

# Guide for Integrated Planning in Africa

Mainstreaming the SDGs, Agenda 2063, Climate Change and Disaster Risk Reduction in National Development Plans

*Produced by the United Nations Development Programme, the African Development Bank, the United Nations Economic Commission for Africa and the African Union Development Agency-NEPAD*



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# Guide for Integrated Planning in Africa

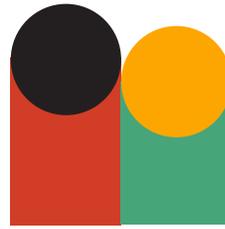
Mainstreaming the SDGs, Agenda 2063, Climate Change  
and Disaster Risk Reduction in National Development Plans

→ This guide is also available online: [ipguideafrica.org](http://ipguideafrica.org)



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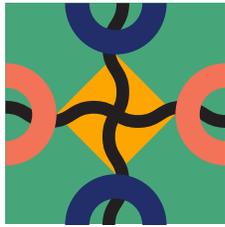
# A better and more sustainable future for all.



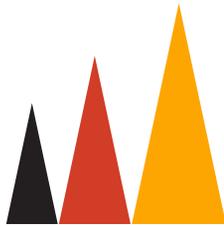
No Poverty



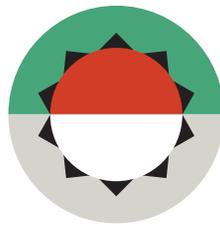
Zero Hunger



Gender Equality



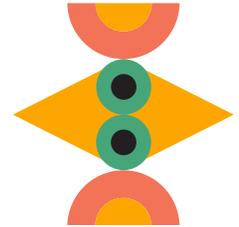
Economic Growth



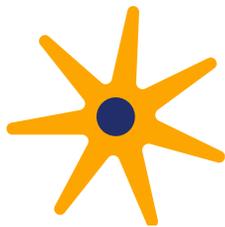
Clean Energy



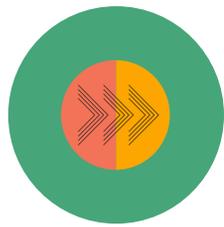
Education



Good Health



Creativity



Innovation



Communities

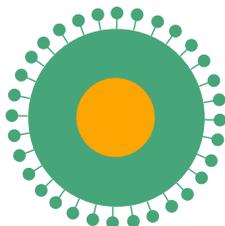


Transformation

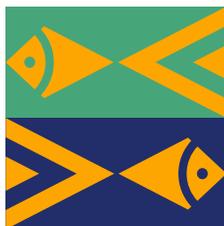


Responsible Production

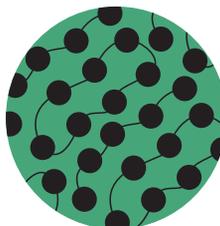
4



Climate



Water Life



Partnerships



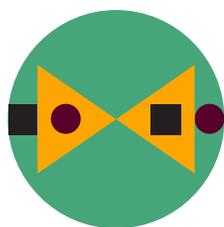
Peace



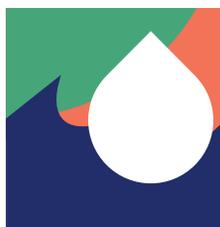
Adaptability



Universe



Cooperation



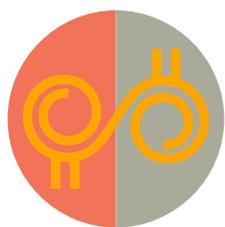
Clean Water



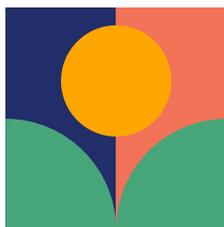
Power of Love



Hope



Energy



Land Life



Safety



Strength



Reduced Inequalities

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## Acknowledgements

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## Acronyms

AfDB	African Development Bank
AU	African Union
AUDA-NEPAD	African Union Development Agency-NEPAD
CDA	Conflict and Development Analysis
CEDAW	The Convention on the Elimination of all Forms of Discrimination Against Women
CLEWS	Climate Land Energy Water System
CSO	Civil Society Organisation
DRF	Disaster Recovery Framework
DRR	Disaster Risk Reduction
FCAS	Fragile and Conflict Affected Situations
IDP	Internally Displaced People
IFs	International Futures
IPRT	Integrated Planning and Reporting Toolkit
LNOB	Leave No One Behind
MfDR	Management for Development Results
NDCs	Nationally Determined Contributions
NDP	National Development Plan
NEPAD	New Partnership for Africa's Development
NHRI	National Human Rights Institution
NPF	National Performance Framework
PDNA	Post Disaster Needs Assessment Guidelines
PRSP	Poverty Reduction Strategy Paper
RIA	Rapid Integrated Assessment
RPBA	Recovery and Peace Building Assessment
SDG	Sustainable Development Goal
ToC	Theory of Change
UN	United Nations
UNDESA	United Nations Department of Economic and Social Affairs
UNDP	United Nations Development Programme
UNDRR	United Nations Office for Disaster Risk Reduction
UNECA	United Nations Economic Commission for Africa
UNFCCC	United Nations Framework Convention on Climate Change
VNR	Voluntary National Review

# The challenges facing humanity today are unprecedented

## Foreword

*Communities around the world are grappling with the unfolding implications of a climate emergency and a global pandemic that have impacted our health and our social, economic, and environmental wellbeing. The crises brought about by climate change and COVID -19 may have unforeseen consequences that could derail development progress for countries, cities, and citizens everywhere.*

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Africa is no exception and the region's vulnerability to climate change combined with the socio-economic impacts of the pandemic require urgent responses. However, these challenges also present Africa with an opportunity to forge strategic partnerships and develop tools that can leverage knowledge and ingenuity aimed at building more sustainable communities while strengthening resilience to withstand future shocks. Ongoing initiatives by regional and multilateral organizations will play a critical role in accelerating development in the region towards a more prosperous, inclusive and just world; where economic security and people's well-being is guaranteed and no one is left behind; where inclusive growth can be realised through sustainable infrastructure, and communities are better equipped to deal with environmental crises, including climate change and biodiversity loss.

Indeed, as partners, our organizations – the United Nations Development Programme (UNDP), the African Development Bank (AfDB), and the United Nations Economic Commission for Africa (ECA) in collaboration with the African Union Development Agency-NEPAD (AUDA-NEPAD) bring into Africa's development space valuable knowledge and tools that can support and inform policy and investment choices being made in national and regional systems in the pursuit of solid pathways towards resilient and inclusive growth at sub-national, national, and regional levels.

