bilateral donor interest in region
- Capital city improving rail links to city
- Major sea channel for regional and international trade just offshore

**Threats:**

- Reputation as a dangerous place where petty crime is commonplace (despite studies that show crime is no greater than the national average)
- Competes with nearby Imaginaire for tourism and agriculture
- Food processing conducted throughout region (i.e., not clustered)
- Fluctuating resource prices (agriculture, timber and rubber)
- National and private sector disinvestment in existing transportation linkages (port, rail, roads)
- Poor transportation linkages to and through city
- Growing unplanned communities south of city
- National tourism industry poorly marketed
- Tourism industry poorly marketed and hampered by city's dangerous reputation



## Fictionali - Imaginaire Regional Map



## APPENDIX 2.3: Case C: City of Fictionali

### Overview

Located in Central Continenta on the rocky coast of Imagina, Fictionali is a medium sized city, the provincial capital and the administrative and civil service centre for much of the country's coastal area.

Located 450 kilometres from the country's capital, it is the country's third largest city. It is 60 kilometres from the smaller coastal city of Imaginaire, with which Fictionali competes with to be the regional centre for agriculture and tourism.

In 2001, Fictionali had a population of 780,000 with a growth rate of 2.4%. There is considerable poverty and a large informal economy. The average income is \$11,000 USD a year.

The City of Fictionali's Department of Economic Development (a Director and an Assistant) has received a small planning grant from the central government to prepare a Local Economic Development Strategy using a participatory approach. The initiative is a pilot project that the national government is hoping to replicate in other cities if successful. Additional funding and technical assistance has been provided through a UN agency. In total, Fictionali has raised about U.S. \$50,000 for the study, not including the staff time and support that the City has agreed to put towards the project.

### The National Economy

Although Imagination is considered as a semi-industrialized nation, its economy is primarily based on primary resource extraction, some primary processing and, increasingly, service industries. Agriculture contributes significantly to the country's foreign exchange earnings (20%) followed by mining (15%), timber and some petroleum resources. In the late 1800's and early 1900's economic activity was spread out over the several areas of the country and due to the difficulties in communications and transport many centres were allowed to grow without central government oversight or management. The growth of industrialization of agriculture in other countries and other global mineral suppliers led to a down turn in the national economy. The current industry is focused in the Central Valley near the capital. Although close to the capital, Fictionali has not benefited from the expansion there. By 1996 40% of the GNP was concentrated in the capital.

During the mid 90's greater liberalization of trade and services had created a change in centralized policies. In an attempt to promote greater local and foreign investment the 2002 national municipalities act gave local governments power and authority to make a wide range of decisions regarding development and the economy. The country is considered stable as for foreign investors and with a relatively well-educated workforce (85% literacy) it is seeking foreign investment as the primary source of economic stimulation.

It is estimated that approximately 55-65% of Imagination's total economy comes from the informal sector, although no formal studies have been done in this area. In Fictionali, 30-40% work in the informal sector and are largely tolerated (i.e., not harassed) by the municipal government. These small businesses are not tracked by the government and do not provide any revenue to the municipality. They are tolerated, as it is believed that they 'keep people out of crime'.

Nationally, Imagination has a significant rural population, accounting for about 50% of the population. A 2000 census suggested that up to 60% of the rural population was living in poverty. Consequently, there has been a general move to migrate towards the cities, this has principally been towards the capital; however, other urban centres have also been affected. Imaginaire is far less tolerant of migrants and consequently Fictionali has begun to attract a growing number of migrants in search of employment. The last census in 2000 indicated that Fictionali had approximately 20% living in poverty, below the national average of 40%, but many feel that it is much higher and is a serious problem.

## The Local Economy

The area of Fictionali grew rapidly during the 1800's as fishing centre and with the establishment of rail links in 1850, it became the main artery for exporting agricultural products, minerals, and timber. However, following the national trend its economy decreased during the 1930's and never completely recovered. Several years ago, Fictionali developed an industrial park with the hopes of attracting more industries; however, this remains mostly disused. The city congestion, lack of modern facilities, and old port has prompted a decline in Fictionali's traditional shipping industry. Moreover, a new port facility has been developed some 80km to the north.

Unemployment is some of the highest in the country at 18%, and Fictionali has gained the infamous reputation of being a dangerous place where petty crime and assaults are commonplace. This unfortunate image is not founded on fact as studies have shown that crime in the city is no greater than the national average. A recent study of Fictionali showed that small and micro-enterprise accounted for 87% of the businesses and entailed 75% of the workforce, however, they generate less than 10% of the capital product of region. Service industries and public sector, including the navy, are major revenue generators for Fictionali. The significance in the public sector is shown by the fact that it accounts for 15% of the employment in Fictionali.

Industry and manufacturing have been declining steadily over the last 25 years and now constitute 10% of the revenue generation and employ 10% of the workforce. Food products are by far the most important area, followed by machine manufacturing and textiles. Tourism provides less than 8% of the revenue and employs 10% of the labour force and is widely considered an area of significant growth potential. The Lonely Planet guide states the "Fictionali is one of the most distinctive cities in Imagination and the larger continent" (2003).

### *South Fictionali*

South Fictionali is sprawling community of 60,000+ (est.) across the Yawning River from Fictionali. It is home and home to significant saw milling, agriculture and boat building industries. A small bridge does cross the river, but it is 15 kilometre's upstream where the river is narrower. Numerous commercial transport boats provide links across the river along with a fleet of speedy "water tuk-tuks". There is no sewage or formal water supply connections to South Fictionali. It is connected to the power and phone grid through underwater cables. There has been some discussion of improving and formalizing connections between the communities.

### *Imaginaire*

Just 60 kilometres past Fictionali on the beautiful coast lays Imaginaire. The city of 100,000 is much younger and has little industrial or trading base to speak of. The beaches and green spaces of Imaginaire attract many of Fictionali's wealthy and it evolved from a small fishing and agricultural community to a destination for weekend and summer holiday makers, both national and international. There is an impressive historical site located 10 kilometres outside of Imaginaire. It is a significant tourist draw and was recently recognized as a UNESCO World Heritage Site.

### *Stakeholders and Issues*

Both Fictionali and Imaginaire boast higher learning institutions and both have Departments of Economic Development that cater to small and micro-enterprises. Both Fictionali and Imaginaire have Chambers of Commerce and an active business community pushing for development and economic growth. There are several environmental NGOs that are well established and lobby hard for their respective causes. The major environmental issues involve protection of the Yawning River mangrove swamps and wetlands. There is also an effort underway to protect the Hanuman Hills rain forests behind Imaginaire where extensive logging is occurring. Reduction in pesticide use in the agricultural sectors, and marine and beach protection, for both the tourist and fishing industries are also important. The social movement is particularly focused on job creation and better social services for the less privileged.

### LED Planning Context

The City of Fictionali's Department of Economic Development has recently received a planning grant from the central government to prepare a Local Economic Development Strategy using a participatory approach. The initiative is a pilot project that the national government is hoping to replicate in other cities if successful. Additional funding and technical assistance has been provided through a UN agency. In total, Fictionali has raised about U.S. \$50,000 for the study, not including the staff time and support that the City has agreed to put towards the project.

The external UN funding (approximately 1/3 of the total project budget) is earmarked to help support the project's stakeholder participation and engagement. While the UN funding is enough to help support other aspects of the project (e.g., consultant costs, technical support, etc.), it requires a Public Engagement and Stakeholder Plan to release the funds to the project.