These are reflected through our collaborative efforts under the Africa Nationally Determined Contributions (NDCs) Hub as well as the core strengths of each agency, including UNDP's Africa Resilience Hub and its focus on innovative tools and digital solutions; AfDB's High 5 for Transforming Africa in support of agriculture, energy, industrialization, integration and quality of life; ECA's Integrated Planning and Reporting Tool (IPRT); and the AUDA-NEPAD's Agenda 2063 Accelerator Hub, drawing from an extensive Member States' Capacity Needs Assessment on the implementation of Africa's Agenda 2063. These will be critical enablers for economic growth, recovery, and building of socio-economic resilience as set out in the African Union's Continental Green Recovery Action Plan and the ECA's pandemic recovery strategy outlined in its Building Forward for an African Green Recovery.

This Guide is the result of a partnership by our organizations to help countries recover and build resilience through integrated development planning, leveraging on the SDGs, Africa’s Agenda 2063 and the NDCs. As such, it intends to facilitate recovery pathways crafted by national governments, based on their own priorities.

Integrated planning provides the means to choose a future trajectory that is not a repetition of the past. It does so by applying integrated context analyses for development planning to help us understand the world we have and how we got here, followed by fore-

sight techniques and predictive analytics to help us build the future we want.

Equipped with these techniques and with the knowledge provided by sophisticated modelling tools, Africa is better placed to tackle current challenges and build the much-needed resilience that enables us manage future risks arising from automation, extreme weather patterns and events, migration and extremism.

Our times call for innovative solutions to enable the recovery we need to build forward better and fairer, together. This publication is a step in that direction.



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# A demand for new tools to support planning in an integrated way

## Background

*In 2015, African countries, together with other members of the United Nations General Assembly, adopted the 2030 Agenda for Sustainable Development and committed to realising its ambitious 17 Sustainable Development Goals (SDGs). They also pledged to ‘Leave No One Behind’ (LNOB) and ‘to reach the furthest behind first’ in the pursuit of sustainable development. Earlier that year, in January, the Heads of State and Government of the African Union had adopted Agenda 2063, which responds to the continent’s specific development challenges through seven aspirations and 20 goals.*

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Three years later, the African Union and the United Nations signed the AU-UN Framework for the Implementation of Agenda 2063 and the 2030 Agenda for Sustainable Development, at the 30th African Union Summit. The joint AU-UN sustainable development framework envisions stronger coordination between the two organisations to ensure that the UN’s 2030 Agenda and the AU’s Agenda 2063 are mainstreamed and integrated into the national planning frameworks of Member States and contribute positively to people-centred and planet-sensitive structural transformation in Africa.

As signatories to both agendas, African countries find themselves having to simultaneously implement two bold initiatives. While a longstanding tradition of Poverty Reduction Strategy Papers (PRSPs) and Management for Development Results (MfDR) have helped to strengthen capacity for national planning and budgeting processes in several African countries, the traditional planning approaches and tools available to countries have been proven to be inadequate for addressing the need to reflect international commitments, such as the SDGs, Agenda 2063, the Paris Agreement Nationally Determined Contributions (NDC’s) and other priority development issues in countries’ planning and policy frameworks.

This has generated a demand for new tools, approaches and institutional capacity support for planning in an integrated way that not only mainstreams the global and continental commitments that countries made, but also takes into consideration the inter-sectoral trade-offs and synergies. In the wake of the COVID-19 pandemic, countries are also demanding new planning tools that help to explore probable future scenarios and adequately plan for them.

The conclusion of the Paris Agreement on Climate Change in December 2015 rekindled hope on a collective, cooperative and genuine global effort to tackle climate change. To maintain this political momentum countries will strive to scale up adaptation action and raise their ambition to reduce emissions. African countries, along with the rest of the world, submitted national climate commitments known as Nationally Determined Contributions (NDCs); NDCs should be aligned to national priorities and implemented in the context of sustainable development as guided by the 2030 Agenda and its ambitious 17 Sustainable Development Goals (SDGs). In the same year, countries adopted the Sendai Framework on Disaster Risk Reduction to protect their hard-won development gains.

The need to jointly mainstream the global and the continental agendas into national policies and plans, together with agendas related to climate change, disaster risk, Leave No One Behind (LNOB), peace and security pose enormous challenges. These are compounded by systemic risks posed by the so-called 'Black Swans' – unpredictable events with major consequences for national economies, such as the COVID-19 and other pandemics.

To respond to these demands, the UNDP Regional Bureau for Africa has partnered with the African Development Bank (AfDB) within the framework of the Africa NDC Hub, the African Union Development Agency- New Partnership for Africa's Development (AUDA-NEPAD) and the United Nations Economic Commission for Africa (UNECA), to develop the current guide, with the objective to support planners in African countries to develop a new generation of national development plans that mainstream the SDGs, AU Agenda 2063, the Paris Agreement/NDCs, the Sendai Framework for Disaster Risk Reduction, Peace and Justice, and gender equality as a key catalyst for economic development in the continent.

# How to use this Guide

*This Guide has a modular structure that follows a step-by-step path from pre-planning preparations to the formulation of the National Development Plan (NDP) including its strategic and operational components. The instructions and tools provided are not prescriptive: they are intended as a menu of options that planners can select according to national circumstances. On the next page is an overview of the Modules and their contents.*

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## Modules **Module 1**

### **Preparatory Phase: ‘How do we get ready?’**

The preparatory phase comprises of preliminary steps that need to be taken to start an integrated planning process that considers the referenced Agendas and frameworks. This phase supports planners as they design the planning structure and process, to ensure an all-of-government and all-of-society approach, in line with the LNOB principle as well as peace and justice considerations.

## **Module 2**

### **National Development Vision: ‘The world we want’**

The National Development Vision is a long-term plan that articulates the country’s aspirations and guides efforts toward the achievement of development goals. This Module offers planners guidance on collecting and distilling information to formulate the National Development Vision while incorporating the SDGs, Agenda 2063, as well as the goals of the Paris Agreement, the Sendai Framework for Disaster Risk Reduction, the LNOB Principle, gender and peace and justice considerations.

## **Module 3**

### **Integrated Context Analysis: ‘The world we have’**

The purpose of this Module is to support planners in gathering data to see where they are in their development trajectory, and how they got there. This Module describes how to carry out an Integrated Context Analysis as a baseline for the NDP, based on the principles of alignment and integration. While alignment means linking the country’s goals, targets and indicators to the ones encapsulated in the SDGs, Agenda 2063, as well as international commitments to which the country is party, integration refers to policy integration across sectors and themes, so that policies can build on synergies and take into account the possible trade-offs associated with the agenda goals and targets in the NDP.

## **Module 4**

### **Integrated Future Analysis: ‘The worlds we get’**

This Module presents possible pathways to development based on how various future scenarios are constructed, building on the Vision as well as the empirical data collected in the previous Modules. Building on the Integrated Context Analysis, the integrated future analysis is based on processes of anticipation that identify opportunities and threats that may arise in mid- to long-term versions of the future. It draws on different combinations of assumptions, data and trends to explore multiple scenarios or futures, including policy trade-offs, with a view to inform decision-making.

## **Module 5**

### **Strategic Plan: ‘Towards the world we want’**

Based on the outputs of Modules 2, 3, and 4, this Module offers guidance to planners in formulating the country’s strategic goals, development outcomes and the strategies required to achieve the National Development Vision, buttressed on a robust theory of change and a comprehensive analysis of available / expected resources.

A template is provided to support planners as they link their targets to the SDGs, Agenda 2063, the Paris Agreement, the Sendai Framework, the LNOB principle, gender and peace and justice considerations.

## Module 6

### Operational Plan: *‘Realising the world we want’*

This Module helps planners flesh out how the Strategic Plan will be implemented in practice. The Module provides a template where planners can indicate the policies, programmes and key performance indicators they will use to achieve the strategic goals, development outcomes and strategies identified in the previous Module, building on SDG and Agenda 2063 indicators.

## Tools, templates and examples

A selection of recommended tools is listed at the end of each Module. Where tools to support a specific step are not available, a template is provided. Links to country examples are provided in the footnotes to help planners visualize outputs under each Module.

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### In-depth guidance online

For in-depth guidance on mainstreaming the Nationally Determined Contributions, the Sendai Framework, Gender, the Leaving No One Behind principle and Peace and Justice considerations for each step of the planning process, please consult the respective tabs under each Module in online version of the Guide at:

→ [ipguideafrica.org](http://ipguideafrica.org)

### Annexes

An overview of international commitments is included in Annex 1. Annex 2 features a Stakeholder Analysis tool designed to inform the planning process. Annexes 3, 4, and 5 contain a list of guiding questions to support Module 3 – Integrated Context Analysis.

### Special Supplement

#### *Note on Developing More Resilient Plans in the Aftermath of the COVID-19 Pandemic*

The Note is included as a special supplement to this Guide in order to provide additional guidance for African governments in the context of the COVID-19 pandemic and other possible events in the future that may threaten development gains. It recommends a three-pronged approach to integrated national development which includes adjusting, anticipating, and adapting through the application of tools discussed in Module 4.

# Planning for the next generation





# Module 1

## Preparatory Phase: *How do we get ready?*

### Introduction **What is the preparatory phase?**

The preparatory phase comprises of preliminary steps that need to be taken to start an integrated planning process that takes into account the SDGs, Agenda 2063 and other international commitments. This phase guides planners to determine their institutional structure and other preparations from beginning to end, in order to define the results and identify activities, time frame and relevant stakeholders to be included.

### **Why is this Module helpful?**

This Module will help you prepare for the national development planning process in a manner that ensures alignment with the SDGs and Agenda 2063, as well as integration of internationally agreed commitments: the Paris Agreement, the Sendai Framework, the principles of Gender Mainstreaming and Leave No One Behind (LNOB), as well as peace and justice considerations. For an overview of internationally agreed commitments, please see Annex 1 International Commitments. The preparatory phase is also key to ensure shared ownership of the National Development Plan (NPD) through meaningful stakeholder engagement and an effective communication strategy in order to develop an inclusive planning process.

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### **What are the outputs of the preparatory phase?**

- Concept Note for the National Development Plan
- Work Plan
- Institutional Planning Structure
- Stakeholder Analysis
- Stakeholder Engagement Strategy and Plan
- Communication Strategy and Plan

### **Tip for ensuring that your country's international commitments are included throughout the preparatory phase**

- Ensure that focal points for the SDGs, Agenda 2063, the nationally determined contributions (NDCs), Disaster Risk Reduction (DRR), LNOB and Gender are assigned to accompany each of the steps of this Module.
- Consult the [Agenda 2063 First Ten Year Implementation Plan](#)<sup>1</sup>
- See the Guidance provided in the Climate and Environment, Disaster Risk Reduction, Leave No One Behind, Gender and Peace and Justice Annexes.
- Use the checklist at the end of the Module.

## Module 1

### Step 1

# Developing a Concept Note and workplan

The Concept Note is the first step of the planning process. A Concept Note serves as an initial document for consultation, so that key stakeholders are informed of the process and can provide their inputs and feedback from the start. A Concept Note may contain the following sections:

#### Background

The purpose of the background section of the Concept Note is to briefly provide information on why the government is embarking on a new planning cycle. As the development of the NDP requires concerted action by multiple and diverse groups of stakeholders across government and society, the background section allows a shared understanding of why a new NDP is needed. These may be related to the period covered by the previous NDP coming to its end, a desire to update an existing NDP to reflect evolving priorities, the need to formulate a new plan following a peace agreement or another change to the country's circumstances. Planners may also wish to include a brief overview of the previous or existing NDP in terms of its focus, thrust and time frame.

#### Purpose

This section describes the purpose of having a National Development Plan (NDP) and what principles will be followed in its development. These may vary from country to country depending on circumstances and may include principles such as participation, transparency, accountability, integration, inclusive development, the latest science on climate, etc. The legitimacy of the NDP and its effectiveness are linked to how socially embedded it is, its evidence base, and being adequately financed and monitored.

#### Methodology

This section includes the methodology and steps to be followed during the preparation of the NDP. This may include a brief description of the envisaged elements of NDP formulation as described in this Guide or a selection of these, adapted to fit the needs of the planning authority, for example the Ministry of Planning, Planning Commission, or other.

The methodology may include the following sections:

- **Approach:** Will the NDP be developed using a bottom-up consultative approach, a top-down approach, or a combination of the two? SDG 16 and its targets offer a good indication of the conditions for the development of a plan that has strong stakeholder engagement and is developed based on principles of accountability and transparency. In Fragile and Conflict Affected Situations (FCAS), it will be important to agree on how to include groups that may have grievances regarding the peace process, the current government, or toward other groups (e.g. ethnic or religious minorities).

- **Planning Structure:** The various institutions that will be part of the integrated planning process and the applicable division of labour. For detailed information, see Step 2: Setting up the Institutional Planning Structure.
- **Stakeholder Engagement:** A broad description of how the planning authority will reach out to and engage various stakeholders. For detailed information, see Step 3: Stakeholder Engagement Strategy and Plan.
- **Communication Strategy and a Communication Plan:** What will be communicated, how and to whom.
- **Planning Process:** This section may include Visioning (See Module 2), a Context Analysis (See Module 3), an Integrated Future Analysis (See Module 4) and developing a Strategic and Operational Plan (see Modules 5 and 6) as key elements of the NDP formulation process.