### Case C Fictionali – Statistical Profile

HUMAN and SOCIAL CAPITAL	1971	1981	1991	2001
Population	584,000	641,000	710,700	780,800
Male	290,100	311,000	334,400	367,500
Female	294,900	330,000	375,300	413,300
<b>Population Distribution (%)</b>				
0-4	12	11	11	10
5-14	25	28	27	26
15-29	23	22	24	26
30-64	35	34	32	34
65+	5	5	6	4
Infant Mortality Rate (per 1,000)	60	50	45	38
Life Expectancy	73	75	76	78
Males	72	73	75	76
Females	75	76	77	79
Population Growth Rate		2.4	2.1	2.0
Literacy (%)	80	85	86	90
Adults with higher education (tertiary+)	16.7%			
Employment Rate (%)	86			
Employment - male	88			
Employment - female	79			
<b>Employment rate by age group (%)</b>				
15 - 24	40			
25 - 54	86			
55 - 64	42			
% working in the informal economy	28			
Informal economy - % male	67			
Informal economy -% female	33			
Youth unemployment rate	26			
Major industries	Agriculture, mining, fish processing, manufacturing			
Average mean annual income (USD)	\$11,130 (2004)			
Business Associations	Chamber of Commerce, Ecotourism Assoc.			
Institutions	Technical College, Agricultural College			

### Case C Fictionali – Statistical Profile continued

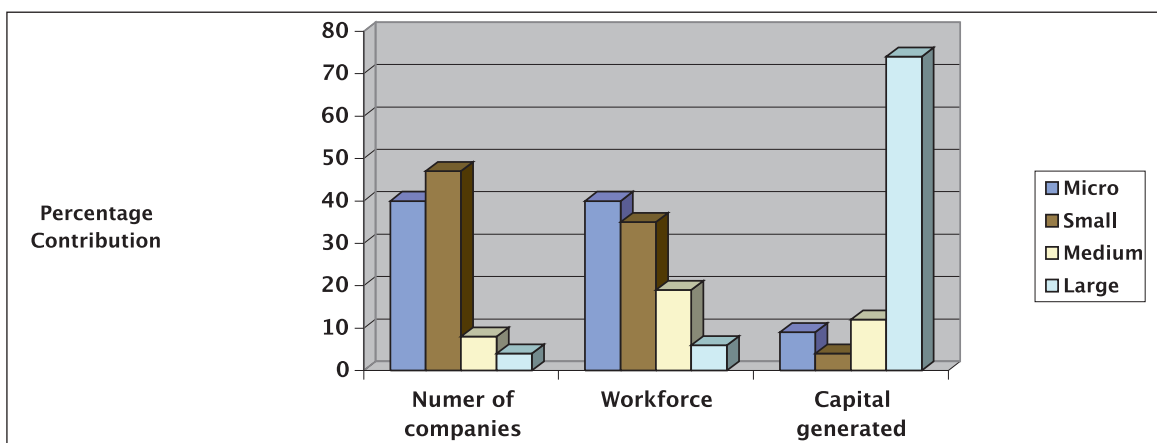
<b>PHYSICAL CAPITAL</b>	
Mobile subscribers (per 1,000)	610 (4 mobile providers)
Potable water access (%)	88
Communications facilities	4 radio stations, 2 TV station, 3 internet servers, 2 newspapers
Railway	Single track – port to capital
Industrial Park	10 hectare fully serviced business park with road access, 2 tenants
Sanitation (% of population with access)	79%
<b>FINANCIAL CAPITAL</b>	
Banks	8
Banks with micro-credit capacity	3
Credit Unions	2
Credit Unions with micro-credit	2
Taxes on income and profit	22%
Taxes on goods and services	15%
Inflation rate %	11%
GDP per capita average annual growth rate	4.1%
Est. % Taxes spent at local level	10
Est. % Taxes spent at provincial level	20
Est. % Taxes spent at national level	70
City tax avenues	Business licenses, sewer and water, hotel tax, parking tax, property tax (commercial only). Some rent from city owned land and buildings.
<b>NATURAL CAPITAL</b>	
Agricultural land (% of land area)	22%
City area - urban 16 sq. km	Water
Yawning River – untreated (4,000 m3/second)	Open sewer system in informal settlements

### Starting a Business in Fictionali (2006)

The challenges of launching a business in Fictionali are shown in the table below. Included are: the number of steps entrepreneurs can expect to go through to launch, the time it takes on average, and the cost and minimum capital required as a percentage of gross national income (GNI) per capita.

Indicator	Fictionali	Region	OECD
Procedures (number)	10	12.2	6.2
Time (days)	42	58.3	16.6

### Relative Contribution of Industries in Fictional



*Fictionali - SWOT Analysis (Note: this is for the Trainers use only. The mixed copy for SWOT activity is contained in Appendix 5)*

**Strengths:**

- The Technical College of Imagination located in the city.
- Agricultural resources, including palm nuts, vegetables and spices
- Timber resources and processing capacities for value-added work, including furniture
- Good water supply
- Small port and rail links to interior
- Entrepreneurial informal sector with two markets, one operated by a woman's group
- Good access to micro-credit
- Existing industrial lands
- Central Business District with good services and transportation links
- City Council supportive of local economic development
- Some large businesses & multi-national presence (Coca Cola bottling plant, Nestle canning and fruit drink factory)
- Local Chamber of Commerce
- Environmental and social NGOs that are well established
- Banking and financial resources (8 banks and 2 credit unions) with access to micro credit
- Department of Economic Development that caters to small and micro-enterprises

**Weaknesses:**

- High unemployment
- Large and unregulated informal sector, active in Central Business District
- Industry and manufacturing declining steadily
- Limited urban planning and no economic development strategy
- Few large employers/industries
- Significant local taxes (commercial property, parking, taxi, business, hotel, restaurant, etc.)
- Poor and congested transportation linkages
- No LED strategy
- Difficult business environment (processing delays for licenses and other city requirements, high city taxes, poor coordination and consultation with business community)
- Congested, poorly managed port

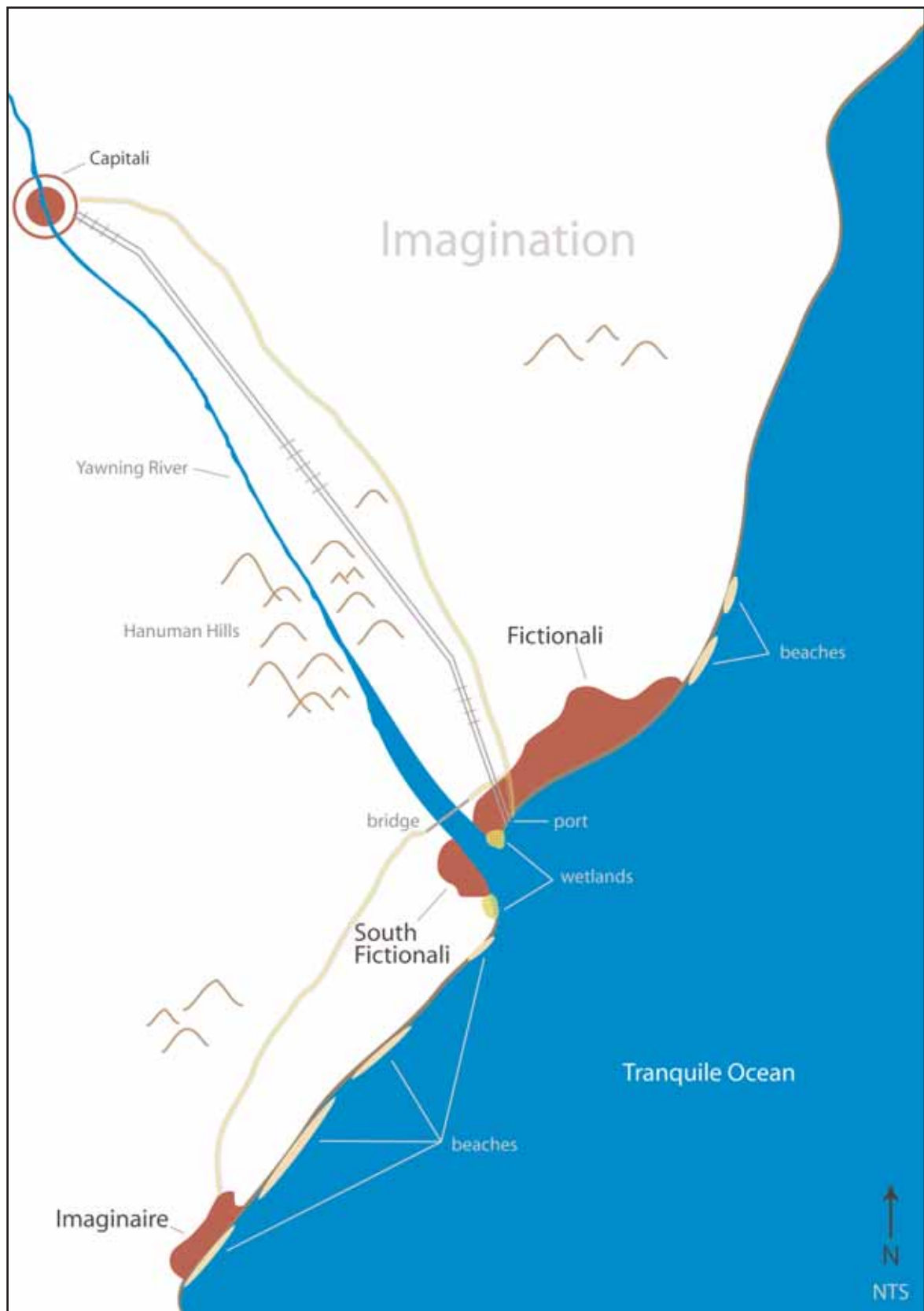
**Opportunities:**

- Growing tourism industry in Imaginaire
- Regional tourist destinations with nearby hotels, nearby beaches, wetlands and rainforests
- LED becoming an important national issue
- Growing international and bilateral donor interest in region
- Capital city improving rail links to city
- Major sea channel for regional and international trade just offshore

**Threats:**

- Reputation as a dangerous place where petty crime is commonplace (despite studies that show crime is no greater than the national average)
- Competes with nearby Imaginaire for tourism and agriculture
- Food processing conducted throughout region (i.e., not clustered)
- Fluctuating resource prices (agriculture, timber and rubber)
- National and private sector disinvestment in existing transportation linkages (port, rail, roads)
- Poor transportation linkages to and through city
- Growing unplanned communities south of city
- National tourism industry poorly marketed
- Tourism industry poorly marketed and hampered by city's dangerous reputation

## Fictionali - Imaginaire Regional Map





## APPENDIX 3 – CASE STUDIES

### MODULE 1: Where are we now?

#### STEP 1: Getting Started

- ❑ **Project:** Musqueam Strategic Plan - Planning to Plan
- ❑ **Location:** Vancouver, Canada
- ❑ **Description:** The Musqueam Indian Band is an aboriginal community located on the



south-western edge of Vancouver, Canada. Like most Canadian First Nation reserves, the community's economic and social well-being is below that of neighbouring non-native communities. To kick-start an ambitious strategic planning process, the community first went through a comprehensive 'planning to plan' phase, or Step 1 of the Strategic Planning for LED process. This involved the creation of a Project Support Team made up key Band officials and the consultant planning team, and the establishment of a Community Advisory Committee made up a wide variety of community stakeholders, including youth and elders.

The 'getting started' work helped raise awareness of the project and bring the necessary stakeholders to the table, set a positive tone for future project work, and identified planning needs and resources for future phases. Project work included:

- Reviewing background information and other research to create a preliminary understanding of the community's values, strengths, assets and issues;
- Helping the outside consultant understand the lessons learned (planning stories) from previous planning initiatives;
- Determining the community's readiness for the planning process, explored their understanding of it and learned more about their expectations for it;
- Developing a Community Engagement Plan (including a Communications Strategy) for the larger project;
- Introducing the external planning team to a wide variety of community members and stakeholders through one-to-one and small-group meetings to begin building relationships;
- Engaging Band Council in the project through presentations, updates and the passing of project-specific Band Council Resolutions to help build greater political awareness of and support for the project;
- Determining the geographic and thematic scope of the project (i.e., answered the question, "What is local?") and determined that the work should focus on land use and local economic development with a strong cultural and social component);
- Identifying what external support will be needed in future phases (e.g., engineering and other technical assistance); and,
- Developing a work plan, time line and budget for future project phases based on Phase 1 findings.

#### STEP 2: Stakeholders and Participation

- ❑ **Project:** Huddersfield Public Engagement
- ❑ **Location:** Huddersfield, England
- ❑ **Description:** In the early 1990's, the town of Huddersfield was in decline. Industries were being forced to close under pressure from globalization and aging infrastructure. The loss of public sector jobs increased unemployment propelled many youth, particularly professionals, to leave to larger urban centres taking their skills, knowledge and 'human resources' with them. Faced with these issues, the city received seed money from the national government to



carry out a strategic planning process called the Huddersfield Challenge in 1995 to determine how the town could be regenerated and revitalized. The process included a major public participation component that worked to engage the city's diverse cultural and religious communities, many of whom had never worked together before and, indeed, had experienced some inter-racial and religious friction.

The meaningful engagement process engaged stakeholders through a variety of outreach and involvement activities, including small group focus groups, community workshops and events, and mail and telephone surveys. The public engagement process directly involved the larger community in carrying out a Situation Assessment for Huddersfield, identifying development opportunities and choosing the final action program. The public engagement process was very well received by the community and the overall process was recognized by the European Union who awarded in with their "Creative Town" prize in 1997.

As a result of the program, Huddersfield is developing a business cluster of sound and audio technology businesses. As part of the clustering initiative, the town also began a "platform for change" which concentrated on improving the quality of life for residents and new businesses which addresses such issues as child-care, employment, access to information technology and business and community group support. Since the program began, the Huddersfield Challenges has:

- Created 2,712 jobs and safeguarded 6,000
- Helped 4,135 people gain qualifications
- Assisted 5,418 businesses
- Refurbished and renovated 57,000 m2 of business and commercial space
- Improved almost 12,000 dwellings
- Supported 902 voluntary organizations and 1154 community groups
- Helped 52,176 people benefit from the community safety initiatives
- Directed 60,975 people gain access to new health opportunities and facilities
- Created new cultural facilities and opportunities for 52,938 people

More recent work in 2004 and 2005 has concentrated on developing new housing areas for incoming residents and for new people moving to Huddersfield.

### STEP 3: Situation Assessment

- ❑ **Project:** Strategic Planning for Pro-Poor Tourism
- ❑ **Location:** Livingstone, Zambia
- ❑ **Summary Description:** Livingstone, Zambia is a poor city in one of the world's



poorest countries. It is a community rife with poverty, both in its urban core and its rural periphery. But it is also a place of riches, where wealthy tourists come to spend thousands of dollars on leisure and adventure in view of the famed Victoria Falls.

Over the past decade, the tourism industry in Livingstone has seen a meteoric rise in visitor numbers. It has grown from a sleepy border post to one of Africa's top tourism destinations, complete with four and five-star hotels, golf courses, franchised restaurants, and an international airport. Numerous entrepreneurs have benefited from this growth, with businesses expanding and new ones arising each year. Hundreds of new jobs have been created that local Zambians have filled and new tax revenues have been generated for the Zambian government. However, the growth of the local tourism industry has had few, if any, positive impacts on the majority of Livingstonians.

In order to identify and assess opportunities for reorienting some of Livingstone's tourism benefits to the poor, a strategic planning process was established to

determine the government's best course of action. During the first phase of the project the planning team established a situation assessment of the local tourism sector to inform the next phase of the planning process. This began with a data collection program that included stakeholder interviews, a literature review, policy analysis and participatory video.

The participatory video element involved the creation of several, short "community documentaries" that helped animate and give meaning to the statistics and technical information. The low cost documentaries were shot on basic video cameras and put together with the assistance of the community members who were the subjects of the videos. The creative tool helped build relationships with the poor community who was the focus of the videos, provided important qualitative information to support the quantitative data and was shared with project stakeholders and higher level authorities to help publicize and build awareness around the project.

Quantitative information was collected from a variety of sources including the local government, international and bilateral donors, international aid and environmental organizations and state and national governments. The data provided an assessment of the city's natural, human, social, financial, physical and manufactured tourism capital. Relevant data was then incorporated into an organized document that provided project participants with a broad overview of the local tourism system.

As a final step, the situation assessment was summarized in a bulleted SWOT (Strengths, Weaknesses, Opportunities, and Threats) table to be used later in issue and objective setting activities.

## MODULE 2: Where are do we want to go?

### STEP 4: Visioning

- ❑ **Project:** Promoting Integrated Local Development through Strategic Planning and Territorial Marketing
- ❑ **Location:** Nis, Serbia
- ❑ **Description:** The City of Nis is located in central Serbia close to major railway and auto routes between Europe and the Balkans. With a population over 250,000 (third largest in Serbia), the city has suffered in recent times some economic setback following the closure and decline of some key industries and army installations and restructuring of privatized firms. The downturn resulted in an increase in unemployment and the emigration of skilled workers who left to pursue economic opportunities elsewhere.