### Time frame

Under this section, the Concept Note may refer to the start date and duration of the planning process so those who will be actively engaged in it may allocate the required time accordingly. A work plan can be included as part of the Concept Note or as an Annex.

## Examples **Concept Notes for National Development Plans:** Examples from South Africa and Lesotho

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### SOUTH AFRICA

In preparation of the NDP Five Year Implementation plan, the Planning Monitoring and Evaluation Department of South Africa developed a [Concept Note<sup>2</sup>](#) to articulate the rationale for the development of the Plan. The Concept Note contains sections on planning theories, approaches taken by other countries, the scope and contents of the Plan. The note furthermore outlines the principles that will guide the development of the NDP, as well as the process for the development and other aspects that are considered; e.g. a communication strategy.

### LESOTHO

The [Concept Note for Lesotho's National Strategic Plan<sup>3</sup>](#) was prepared by the Ministry of Finance and Development Planning and covers topics related to the process of formulating the plan in a consultative manner, time frame, and the main components of the Plan.

Source: Government of South Africa 2018, Government of Lesotho 2011

Template



## National Development Plan Concept Note template

---

**Name of Country**

---

**Background**

*Why this plan is being prepared?*

---

**Purpose**

*Describe the purpose of having a National Development Plan and what principles will be followed in its development.*

---

**Methodology**

*For detailed information, please see the description of each step in the corresponding section.*

---

**Approach**

*Describe the approach to be followed e.g. a bottom-up approach, a top-down approach, or a combination of the two.*

---

**Planning Structure**

*Describe the various institutions that will be part of the integrated planning process and the applicable division of labour.*

---

**Stakeholder Engagement**

*Describe how planning authority will reach out to and engage various stakeholders.*

---

**Communication Strategy and a Communication Plan**

*Describe what will be communicated, how and to whom.*

---

**Planning Process**

*Describe the entire planning process, e.g. Visioning, Context Analysis, Integrated Future Analysis, and developing a Strategic and an Operational Plan, as per this Guide.*



Template Work plan template



List of Activities	Responsible unit	Status	Year 1			
			Q1	Q2	Q3	Q4
		Complete				
		In progress				
		Overdue				
		Not started				

## Module 1

### Step 2

## Institutional Planning Structure

In this step, an organizational structure for the development of the NDP is set up based on a ‘whole-of-government’ and ‘whole-of-society’ approach in order to enable meaningful, effective and informed stakeholder engagement that reflects the views of diverse groups and ensures that No One is Left Behind. In countries where there is already an established and well-functioning mechanism for coordinating inter-governmental bodies working on the SDGs or AU Agenda 2063, those mechanisms may be leveraged for coordinating and leading the national development planning process.

While each country can develop an institutional planning structure tailored to their respective context, this Guide recommends, by and large, the establishment of a multi-tier structure consisting of:

#### High-Level Steering Committee

The High-Level Steering Committee ensures that the national development planning process has the necessary level of support from decision makers at the highest political level. Its role is to provide guidance and oversight to the entire national planning process. Established at the highest level of government, the Committee may be chaired by the President/Prime Minister or their designated representative. Its members may come from the Cabinet or specialized government agencies.

#### Planning Team

The Planning Team reports to the High-Level Steering Committee and comprises planners/staff from the planning authority (Ministry of Planning, Planning Commission or similar) with the function to lead and coordinate the entire integrated planning process. The Planning Team is responsible for the development of the NDP and appoints chairs to the Intersectoral Team.

The Team is appointed by the High-Level Steering Committee. It needs capacity and adequate resources to develop and drive an integrated planning process that is inclusive and participatory. It must consider the environmental, economic and social domains of sustainable development, and including the principle of ‘leaving no one behind’ and gender mainstreaming.

Although the Planning Team’s specific responsibilities will be decided by each country depending on national circumstances, as a general rule the Team manages and coordinates the planning process, convenes meetings, appoints Chairs for the various technical working groups, and ensures that relevant stakeholders are involved through a whole-of-government, whole-of-society approach.

It is recommended that the Planning Team carry out a Stakeholder Analysis to identify relevant members to participate in the planning process, ensuring that a gender and LNOB lens is maintained throughout.

A Stakeholder Analysis answers the question: “who should be involved in the planning process and why?”. It is conducted to identify the institutions, groups and individuals both within and

outside the government that should be engaged in the planning process, in order to ensure that the process can benefit from national and local expertise, and that it takes into account the needs and views of all parts of society and government. This is key to making sure that the NDP addresses the aspirations of diverse groups of stakeholders and truly reflects a ‘whole-of-society-whole-of-government’ approach that a new generation of National Development Plans aims to embody.

**Table** The table below describes how to mainstream gender in the Stakeholder Analysis.

<p><b>Stakeholders.</b> Do they include individuals or group with a ‘gender’ perspective?</p>	<p>Gender mainstream means that ‘gender stakeholders need to be identified and included throughout the programme/project or policy cycle’. Multiple stakeholders bring greater accountability and wider variety of options to programme or policy-making process.</p>
<p><b>Is there gender balance in all institutions and bodies involved?</b></p>	<p>If strong gender imbalance exists among stakeholders or the core policy making group, take measures to involve more of the under-represented gender - be it men or women. This is a question of accountability and credibility.</p>
<p><b>Where is gender expertise available?</b></p>	<p>Stakeholders with gender expertise will help you identify entry points for gender mainstreaming and implement a mainstreaming approach throughout the entire planning cycle. These experts are important allies. Such expertise might be found with policy-makers, academics, consultants, NGOs for CSOs, or development partners. Bringing this expertise onboard is mainstreaming at its most basic level.</p>
<p><b>Gender sensitive stakeholder checklist.</b></p>	<p>Have following individuals and groups been brought or engaged into the policy or programme/project cycle?</p> <ol style="list-style-type: none"> <li>1. Gender focal points in other ministries or departments?</li> <li>2. Development partners with a gender equality mandate?</li> <li>3. A government or independent economist with gender expertise?</li> <li>4. Male and female representatives of private sector interests?</li> <li>5. An umbrella organization of women’s or gender NGOs?</li> <li>6. Any NGOs or CSOs that represent men’s gender interests?</li> <li>7. Relevant sectoral or ‘special interest’ NGOs that have an interest or expertise in gender issues?</li> <li>8. Human rights groups or advocates?</li> <li>9. NGOs or lobby groups?</li> <li>10. Think tanks or policy analysts with experience and expertise in gender issues?</li> <li>11. Academics or researchers from university Gender Studies departments?</li> </ol>

Source: UNDP

→ For more information on how to conduct a Stakeholder Analysis, see [Annex 2 – How to conduct a Stakeholder Analysis.](#)

### **Intersectoral Team**

The Intersectoral Team works under the guidance of the Planning Team and consists of representatives from line ministries and government agencies - i.e., planners, technical officers, and sectoral experts. Broadly, all relevant government ministries, agencies, departments and representatives of the public administration at regional/provincial and local levels must be represented in this team, which specialises in sector-specific areas.