After taking part in a training organized by a UN-HABITAT, the local leadership of Nis initiated its own LED strategic planning process in early 2007. Following a large stakeholder workshop where a comprehensive SWOT analysis was presented and priority issue areas identified, the city went through an innovative and comprehensive visioning process. A special one day event called, "Our Nis Glancing into the city's future" was organized with a number of open events to generate ideas and share views on the desired future of the city and to disseminate information to citizens on the ongoing LED process. Some of the events included a children's drawing competition, round tables at the Chamber of Commerce and a local University, distribution of a special questionnaire entitled, "What is Nis when it is at its very best?" to city market stalls which invited people to write a story about the city at its best.

During a full day creative session at a three day city-wide, LED strategy workshop, participant working groups reviewed the materials collected during the "Our Nis

Glancing into the city's future" event to select their favourites. Representatives of the participant working groups then worked together to produce and present the Nis Integrated Vision.

#### **Nis City of Future**

*Crossroads and meeting point for people, ideas, culture and tradition; regional economy, university, sport and tourism leader; center of sustainable development where a high quality of life for all citizens is achieved.*

The vision statement also included the following slogan that used the letters of the city's name. It is used in strategy advertising and marketing.

#### **Nis Slogan**

**N** – *No limits for this (boundless)*

**I** – *Infinite fountain (of resources)*

**S** – *Solid perspectives (and chances)*

### STEP 5: Objectives and Measures

- ❑ **Project:** St'át'imc First Nation Economic Opportunities Prioritization
- ❑ **Location:** Lillooet, British Columbia, Canada
- ❑ **Description:** Located in south-western British Columbia, Canada, the St'át'imc First Nation is an aboriginal group whose traditional territory includes Whistler, British Columbia, a major winter resort community and the home of the 2010 Winter Olympic Games. The St'át'imc went through a strategic planning process to identify sustainable, 2010-related economic opportunities that would carry on beyond the horizon of the Games.

The short-term, three-month study was built around project Advisory Committee-driven analysis and prioritization of economic development opportunities. The planning process utilized a structured decision-making process involving an Advisory Committee that represented a wide range of stakeholders. The process integrated technical information and informed value judgments and permitted the Advisory Committee to make transparent and clear decisions on what economic development opportunities the St'át'imc should pursue in the context of the study. The level of analysis was fairly broad (i.e., the identified opportunities were not subject to a detailed feasibility analysis), due to the project's constrained timeline and overall context. Three workshops were held for the project.

At the first workshop, the Advisory Committee brainstormed issues and challenges facing their communities' economic futures. These challenges were then converted into objectives, grouped according to process, means, and ends. At the following Prioritization Workshop, the Advisory Committee reviewed and confirmed a revised list of end objectives that was identified at the first workshop.

- Reduce Aboriginal unemployment
- Protect and revitalize St'át'imc language and culture
- Improve St'át'imc visibility and awareness
- Improve inter-Band collaboration
- Expand St'át'imc non- St'át'imc collaboration
- Improve business infrastructure
- Diversify the local economy

Next, the participants were asked how, in the context of the project, economic development could positively affect each particular end objective. From this discussion, participants were able to start developing a better context in which to assess and rank the importance of the end objectives (i.e., some of the end objectives like, "Protect and revitalize St'át'imc language and culture," would not be

greatly impacted by economic development while “Reduce Aboriginal employment” would be.). The table on the following page illustrates one of the worksheets.

While reviewing the potential situation, participants were also asked to look at the list of economic development opportunities and actions they generated at Workshop 1 and to identify which of them could best help realize the potential situation for each of the objectives. The Advisory Committee next grouped the actions into similar categories (where realistic). Following this discussion, participants next ranked the end objectives from one to eight<sup>4</sup>. The final list of grouped actions was then reviewed against the End Objectives using a simple high, medium, low ranking.

In the third and final workshop, the top four projects were reviewed based on a summary of expected benefits according to the ranked end objectives and a preliminary costing. At the workshop, it was decided to combine the four actions into two final alternatives to make them stronger. The final opportunities were:

- St’át’imc Economic Development Officer / St’át’imc Economic Development Strategy
- St’át’imc Heritage and Learning Centre: Start-up and Design

### Example: End Objectives Work Sheet (Workshop 2)

#### End Objective: Diversify the Local Economy

##### *Current Situation*

- Resource dependent small town
- Small, undeveloped tourism sector
- Recent job losses (railway, forestry, government)
- Open attitude to diversifying, supporting exploration of new opportunities
- Shrinking population (due to recent job losses)
- St’át’imc involvement on District of Lillooet Economic Development Commission (i.e., current Aboriginal – non-Aboriginal economic development partnerships)

##### *Potential Change*

- Less impact of development on scarce land and resources
- Value added manufacturing using existing resources
- Improve economic sustainability
- Improve opportunities for youth
- Improve skill development
- Support artists and create new livelihoods

##### *Potential Opportunities that Meet Criteria*

- Economic development strategy / economic development organization
- Small business support centre / Skills centre
- Tourism strategy

<sup>4</sup> To carry out additional analysis of the ranking and generate a final relative ranking, participants were next asked to weight their individual rankings. With their top ranked objective having a weight of 100, participants were asked to provide a weight for each of the objectives to help show how much less important each of the objectives was in relation to the other.

## MODULE 3: How do we get there?

### Step 6: Alternatives and Priorities

- ❑ **Project:** Yukon River Salmon Cooperative Options Evaluation
- ❑ **Location:** Dawson City, Canada
- ❑ **Description:** Members of community-based fishing cooperative wanted to develop a processing facility to add value to their fish resources and to create employment in the isolated, northern Canadian town where the fishing occurred.



The Yukon River Salmon Cooperative (YRSCo) had several options available to them to develop the value-added fish plant. In addition to different locations, the co-operative also had different groups with whom they could partner to develop the business. To help them decide where to develop the plant and with whom (if anyone) they should partner with to build it, the co-operative went through a structured decision-making process to help them understand:

The potential risks and rewards of working with the different potential partners;

- The pros and cons of setting up a business in different locations; and,
- Which option would best meet their self-identified business objectives (i.e., economic self-sufficiency, minimization of risk, opportunities for future expansion, potential for including future partners, and community economic development benefits for their small town).

As a first step in the options evaluation process, potential partner groups were evaluated assessed for their ability and interest in working with YRSCo to develop, operate and help finance the facility in either Dawson City or Whitehorse. Next, consultants met with YRSCo members in the first of two workshops. In the first workshop, YRSCo members reviewed and confirmed the following objectives that would serve as criteria against which the project options would be evaluated.

1. Viability of fishing as a livelihood activity
2. Co-op income from fishing
3. Viability of fish plant
4. Co-op income from fish plant

For each of the objectives, corresponding evaluation criteria were also developed (e.g., Coop Income from Fish Plan would be measured using projected 10-year Average Net Revenue and 10-year Average Cash Flow projections).

Next, YRSCo members identified the flowing key risk factors. Each was assigned a weighted value and used in a factor analysis matrix designed to evaluate six potential fish plant options.

- fish supply
- securing debt financing
- plant management and human resources
- marketing and distribution
- member input / participation opportunities
- primary processing competition
- access to plant services (e.g., refrigeration, equipment technicians)
- access to general supplies and services (e.g., printing, accounting, etc.)

Through the process, Co-op members agreed to remove four options from further consideration for various reasons, including difficult risk management, lower probabilities of success, poor financial performance and poor timing (i.e., the potential partner would likely not be able to commit to the project in the short-term). YRSCo next directed the consultants to refine and calculate the start-up



costs of the three remaining options which are outlined in the table on the next page. The following additional objectives were also added to the final decision matrix:

- Community economic development benefits (i.e., jobs in Dawson)
- Impact on member dividends (i.e., YRSCo patronage dividends)
- Opportunity to strengthen business through future partnerships

At Workshop 2, three weeks later, YRSCo members reassessed the three remaining options against both the risk factors and their previously identified objectives. A joint venture with another fish processing company in Whitehorse (600 kilometres south of Dawson City) emerged as the strongest, most flexible option with the highest probability of success (using a relative scale). The final decision matrix/factor analysis is illustrated on the next page.

It is important note that in unanimously endorsing the particular option, YRSCo members also clearly stated their commitment to maximizing Dawson City-area benefits and the importance of increasing visibility of the commercial fishery in Dawson City. Most members were personally connected to the idea of a having the plant in Dawson City, but understood the business case for locating the plant in Whitehorse. To help improve local fishing facilities, increase awareness of the fishing business and to create some temporary local employment, members voted to develop a fully equipped landing station in Dawson City where fish would be landed, cleaned and packed on ice for the trip to Whitehorse.

#### Example: Factor analysis of risks, uncertainties and influences

Risks, Uncertainties and Influences	Rank	Importance Weight	Options		
			Base Case Dawson No Partners	Whitehorse Building Retrofit No Partners	Icy Waters Joint Venture Partnership
Fish Supply Risk (access to "top up fish" or other fish to process)	1	0.90	m-h	m-l	l
Management/HR Risk	2	0.85	m	m-l	l
Marketing & Distribution	3	0.75	m	m	m-l
Risk from lack of member input / participation opportunities	1	1.00	l	m	m-h
Risk from Competition - primary processing	4	0.20	h	m-h	l
Service support risk	5	0.15	h	m	m
Distance from suppliers	5	0.15	h	m	m
Risk of not securing financing	1	1.00	m-h	m-h	l
Risk Management Score (relative probability of success)			0.70	0.73	0.88



## Step 8: Organization and Implementation

- ❑ **Project:** Metro Iloilo-Guimaras Economic Development Council
- ❑ **Location:** Iloilo, Philippines
- ❑ **Description:** Located in the western Philippines, the Metro Iloilo-Guimaras Economic Development Council (MIGEDC) is an economic development coordinating and implementing agency made up six neighbouring municipalities (City of Iloilo and the municipalities of Oton, of San Miguel, Pavia, Leganes and Santa Barbara) and the island province of Guimaras (a short 15-minute boat ride from the City of Iloilo).



While the concept of the council had been around for several years, its final development was kick-started by a UN-Habitat/Canadian International Development Agency-sponsored LED training workshop that involved representatives from the current members. In the workshop, the need for an LED coordinating agency with regional scope was highlighted and identified as an important strategic action. Following additional negotiations and discussions, the Metro Iloilo Development Council (a similar organization that was established in 2001 between the City of Iloilo and four neighboring municipalities) was formally merged with the Guimaras-Iloilo City Alliance (a loose alliance that was established in 2005) and additional municipal representatives added. The President of the Philippines formally established MIGEDC in August 2006.

With an advisory council made up of the Mayors of the participating municipalities and the Provincial Governor of Guimaras, MIGEDC's mission is to improve cooperation and partnerships in socio-economic development and in the management of environmental and natural resources in the region and to formulate, implement, coordinate and monitor programs, projects and activities that support the Mega-Region Economic Development Strategic Framework of the National Government.

This is achieved primarily through capacity building and institutionalization of LED and strategic planning processes amongst local government partners. MIGEDC executives, legislators, planners and NGO partners work in the region with the six municipalities and the island province of Guimaras to organize and deliver ongoing training workshops, professional development seminars and study tours for local government workers. Each local government member of the MIGEDC helps fund the organization and supplies it with equipment and materials.

The MIGEDC's spatial development is based on assumed functional roles where Guimaras Province assumes the role of agri-eco-tourism centre; Pavia is the agro-industrial centre; Leganes is the centre for light industries; San Miguel is the agricultural basket; Oton is the dormitory or bedroom community; and, Santa Barbara as the international air travel gateway. Iloilo City will remain as the residential, financial, commercial, governance and educational hub for Guimaras Island and the five "satellite" municipalities and the larger national region (Region VI).



## Step 8: Organization and Implementation

- ❑ **Project:** San Jose Tourist Management Board
- ❑ **Location:** San Jose, Costa Rica
- ❑ **Description:** While Costa Rica has many tourists and a major tourist industry, few tourists spend any time in the capital, San Jose. This is despite the fact that the city is home to the country's only international airport and the principal point of entry for international tourists.

In November 2005, a workshop was held to develop and explore initiatives that could help improve the city's tourism industry by increasing the number of overnight and multi-night stays. Workshop participants first reviewed an extensive situation assessment identified major challenges, opportunities and existing conditions in the city. From this, workshop participants worked to identify and then prioritize potential tourism development actions. When developing a corresponding implementation plan for the actions, participants determined that the most effective way to meet their goals of finalizing the action plan and implementing it, would be to create a joint group between the tourism industry and the municipality to work together. They called this the 'Junta del Turismo' or 'Tourism Board'.

The board was formally established in April the following year with the participation of the Central Bank, Chamber of Tourism, Association of Hotels, and tourism companies, amongst others. It represents the first private-public partnership in San Jose. The board has three main objectives:

1. To develop action strategies and plans for tourism;
2. To seek funding and investment, and oversee spending; and,
3. To oversee the construction of an international convention centre.

So far, the Junta del Turismo has helped develop formal artisan markets for local producers to display and sell their wares (and to create a tourist destination in and of itself), created specific working groups for tourist promotion (including marketing, product development and research) and are actively promoting a tourism video that profiles the city and what it has to offer.

In recognition of Costa Rica's core eco-tourism strengths (Costa Rica is recognized as one of the world's premier eco or environmental tourism destinations), the Junta del Turismo has determined to market and develop San Jose as the country's cultural tourism centre. The centre piece of this plan is the idea of turning the old railway station into an international conference centre with artisan markets, restaurants, hotels, financial and service industries, and park area.

The board's work is currently funded by both government grants and a membership fee charged to the organizations corporate and business members.

## MODULE 4: Have we arrived?

### Step 9: Monitor and Evaluate

- ❑ **Project:** City of Smolyan Local Economic Development Strategy 2004-2007
- ❑ **Location:** Smolyan, Bulgaria
- ❑ **Description:** The Smolyan Municipality situated in southern Bulgaria. It encompasses eight local councils and 86 towns and villages with a total population of 47,458. Like many municipalities former eastern-block countries, the community was facing considerable economic challenges in its transition to a democratic, free market system, including high unemployment, aging infrastructure and out-dated, state-controlled economic planning regimes and policies.



To help counter these challenges, the Deputy Mayor with responsibility for Tourism and Investment initiated a local economic development (LED) process with support from the Cities of Change network, a World Bank sponsored initiative, in 2001.

The process included a local economic assessment built around a series of stakeholder meetings to identify issues and prioritize opportunities. Through the planning process, it was determined that the long-term LED strategy should work to create a positive business enabling environment for the development and attraction of environmentally-friendly agricultural processing industries and for SME development in general in addition to tourism development. The LED strategy document was approved by Smolyan City Council in Fall 2002.

Included in the LED plan was a simple monitoring and evaluation system for the strategy. In it, the lead implementing agency (the Department of Investment and Tourism) developed at least one indicator or measure for each of goals and objectives (programs). Data sources for monitoring the indicator were identified and baseline data gathered.

The original LED strategy document was updated in 2004 as the result of a strategy monitoring and evaluation that had occurred between November 2003 and May 2004. The update coincided with a new political administration following local elections held in October 2003.

The revised strategy was informed by the development of a Tourism Development Strategy for Smolyan that was undertaken following the LED strategy. The Tourism Development Strategy identified a range of projects to implement. The same approach to monitoring and evaluation as was included in the original LED strategy was included with the Tourism Development Strategy. Both plans were also harmonized and integrated.

As the implementation time line of strategy initiatives was often longer than municipal political terms, the importance of ongoing political support, buy-in and involvement of all political parties was identified as a critical issue. To ensure that the strategy implementation activities “crossed political lines”, yearly monitoring and evaluation reports were prepared for the Mayor and Council that identified positive trends, successes and implementation challenges to be overcome. This open and transparent approach to monitoring and evaluation has helped better coordinate and improve strategy implementation and build cross-party support to the work.

The following tables illustrate the basic layout of the monitoring and evaluation strategy that was used for both the LED and Tourism strategies.

**Goals and Objectives:**

Goal or Program	Name of Indicator	Definition of Indicator	Source of Data	Initial Value	Current Value

**Output measures for each project:**

**Project Name:**

Milestone	Planned Stage	Done or Not	Planned Expenditures	Money Spent	Comments	Forecast and Planned Interventions

Step 10: Adjust and Modify

- Project:** Horezu LED Strategy Review
- Location:** Horezu, Romania
- Description:** Horezu is a small town of 7,000 located in central Romania that is the administrative, social and market service centre for a regional population of 40,000. Known for its pottery, Horezu’s economic activities were mainly based on agriculture and forestry. In the recent past, as Romania moved from a centrally planned regime to democratic market economy, Horezu found itself in a serious economic challenge characterized by a high unemployment rate, the closure of State Owned Enterprises (SoEs), increasing out-migration of young people seeking opportunities elsewhere, declining investment, and a weak municipal revenue base.