It is also important to have thematic focal points for the Sustainable Development Goals (SDGs), Agenda 2063, Gender, Nationally Determined Contributions (NDC), Disaster Risk Reduction (DRR) and Leave No One Behind (LNOB) to ensure that integration with international commitments is part of every step of the plan. To this end, focal points for these international commitments may be appointed to be actively involved in every step of the process and check that the plan is aligned with the commitments, and in line with the checklists at the end of every Module of this Guide.

The Intersectoral Team may include partners and other stakeholders working at sectoral level or on sectoral specific issues, such as CSOs, private sector organizations, development partners, and others who have expertise in specific issues. It may also include representatives of the Regional Economic Communities, African Union, United Nations experts etc.

### **Research/Analysis Team**

This team consists of researchers and data analysts that undertake research and analysis of data to provide information on sector and indicator-specific trends through the application of various types of modelling covering topics such as agriculture, health, demography, economics, climate, hydrology, infrastructure, etc. as described in Module 3. This is important to ensure that the process can benefit from the country's leading experts and that planners can draw on the necessary data for the various steps in this Guide. This will allow planners to consider the inherent trade-offs of policy choices, promote policy coherence, and will ensure that the NDP is anchored on anchored on empirical data and espouses plausible development trajectories. Specialists may come from universities, specialized think tanks, external experts and other institutions with expertise in relevant areas.

This team will need to include, or interact with, staff of the National Statistics Office/National Bureau of Statistics, to source up-to-date data and statistics.

### **Multi-Stakeholder Advisory Group**

The Multi-Stakeholder Advisory Group comprises of representatives from the private sector, academia, and civil society including religious leaders, traditional leaders, labour movement leaders, representatives from youth groups, minorities, indigenous people, people with disabilities, communities, and others, in order to ensure a 'whole-of-society approach' throughout the planning process.

Members of this group do not need to have technical expertise but must have the legitimacy to represent their various constituencies and channel their inputs to inform the planning process through a robust Stakeholder Engagement process, as described in Step 3.

This group functions as a sounding board, providing high-level and strategic advice on the national development planning process and the plan, ensuring that the process is inclusive, in line with LNOB principles, and that the NDP addresses the needs of the most vulnerable groups, including minorities, etc. Through its active participation in the process, and by providing feedback on drafts or presentations of the NDP, this Group plays a ‘whole-of-society’ validation function to ensure that the NDP reflects the aspirations of various segments of society.

**Communications Team**

Planners may wish to appoint a Communications Team to support the national development planning process. The Team is responsible for formulating and implementing a communications strategy and plan, ensuring that a variety of media including TV, radio and social media is used in order to reach as many citizens as possible, including in local languages. The team may consist of a Team Leader with expertise in nationwide communications, supported by journalists and/or social media specialists.

**Table Institutional Planning Structure for the Development of the NDP**

Team	Members	Responsibilities
<p><b>Planning Team</b></p>	<p>Planners/staff from Ministry of National Planning/Planning Commissions or planning authority responsible for leading the national development process.</p> <p>Chair to be appointed by the leading planning authority.</p>	<p>Leads and coordinates the development of the NDP. Convenes meetings and ensures that relevant stakeholders are involved throughout the process.</p> <p>Appoint chairs for the various thematic groups of the Intersectoral Team.</p> <p>Conducts a Stakeholder Analysis to identify members of the Intersectoral Team and other teams, ensuring that these are selected through a gender and LNOB lens.</p> <p>Appoints a Communications Team.</p>
<p><b>Intersectoral Team</b></p>	<p>Representatives from line ministries and government agencies, representatives from regional, provincial and local authorities, CSOs, private sector.</p> <p><b>Focal points/coordinators for:</b>                      AU Agenda 2063                      SDGs/2030 Agenda                      Nationally Determined Contributions</p>	<p>Supports the development of the NDP at various stages by providing sector and thematic specific expertise to the planning process.</p> <p>Chairs of each thematic group are responsible to ensure deliverables by the group.</p>

	<p>Disaster Risk Reduction Gender LNOB</p> <p>CSO, private sector and academia</p> <p>Representatives from development partners, regional economic commissions, African Union (optional)</p>	
<p><b>Research/ Analysis Team</b></p>	<p>Researchers</p> <p>Data analysts</p> <p>Members from the National Statistical Office/Bureau of Statistics</p>	<p>Undertakes research and analysis of data to provide information on sector-specific and intersectoral themes as identified by the Intersectoral Team to enable discussions on horizontal coordination and possible policy trade-offs.</p>
<p><b>Advisory Group</b></p>	<p>May include:</p> <ul style="list-style-type: none"> <li>Representatives from civil society</li> <li>Private sector</li> <li>Traditional leaders</li> <li>Religious leaders</li> <li>Interest organisations</li> <li>Village organisations</li> <li>Other relevant groups</li> </ul>	<p>Reaches out and provide inputs on behalf of various constituencies, ensuring that interests of specific groups, including vulnerable groups, are included in the Plan.</p>
<p><b>Communications Team</b></p>	<p>May include a Team Leader with experience in communications with a broad outreach including in local languages</p> <p>Journalists</p> <p>Social media specialists</p>	<p>Formulates and implements a communications plan and strategy to support the development of the National Development Plan.</p>

**Template Stakeholder Engagement Plan Template**



The template below can support the implementation of the Stakeholder Engagement Strategy assisting in the identification of stakeholders, strategies to engage each group including challenges and opportunities, methods and responsibility for engagement, and ensuring full geographical coverage so that all regions are represented.