With the assistance of UN-Habitat the town was selected as a pilot site to field test the UN-Habitat – EcoPlan International 10-step LED strategic planning process in 2001. After successfully moving through the project, Horezu evaluated its effort and the resulting impacts in 2007(Outputs and Impact Evaluation Study. C. Petrescu et al. 2006). The two month review process involved stakeholder interviews, interviews with key project/program implementers, a review of outcomes and results and a detailed examination of monitoring program results. It was carried out by a neutral third party with experience in program evaluation.

The review process was a positive experience. Not only did it highlight LED project implementation successes, but it also identified basic changes that could be made to further improve outcomes. Overall, the most impressive finding was that 70% of strategy actions identified in the original strategy had been completed. Other key findings included:

- The need for improved dissemination of results to ensure successes (and challenges) are known
- The need for Strategy Implementation Team to include fewer people with precise deadlines to avoid “dilution of responsibility”
- The need to train facilitators and other “change agents” to expedite dissemination of strategic planning approach in nearby jurisdictions, and beyond and to maintain successful, local implementation track record.

The changes were presented to the City Council and project stakeholder and unanimously accepted by the Strategy Implementation Team. This team is currently working on implementing the three key recommendations.

*“Everything was chaotic before. That changes when the work is organized. We know exactly what we have to do, our direction and what we want to achieve.”* - Local resident

*“The City Hall used to be an institution that issues certificates. Now it has turned into a lucrative City Hall!”* - Local resident

## APPENDIX 4 – ADDITIONAL ACTIVITY INSTRUCTIONS

### Action Planning Instructions

Read the following instructions to your partner. Instructions can be repeated **only twice**.

**Step 1:** Find a piece of paper shaped like a rectangle

**Step 2:** Place the paper on a table with one of the long edges closest to you.

**Step 3:** Fold the paper in half lengthwise. When the two edges match up, use your thumb to make a sharp crease along the fold. The crease should be at the bottom.

**Step 4:** Take the upper left corner of the top layer of paper and fold it diagonally down toward the first crease you made. When the edges match up, use your thumbs to make a sharp crease along the new fold, which should create a small triangular flap.

**Step 5:** Turn the paper over. Take the upper right corner of the top layer of paper and fold it diagonally toward you, until the edges line up with the first crease you made. When the edges match up, make a sharp crease along the new fold. (This is a mirror of what you did in Step 4).

**Step 6:** Take the newly formed diagonal edge on the right side of the paper, and fold it straight down toward the first crease you made. When the edges match, make another sharp crease.

**Step 7:** Turn the paper over, and again fold the diagonal edge down toward the first crease you made; make another sharp crease. The paper should now look like a triangle with a 90-degree angle.

**Step 8:** Flip the paper over and repeat steps 6 and 7. (Note: Remember, if you have read either Step 6 or 7 twice already, you cannot read them out again to your partner.)

**Step 9:** Hold the paper in one hand along the first crease you made. Let the newly folded pieces of paper flare out.

## Fictionali - SWOT Analysis Activity

Identify the following issues as Strengths, Weaknesses, Opportunities or Threats.

- Growing international and bilateral donor interest in region
- Significant local taxes (commercial property, parking, taxi, business, hotel, restaurant, etc.)
- National tourism industry poorly marketed
- Timber resources and processing capacities for value-added work, including furniture
- Small port and rail links to interior
- Few large employers/industries
- Food processing conducted throughout region (i.e., not clustered)
- Regional tourist destinations with nearby hotels, nearby beaches, wetlands and rainforests
- Entrepreneurial informal sector with two markets, one operated by a woman's group
- Good access to micro-credit
- No LED strategy
- Existing industrial lands
- Congested, poorly managed port
- Growing unplanned communities south of city
- Central Business District with good services and transportation links
- City Council supportive of local economic development
- Difficult business environment (processing delays for licenses and other city requirements, high
- National and private sector disinvestment in existing transportation linkages (port, rail, roads)
- city taxes, poor coordination and consultation with business community)
- Some large businesses & multi-national presence (Coca Cola bottling plant, Nestle canning and fruit drink factory)
- Department of Economic Development that caters to small and micro-enterprises
- High unemployment
- Environmental and social NGOs that are well established
- Fluctuating resource prices (agriculture, timber and rubber)
- Poor and congested transportation linkages
- Banking and financial resources (8 banks and 2 credit unions) with access to micro credit
- Growing tourism industry in Imaginaire
- The Technical College of Imagination located in the city.
- Poor transportation linkages to and through city
- Agricultural resources, including palm nuts, vegetables and spices
- Reputation as a dangerous place where petty crime is commonplace (despite studies that show crime is no greater than the national average)
- Capital city improving rail links to city
- Large and unregulated informal sector, active in Central Business District
- Industry and manufacturing declining steadily
- Good water supply
- LED becoming an important national issue
- Limited urban planning and no economic development strategy
- Local Chamber of Commerce
- Major sea channel for regional and international trade just offshore
- Competes with nearby Imaginaire for tourism and agriculture

## Handout 1

### Objectives

- Minimize cost to implement
- Maximize direct employment
- Maximize municipal earnings
- Maximize number of people transported
- Increase safety

Ideas	Advantages	Disadvantages
1. Do nothing – Business as usual.	It is easy.	It has been identified as a problem for several years.
2. Encourage small independent water taxis. The municipality is considering helping to promote the taxis by upgrading the docks, prohibiting large ships from anchoring in the main taxi route and licensing them to improve regulation.	Can be done relatively quickly with no outside help. It will take some traffic off the old bridge.	May cause problems with water traffic. They are hard to control and keep track of.
3. Buy a municipal ferry. Requires a new dock, but could permit larger vehicles to travel by ferry.	It is possible to do quickly with minimal outside technical assistance.	Expensive. Will likely require borrowing money.
4. Building a large vehicle transport bridge. This would involve taking space on both sides of the river where buildings now exist.	It will take pressure off the traffic of the old bridge and keep the water lanes clear.	Very expensive. Requires outside assistance. Minimum 3-year time frame.
5. Small pedestrian – bicycle floating bridge. Slightly north of the main port. It would have one small section where ships could pass under.	Permits people to cross when they want. Easy to build. Can be done in a year.	Relatively expensive. Will likely require borrowing money.
6. Combination of assisting water taxis and upgrading the existing bridge to take more traffic.	Easily done. Could be done soon. Only moderate upgrades needed on the docks.	Bridge repairs still costly. It may not meet long term needs.
7. Building a tunnel. This would disrupt the homes and businesses less than building a new bridge.	It will take pressure off the traffic of the old bridge and keep the water lanes clear	Very expensive. Technical and financial assistance required. Time consuming.

## Yawning River Crossing: Making the best decision you can

### Handout 2

#### Part 1 – Eliminate weak alternatives

Look at the data and see if there are any objectives that can be eliminated because the difference between the alternatives is small. Next look to see if there are any options that can be eliminated because there are others which are clearly 'better' at meeting the objectives.

Objectives	Measurement (High is desirable and low is undesirable)	Alternatives						
		Do Nothing	Expand and formalize independent water taxi service	Municipal ferry	New bridge	Small pedestrian / bicycle floating bridge	Contribute to upgrade old bridge and improve water taxis	New tunnel
Minimize cost to Fictionali (implementation and operations)	Present value in S/Year (over 20 years)	H=5	H=5	M=3	L=1	ML=2	MH=4	L=1
Maximize direct employment	# new local jobs (year-round equivalents)	L=1	M=3	MH=4	H=5	ML=2	H=5	H=5
Maximize municipal earnings	Present value in S/Year (over 20 years)	L=1	ML=2	ML=2	ML=2	L=1	ML=2	ML=2
Maximize # of people transported	# people crossings per month in 1000s	L=1	ML=2	M=3	H=5	M=3	M=3	H=5
Improve safety	Probability of accidents per 10,000 people crossing the river	ML=2	MH=4	MH=4	MH=4	H=5	MH=4	MH=4



SCALE				
Low=1	ML=2	Medium=3	MH=4	High=5
← Less Desirable		More Desirable →		
L (\$2m>)	ML (\$1-2m)	M (\$5-1m)	MH (\$2-5m)	H (\$0-2m)
L (<10)	ML (<5)	M (5-20)	MH (20-35)	H (35>)
L (<\$5,000)	ML (\$5,000-\$10,000)	M (\$10,000-\$20,000)	MH (\$20,000-\$30,000)	MH (\$30,000>)
L (<10)	ML (0-50)	M (50-100)	MH (100-300)	H (300>)
L (>4)	ML (3-4)	M (2-3)	MH (1-2)	H (<1)