Stakeholder engagement strategy and plan	
<b>Stakeholder Group</b>  Check all that apply	<input type="checkbox"/> <b>Children</b> <input type="checkbox"/> <b>Youth</b> <input type="checkbox"/> <b>Women</b> <input type="checkbox"/> <b>Persons with disabilities</b> <input type="checkbox"/> <b>Persons living with HIV</b> <input type="checkbox"/> <b>Older persons</b> <input type="checkbox"/> <b>Traditional leaders</b>
	<input type="checkbox"/> <b>Indigenous peoples</b> <input type="checkbox"/> <b>Refugees</b> <input type="checkbox"/> <b>Internally Displaced Persons</b> <input type="checkbox"/> <b>Former combatants</b> <input type="checkbox"/> <b>Migrants</b> <input type="checkbox"/> <b>LGBTI representatives</b> <input type="checkbox"/> <b>Other (specify)</b> _____
Strategy for Engagement	
Method	
Geographical Region	
Responsibility	
Time Frame	

## Module 1

### Step 3

## Stakeholder Engagement Strategy

The new generation of NDPs that this Guide seeks to support contains mechanisms to elicit views from all of society in order to reflect the development aspirations of diverse groups, following a ‘whole-of-society’ approach. The goal of a Stakeholder Engagement Strategy is to ensure that these views are obtained, fed back to the planning authority, and reflected in the NDP.

Who will be in charge of designing and implementing such a Strategy may vary: some countries may wish to make this part of the Terms of Reference of the Planning Team, while others may create a separate Stakeholder Engagement sub-committee with members from the Intersectoral or Advisory Team. This model would have the advantage of tapping into the rich networks that the private sector and civil society can bring, as well as linkages between line ministries with regional/ local governments.

As a development actor and contributor to the SDGs, Parliament can also be engaged to promote the national development planning process. Government and opposition parties are important stakeholders both with regard to representation and implementation. Furthermore, Parliamentarians can encourage their constituencies to engage and take part in consultations, thereby ensuring more ownership and buy-in for the policies that may emerge to support the implementation of the National Vision down the line. However the planning authority decides to carry out the Stakeholder Engagement Plan, what matters is that the Stakeholder Engagement is carried out in a manner that reaches down to grassroots level and is widely communicated, to enable meaningful participation across the country, following a ‘whole-of-society’, LNOB approach. This means including vulnerable groups as well as groups that may have voted for another party, religious minorities, LGBTI (lesbian, gay, bisexual, transgender/transsexual and intersex) individuals. For a detailed description, see Annex 1 – International Commitments.

Capacity building may be required to enable traditional leaders or organisations at local level to contribute to this process. It is recommended that efforts are made to reach citizens in remote areas, including entities that may not be usually on the radar of national level institutions. In addition, countries may wish to include the diaspora as a stakeholder group and establish an office to coordinate this effort.

### Involving the diaspora in the planning process

The definition of diaspora may include temporary or permanent residents abroad, including persons who left the country to study, work, for socioeconomic or security reasons. The diaspora may bring valuable insights from their experiences abroad. Countries may contact the diaspora via national consulates and online community groups where they exist.

The following countries have government agencies dedicated to diaspora affairs: Benin, Burkina Faso, Egypt, Ethiopia, Ghana, Kenya, Morocco, Nigeria, Rwanda, Senegal, Tunisia.

In Tanzania, a specialised Diaspora Engagement and Opportunity Department was set up in 2010 at the Ministry of Foreign Affairs and International Development, with dedicated staff.

Source: [African Journal of Economic Review](#) <sup>4</sup>

It is important to engage with stakeholders as soon as possible in the process and therefore the recommended timing for the implementation of the Stakeholder Engagement Strategy is during the Visioning Phase, which is described in detail in Module 2.

For guidance on the key elements of the Stakeholder Engagement Strategy, please see the Table below.

**Table** Key questions to guide a Stakeholder Engagement Strategy

Key questions to guide a Stakeholder Engagement Strategy	
<b>Who</b>	<p>Who will be responsible for developing and implementing the Stakeholder Engagement Strategy?</p> <p>Will partnerships be needed? With whom?</p> <p>Who will ensure that a gender, LNOB perspective will be applied throughout?</p>
<b>What</b>	<p>What are the topics that will inform consultations?</p> <p>Note that this is to be determined in consultation with the Multi-Stakeholder Advisory Group after sectoral visions are formulated by the Intersectoral Team (See Module 2 Step 2: Facilitating a National Development Visioning exercise through multi-stakeholder processes)</p>
<b>How</b>	<p>How can we ensure that we reach out to all of society in order to get their views and inputs, including groups without internet access and in rural areas?</p> <p>How will their views be compiled?</p> <p>How will we incorporate their views in the NDP?</p> <p>How will we report back to these groups and let them know how their views have been reflected in the plan?</p>
<b>When</b>	<p>What is the timeline for engagement activities, and how will they be sequenced?</p>

## Examples My World Survey

**My World<sup>5</sup>** was designed as a global survey for citizens led by the United Nations and partners. It aimed to capture people's voices, priorities and views, so that global leaders could be informed as they began the process of defining the new development agenda for the world that became known as Agenda 2030 with 17 Sustainable Development Goals. As the SDGs were adopted in 2015, the survey is now used to monitor citizens' perceptions about SDG implementation. The survey has the advantage of allowing a large amount of data to be quickly processed. On the other hand, it has the disadvantage of excluding those who do not have internet access and must therefore be complemented with other data gathering methods.

Source: [UNDP/SDG Action Campaign<sup>6</sup>](#)

## Examples The South Africa National Planning Commission (NPC) Jam

### The NPC Online Jam

The Commission in conjunction with IBM hosted a 72 hour online discussion, known as the NPC Jam, the first of its kind in Africa. Inputs from the NPC Jam helped to inform the draft national development plan, which was handed over to the President and Deputy President the 11th November 2011.

### Profile of participants

The Jam was launched at the University of Johannesburg with a call on young people to look ahead and shape the future of South Africa. The Commission encouraged the youth to take up the baton of leadership and own the plan for their future. Given that many South Africans do not have access to universities, the Commission reached out to universities, the National Youth Development Agency and LoveLife to make their ICT infrastructure available for all South Africans who were interested in participating in this online brainstorming event.

Over 10300 logins and 8700 individual posts were recorded during the Jam. Every district within South Africa was represented. South Africans engaged as individuals from their homes and offices, and as groups from many venues including high schools, Walter Sisulu University and Orange Farm LoveLife centre. Within the first three hours of commissioners going online, the Jam attracted high levels of participation and conversation. The youths were well represented throughout the Jam with 38 percent of posts coming from people under 30.

### Hot topics

The Jam held ten parallel discussion forums, covering the nine challenges identified in the diagnostic document as well as the version for 2030. The top three discussions forums, by posts, were education and training, the economy and jobs. Education received the greatest attention. Significant attention was also given to employment and quality of public service.