Handout 3

**Part 2 – Weighing Objectives**

Local VALUES are incorporated by determining how important one objective is to another

OBJECTIVE	MEASUREMENT	Worst outcome	Best outcome	Rank	Weight
Minimize cost to Fictionali (implementation and operations)	Present value in \$/Year (over 20yrs)	L (\$2m>)	MH (\$2-5m)		
Maximize direct employment	# new local jobs (year-round equivalents)	M (5-20)	H (35>)		
Maximize # of people transported	# people crossings per month in 1,000s	ML (0-50)	H (300>)		

**Part 4 – Option Score Sheet**

OBJECTIVES	Expand and formalize independent water taxi service			Municipal ferry			New bridge			Contribute to upgrade old bridge and improve water taxis		
	Value Weight	Technical Score	Overall Score	Value Weight	Technical Score	Overall Score	Value Weight	Technical Score	Overall Score	Value Weight	Technical Score	Overall Score
Minimize cost to Fictionali (implementation and operations)	0	x 5	= 0	0	x 3	= 0	0	x 1	= 0	0	x 4	= 0
Maximize direct employment	0	x 3	= 0	0	x 4	= 0	0	x 5	= 0	0	x 5	= 0
Maximize # of people transported	0	x 2	= 0	0	x 3	= 0	0	x 5	= 0	0	x 3	= 0
	Overall Total Score		0	Overall Total Score		0	Overall Total Score		0	Overall Total Score		0

### **Part 5 - Look at feasibility and timing**

With the remaining Options, take a moment to discuss their feasibility for being implemented using the check list below to guide the discussion. Discuss the idea of 'timing'. Could there be a possible sequence of options? What can be done immediately (the low hanging fruit), and what could be phased in with time? Think strategically. Is it better to go for a large comprehensive project now? Or is it better to do something quickly now and continue working on implementing a larger, more comprehensive project?

#### **Political Will**

- Is there solid political will?
- Is it a political priority?
- Can political will and priority be changed (i.e education)

#### **Organizational complexity**

- Who is involved and how complex will it be to manage them?

#### **Spheres of control and influence**

- How much "control" does the municipality have over the project?

#### **Re-assess Constraints**

- What are the key constraints?
- How have these constraints affected the design of strategy options?
- Have the constraints limited or changed the decisions?

#### **Information**

- Will more information really change the decision?
- What information is critical?
- Can an alternative be designed to address key data gaps and uncertainties?

#### **Cost**

- What actions would you choose on a limited budget?
- Can alternative sources of financing be found?

#### **Capacity**

- Is there organizational capacity and expertise to implement the strategy options?
- If not, is capacity-building included in the revised strategy option?

#### **Timing**

**Urgency** – Does an action need to happen right away? Is there a specific "window for action"?

**Deadlines** – Are there deadlines and how important are they?

**Phasing or Sequencing** – Does one action need to happen before all others?

(Phasing can be helpful to design a good strategy, build consensus and ease cash flow.)

## APPENDIX 5 – GLOSSARY OF TERMS

Local Economic Development has its own language and terminology, and many of the terms surrounding LED require interpretation and negotiation when applied in different institutional settings. Since some of these commonly used terms are not universally understood, the following list of descriptions will provide greater understanding.

**Action:** A single activity as part of a strategy option. Example: “Provide infrastructure for informal economy marketplace.”

**Action Plan:** A result-oriented, time-bound and actor-specific plan negotiated among stakeholders within an agreed strategy framework.

**Additionality (The Principle of):** The principle that funding from a particular source is additional to that provided by national and local authorities. The additionality principle requires that funds awarded for a project should not be used merely to substitute or replace existing funds, but for additional projects and activities.

**Basic and Non-basic sectors:** Basic sector activities are those commercial activities whose goods and services are consumed by non-residents of the local area. Money is attracted to the local economy by basic sector economic activities. Once this money is attracted to the local economy, it is in the interest of the local area to keep it circulating locally. This is done by creating “spin-off” economic activities in the non-basic sector whose goods and services are consumed by local residents. The more developed the non-basic sector, the greater the local economic benefits.

**Business-enabling environment:** A Business-enabling environment is a pro-market environment that supports enterprise development. It is an approach that should combine governance with culture. It approach includes clear decision rules and procedures are needed in government, such as effective business codes and land-use zones that promote long-term plans rather than politically expedient, short-term decisions. It is an environment where the political environment is safe and not corrupt or exposed to the devastating effects of cronyism, nepotism and corruption. Also, enabling environments have a high ease of business entry and efficient regulation-enforcement.

**Business management training:** Programs that provide guidance and instruction on the fundamentals of business development, such as accounting and marketing, allowing businesses to improve their chances of success.

**Capital:** Capital is economic and social wealth that relates to, or serves as assets that add to the long-term net worth (of a local area). It is a useful concept for LED because it implies that capital must be maintained and invested in and can be drawn upon in times of need.

- ❑ **Human Capital** —The set of skills that an individual acquires, through training and experience, and that increases this individual’s value to society or in the marketplace.
- ❑ **Social Capital** — The organizational aspects of society such as networks, norms and social trust that facilitate coordination and cooperation for mutual benefit. Includes information flows that provide social links and access to business, economic, market, social and environmental knowledge.
- ❑ **Financial Capital** — The cash, monetary investments and monetary instruments used in a functioning economy.
- ❑ **Manufactured and Physical Capital** — The technology, machines, tools and factories of a functioning economy.
- ❑ **Natural Capital** — The resources, living systems and ecosystem services required for a functioning economy.

**Civil Society:** A term used to distinguish a third sector of society, distinct from the market or the economy and the state or government. It is ultimately about how culture, market and state relate

to each other. Civil society refers to the set of institutions, organizations and groups situated between the state, the business world, the tribe (in some cases), the family and the individual. It specifically refers to forms of social participation and engagement and the values and cultural patterns associated with them. It often includes voluntary and non-profit organizations (e.g., NGOs, CBOs), philanthropic institutions and social and political movements.

**Cluster:** A business cluster is a geographic concentration of interconnected businesses, suppliers, and associated institutions in a particular field. Clusters are considered to increase the productivity of the companies in the cluster, drive innovation in the field and stimulate new businesses in the field. Clusters can be developed along sectoral lines (e.g. a cluster of businesses operating together from within the same commercial sector like furniture making), along horizontal lines (i.e., the cluster shares resources), or on vertical lines (i.e. a supply chain cluster).

**Community:** People living in a particular area with a common history or common socio-cultural, economic and/or political interests.

**Community (Local area) Based Organizations (CBO):** These are organizations based in and working in one or more local communities (neighborhoods or districts); they are normally private, charitable (non-profit) organizations run by, and for, the local area (sometimes covered under the NGO designation).

**Competitiveness:** Competitiveness is a comparative concept of the ability and performance of a firm, sub-sector or country to sell and supply goods and/or services in a given market. The usefulness of the concept, particularly in the context of national competitiveness, is disputed by many economists. The term may also be applied to markets, where it is used to refer to the extent to which the market structure may be regarded as “perfectly competitive”. This usage has nothing to do with the extent to which individual firms are “competitive”.

- ❑ **Market Competitiveness:** At the market level, predicting changes in the competitiveness of business sectors is becoming an integral and explicit step in public policy making.
- ❑ **Firm competitiveness:** Refers to the drive of individual enterprises to improve their own competitiveness, typically through more efficient and improved productivity, labour supply, marketing and prices/costs for the business.
- ❑ **National Competitiveness:** The term is used to refer in a broader sense to the economic competitiveness of countries, regions or cities. Recently, many countries are looking to increase their competitiveness in global markets and have established advisory bodies or special government agencies that tackle competitiveness issues. National competitiveness is said to be particularly important for small open economies, which rely on trade, and typically foreign direct investment, to provide the scale necessary for productivity increases to drive increases in living standards.

**Core Planning Group:** The core planning group includes the initiators of the planning process who are responsible for ensuring conditions are favorable to initiate and maintain the planning process.