Source: [South Africa National Development Plan<sup>7</sup>](#)

Module 1  
Step 4

## Communication Strategy and Communication Plan

The Communications Team is responsible for formulating a Communications Strategy and Communication Plan. The purpose of a Communications Strategy that follows a ‘whole of society approach’ for national development planning is twofold. It helps planners ensure that citizens are informed about the NDP process, as well as to elicit their participation and active involvement so that the aspirations of all groups can be adequately reflected.

As a rule, a Communication Strategy identifies communication goals, what needs to be communicated, to whom, and how. For example, this may include using national media such as TV and radio, as well as social media, to inform citizens and collect inputs. Talk shows, interviews, public televised or radio debates, campaigns with popular figures such as famous athletes, musicians, actors/actresses, models, and other celebrities can help draw attention to the process and involve citizens across a broad spectrum of society, including youth.

It is important that communication is not only disseminated in the capital region, but also in rural and remote areas. Appropriate means of dissemination may be put in place to reach those who are illiterate or who speak different local languages than the official one(s), translating all materials. Consider using accessible and creative methods such as comedy, talk show, radio show, jingles, and plays.

The Communications Team may wish to consult with communications experts from different regions including social media, TV, and radio to better understand the reach of various instruments and design their communication strategy accordingly.

### Communications for the SDGs

In Nigeria, UNDP partnered with the television network Channel News to launch a series of development dialogues to inform policy options, strengthen national dialogue, support political and governance reforms, enhance the rule of law mechanisms and gender equality, as well as encourage investment in young people, among other goals. The initiative included several development dialogue platforms covering various sectors and themes. The dialogues were televised through Channels TV and provided opportunities for members of the public to engage and share their perspectives on specific issues. These were combined with High-level symposia where government representatives and development partners engaged with the private sector, civil society, academia, think-tanks, diplomatic corps and other key stakeholders to discuss the topic of the televised debate and support the formulation of policy solutions for the SDGs.

Source: [UNDP Nigeria](#)<sup>8</sup>

**The Communication Plan** identifies specific actions, responsible parties/departments, and the time frame to guide the implementation of the communication strategy. For an example, please see table below:

**Table** Communication Plan

Objective	Medium	Activity	Responsible Party	Time frame
Inform citizens about the NDP process	<ul style="list-style-type: none"> <li>• TV</li> <li>• Radio</li> <li>• Social Media</li> <li>• Newspapers (national and local)</li> </ul>	<ul style="list-style-type: none"> <li>• Talk shows</li> <li>• Press conferences</li> <li>• Engage celebrities</li> <li>• Issue press releases</li> <li>• Radio shows, jingles</li> </ul>	<ul style="list-style-type: none"> <li>• Office of Public Information</li> <li>• NGO network</li> </ul>	From (month, year) to (month, year)
Promote participation	<ul style="list-style-type: none"> <li>• Social Media</li> </ul>	<ul style="list-style-type: none"> <li>• Engage celebrities</li> <li>• Social media campaigns</li> </ul>	<ul style="list-style-type: none"> <li>• Office of Public Information</li> <li>• NGO network</li> </ul>	From (month, year) to (month, year)
Disseminate NDP Document	<ul style="list-style-type: none"> <li>• Government web sites</li> <li>• Universities</li> <li>• Libraries</li> </ul>	<ul style="list-style-type: none"> <li>• Provide link in all government web sites</li> <li>• Make copies available</li> <li>• Print posters with key messages for public display</li> <li>• Ensure it is available in local languages</li> </ul>		By (date, month)

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**Template** Communication Plan Template



Objective	Medium	Activity	Responsible Party	Time frame

## Checklist

- Concept Note developed in line with International Instruments
- In FCAS, Concept Note considers SDG 16 and Agenda 2063 Goal 13 and their targets
- Work Plan developed
- Institutional structure for developing the NDP set up
  - High Steering Committee established
  - Planning Team established
- Focal points established for
  - SDGs
  - Agenda 2063
  - Nationally Determined Contributions (NDCs)
  - Disaster Risk Reduction
  - Gender
  - Leave No One Behind
- Stakeholder Analysis carried out
  - Intersectoral Team established and Chairs appointed
  - Research Team established
  - Advisory Group established
  - Communication Team established
  - In line with gender mainstreaming and LNOB principles
- Agreement to the Concept Note and Work Plan by all teams
- Stakeholder Engagement Strategy and Plan developed
- Strategic Communication Strategy and Plan developed

## Tools & Resources

### Fragility Assessment Tools

#### Guidance Note on Fragility Assessment:

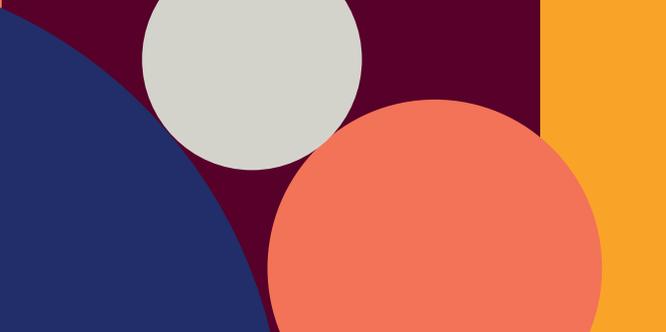
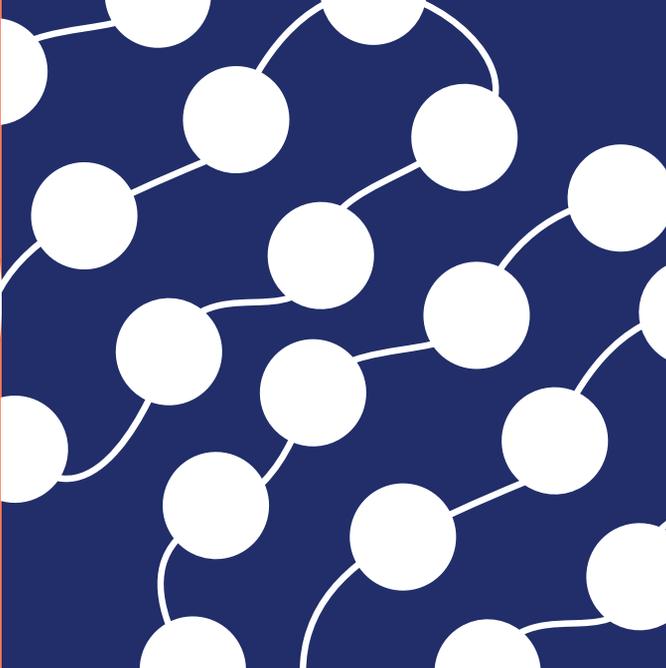
The [Guidance Note on Fragility Assessment](#)<sup>9</sup> of the International Dialogue on Peacebuilding and Statebuilding helps countries assess the causes, features and drivers of fragility as well as its sources of resilience. Its objectives are to:

- Develop a shared understanding among how national stakeholders of the drivers and features of fragility and sources of resilience in their country;
- Promote inclusive multi-stakeholder dialogues about the challenges to peacebuilding and statebuilding;
- Identify possible areas of incremental progress towards resilience;
- Help fragile and conflict-affected states and development partners to assess and manage risks jointly.