**Cost of doing business:** Refers to the costs of operating a business in a certain community or area. The term is generally used to group expenses that are necessary to the continued functioning of the business, but that do not directly generate profits. Typical examples of costs include taxes, overhead expenses, like rent, utilities and permits, and other business development and operations costs not typically accounted like the basic costs of living in one community versus another (i.e., housing costs, food costs, additional security costs for the home and/or business, etc.).

**Economic Leakage:** Money circulating in a local area that is re-spent outside of the local area by local residents and businesses; therefore, the money is lost from the local economy.

**Entrepreneurship:** The practice of starting new organizations, particularly new businesses generally in response to identified opportunities. Entrepreneurship is often a difficult undertaking, as a majority of new businesses fail. Entrepreneurial activities are substantially different depending on

the type of organization that is being started. Entrepreneurship ranges in scale from solo projects (even involving the entrepreneur only part-time) to major undertakings creating many job opportunities.

**Equity:** Equity is a term whose meaning depends very much on the context. In general, you can think of equity as ownership in any asset after all debts associated with that asset are paid off. For example, a car or house with no outstanding debt is considered the owner's equity since he or she can readily sell the items for cash. Stocks are also considered equity because they represent ownership of a company.

**Facilitator:** A person trained or experienced in leading a participatory process and facilitating group discussion, consultations and meetings. He or she has the skills to apply the various techniques and tools that make joint activities more efficient and more participatory.

**Forward Strategy:** This is an arrangement to continue the life of a LED project after the initial project funding has stopped. This is sometimes described as an exit or succession strategy. This should be established at the outset of all projects that are likely to need ongoing capital or revenue resources after the initial period of establishing the project.

**Goals and targets:** A specific, well-defined end. Example: "Reduce the number of families living in poverty (under the poverty line) by 50 per cent by 2010."

**Governance:** Governance is not government. Governance is a concept that recognizes power both inside and outside the formal authority and institutions of government. Governance is defined as the ability to coordinate and promote policies, projects and programs that credibly represent a broad range of interests (e.g., government, the private sector and civil society). Public involvement, institutional development, transparency of decision making procedures, interest representation, conflict resolution, limits of authority and leadership accountability are all issues of governance.

**Globalization (economic):** The rapid spread of markets around the world and the coinciding expansion of economic linkages, integration and interdependence of countries. Economic globalization is being fostered by trade liberalization (the increased circulation of goods) and financial liberalization (the expanded circulation of capital).

**Globalization (social):** The rapid spread of ideas and values around the world and the coinciding expansion of social linkages. Social globalization is being fostered mainly by the Internet but also by advances in global travel and communication.

**Indicators:** Measures of performance that provide operational definition to the multi-dimensional components of LED objectives and assist with communication. (Also see Performance Measure.)

**Innovation:** While there are many definitions, the classic definition of innovation involves the process of making improvements to a product or process by introducing something new to it. In economics, the change usually must increase value, customer value, or producer value. Innovation is an important topic in the study of economics and business, as it is considered to be a major driver of the economy. The factors that lead to innovation are also considered to be critical to policy makers.

**Institutionalization:** Institutionalization of the participatory decision-making process is absorption and integration of the process principles, capacities and products into the institutions and organizations of the local government, city or higher level of government. It means that the activities of the process will have become normal and will be routinely applied in the day-to-day operations of organizations and stakeholder groups.

**Issues:** Concerns that are related to, or affected by, a decision or plan.

**Multiplier Effect:** Keeping money that is attracted to the local area circulating locally through the development of the non-basic sector is known as the "multiplier effect." The lower the multiplier,

the sooner money leaves the local area, resulting in fewer jobs and less income. For example, when a foreign tourist stays at a local hotel and spends money (tourism is a non-basic sector), it is in the interest of the local area to supply the hotel with goods and services, such as local art or local laundry services.

**Non-Governmental Organization (NGO) (i.e., non-profit organization):** A term applied to a wide range of organizations that are not established by, or operated by, government. NGOs are usually private, non-profit organizations (often include Local Area-Based Organizations).

**Objectives (i.e., criteria):** Objectives clarify a direction of preference that can be traded off (a little more of this for a little less of that). They are decision or evaluation criteria. Example: "Reduce poverty."

**Participation:** The active involvement of different stakeholders in a planning process that allows a spectrum of voices to be included in a final plan.

**Performance Measure (see indicator, attribute):** Measures or indicates how well an objective is being satisfied. Example: "The number of families living under the poverty line."

**Planning Question:** The question that determines the purpose of the planning exercise. It is often linked to the triggering event.

**Productivity:** In economics, productivity is the amount of output created (in terms of goods produced or services rendered) per unit input used. For instance, labour productivity is typically measured as output per worker or output per labour-hour.

**Stakeholder:** Individuals and groups that have an interest in, are involved with, or are affected by, a policy or plan devised by government, community or business. In the context of participatory decision-making, this word is applied to groups, organizations (formal and informal, public and private) and individuals that have an important "stake" in the process of urban management and governance – regardless of what that "stake" might be. Working Groups are often formed with stakeholders and experts in issue-specific strategy negotiation, action planning, implementation of demonstrations, projects, etc.

**Strategy:** A broad plan or approach.

**Strategy Option (aka alternative scenario):** Action or groups of actions that can be taken to achieve given objectives. Example: "Streamline informal economy permit requirements, provide infrastructure for informal economy marketplace, and develop business profile to market local area to investors."

**Supply chain:** A supply chain, logistics network, or supply network is a coordinated system of organizations, people, activities, information and resources involved in moving a product or service in physical or virtual manner from supplier to customer. Supply chain activities transform raw materials and components into a finished product that is delivered to the end customer. The primary objective of supply chain management is to fulfill customer demands through the most efficient use of resources, including distribution, inventory and labour. Various aspects of optimizing the supply chain include liaising with suppliers to eliminate bottlenecks and traditional logistics optimization to maximize the efficiency of the distribution side.

**Value:** The relative worth, utility or importance of something to an individual.

**Value Added:** The enhancement added to a product or service by a company before the product is offered to customers.

**Value Chain:** A business management concept that categorizes the generic value-adding activities of an organization. The "primary activities" include: inbound logistics, operations (production), out-

bound logistics, marketing and sales, and services (maintenance). The "support activities" include: administrative infrastructure management, human resource management, R&D, and procurement. The costs and value drivers are identified for each value activity. The value chain framework is often used as an analysis tool for strategic planning. Its ultimate goal is to maximize value creation while minimizing costs. Capturing the value generated along the chain is the new approach taken by many management strategists. For example, a manufacturer might require its parts suppliers to be located nearby its assembly plant to minimize the cost of transportation.

**Value for Money:** A comparison of the public sector costs of the intervention with the additional, non-displacing or substituting (i.e. "net additional") benefits it has generated. Occasionally this generates a single measure of cost-effectiveness, but often Value for Money is presented in the form of a basket of net additional benefits per unit of public sector expenditure.

**Working Group:** An issue-specific Working Group is a small body of stakeholder representatives and experts who come together to address a multifaceted issue of their common concern. The members possess mutually complementing information, expertise, policy and implementation instruments and resources, which they bring together and use in collaboration within the framework of the participatory process.







Without strong local institutions and motivated staff, decentralization and human settlements reform will not deliver the desired development outcomes. Yet, many local authorities and civil society organisations lack the human resources required to meet urgent needs. Training and capacity building is therefore a wise investment into the future sustainability of our cities. The Training and Capacity Building Branch (TCBB) of UN-HABITAT supports national training institutions to build their capacity to implement innovative programmes, focusing on local governance and sustainable human settlements development. Typical activities include training needs assessment, development of manuals, training of trainers, and impact evaluation. TCBB products have been successfully adapted and translated into over 20 languages.

The Trainers' Guide is a companion document to the Local Economic Development (LED) Series. The series is comprised of Volume 1- Quick Guide, Volume 2- Manual, Volume 3 – Toolkit, Volume 4 -Action Guide and Volume 5 – Trainer's Guide. The Trainer's Guide has been developed to assist trainers in the design and delivery of training workshops based on the LED series. The guide will help trainers provide an experience that is responsive to the audience and to the local context. It provides field-tested advice on the efficient management of the training process from workshop organization through to post-training evaluation, participant follow-up and monitoring. The Trainers Guide is intended for experienced trainers and facilitators who have a basic understanding and knowledge of the fundamental concepts of strategic planning and local economic development. While the Trainer's Guide is intended as a companion piece to the first four volumes of the training series, it includes valuable tools that could be used in many other related training situations.

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