#### Communication Resources:

While not designed specifically for national development planning processes, the resources below can provide inspiration and guidance to the Communications Team:

- [Writing a communications strategy – University of Oxford](#)<sup>10</sup>
- [WHO Strategic Communications Framework for effective communications – World Health Organization](#)<sup>11</sup>
- [Government Communicators’ Handbook – Republic of South Africa](#)<sup>12</sup>



# Module 2

## National Development Vision: *The world we want*

### Introduction **What is a National Development Vision?**

The National Development Vision is a long-term plan, usually 20 years or more, that articulates the country's aspirations to guide efforts leading towards the attainment of development goals for the **country we want**. National Development Visions also tend to consider global and regional visions such as 2030 Agenda and Agenda 2063 respectively.

### **Why is this Module helpful?**

This Module will help you develop a National Development Vision through a whole-of-government, whole-of-society approach. The National Development Vision establishes overarching goals that provide strategic direction to guide the national development process. It provides the country with a clear indication of what it wants and would like to achieve in the medium term to long term.

### **What are the outputs of this Module?**

The main output of this Module is the articulation of national long-term Vision. In cases where a Vision already exists, a review of the National Development Vision vis-a-vis the 2030 Agenda, Agenda 2063 and international commitments (NDCs, the Sendai Framework, Gender Mainstreaming and LNOB) can help planners to ensure that the country is realising the commitments it has entered and integrates them into their national development planning.

In Fragile and Conflict Affected Situations (FCAS), planners may refer to the Peace Agreement and/or Peacebuilding Plan or similar, and pay special attention to SDG 16 (Promote peaceful and inclusive societies for sustainable development, provide access to justice for all and build effective, accountable and inclusive institutions at all levels) and its targets and Agenda 2063 Goal 13 (Peace, security and stability is preserved).

Where a Vision does not exist, planners may follow the steps described below.

### **Tips for ensuring that your country's international commitments are included throughout the National Development Vision:**

- Review past Visions and what they have achieved including strategies with relevance to SDGs, Agenda 2063, NDCs, the Sendai Framework, Gender Mainstreaming and LNOB. In fragile and conflict affected situations, pay special attention to SDG 16, Agenda 2063 Goal 13, and their targets.
- Use the international commitments checklist for each sector in the process of carrying out the National Development Visioning exercise.
- Consult the [AU First Ten Year Implementation Plan](#)<sup>13</sup> and its flagship programmes.

- Map out how the feedback received through the Stakeholder Engagement process relates to the international commitments (NDCs, DRR, Gender, LNOB) and Peace and Justice considerations taking into account SDG 16 and Agenda 2063 Goal 13. Use the [AUDA-NEPAD online dashboard](#)<sup>14</sup> to extract key data for SDG and Agenda 2063 achievements.
- See the Guidance provided in the Climate and Environment, Disaster Risk Reduction, Leave No One Behind, Gender and Peace and Justice Annexes.
- Use the checklist at the end of the Module.

## Module 2

### Step 1

### Determining the scope of the visioning exercise

To determine the scope of your visioning exercise, it is useful to carry out an evaluation of previous National Development Visions, including successes and challenges.

In FCAS, planners may refer to the Peace Agreement or its equivalent, and pay special attention to SDG 16 (*Promote peaceful and inclusive societies for sustainable development, provide access to justice for all and build effective, accountable and inclusive institutions at all levels*) and its targets and Agenda 2063 Goal 13 (*Peace, security and stability is preserved*).

The Planning Team will decide whether to limit attendance to a small group of sectoral experts and representatives of CSOs, private sector and other groups, or open participation more widely to all sectors from national and local levels, to benefit from the views of a wider range of stakeholders.

It is advisable to conduct this step of the process in an informal atmosphere as possible, such as a retreat or workshop setting, as the main goal of the exercise is to put planners in thinking mode, and at the same time make everyone comfortable with sharing their views and listening actively to others. This also has an intangible, but important effect of building trust among diverse groups of stakeholders, to create a feeling of joint ownership for the NDP and forge a “community of planners” – who will also most likely play a role later in the *implementation* of the NDP from their respective institutions.

It is recommended to have external facilitation or a Chair who can lead this process keeping these objectives in mind. The Facilitator/Chair can invite members to split up in groups, asking colleagues from the same institution to join different groups in order to stimulate the sharing of ideas among peers from different backgrounds. Ideally, this step involves the Planning Team, the Intersectoral Team, the Multi-Stakeholder Advisory Group, and the Communications Team.

After introductions are made, and groups split, members receive copies or extracts of previous National Development Visions that are considered to have shaped the country, in order to reflect together about the country’s development trajectory. This is highly specific and will look different from country to country. Tanzania, for example, selected its Vision from its post-independence period and the Arusha Declaration as the basis for this part of the process.

Team members then discuss these Visions, what worked, what did not, and why, drawing lessons from this process.

To succeed, it is important that team members feel they can speak openly, but also that everyone is given a chance to speak.

Suggested questions for discussion can include:

- What did past visions aim to achieve?
- Was the last Vision aligned to the SDGs and Agenda 2063?
- Did it consider international commitments (Paris Agreement, Sendai Framework, Gender Mainstreaming and LNOB and any other sub-regional commitments)? If so, how? If not, what were the gaps?
- How is the country progressing with regard to Agenda 2063/ the SDGs? (Consult the [AUDA-NEPAD online dashboard](#)<sup>15</sup>).
- What elements of this Vision materialized, partially or fully? What conditions allowed the success of these elements?
- What obstacles did the Vision face? What were its root causes?
- Based on this, what broad areas should our National Development Vision be built around (e.g. poverty reduction, a healthy and educated population, a peaceful society, diversified economy, etc.)?

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It is important to emphasize that the overall purpose of this exercise is to stimulate debate and reflection, as well as to enable a shared experience of the process, to prepare for the next step. Sectoral experts and academics may contribute with quantitative data and relevant statistics, and others may contribute with qualitative data based on their own reflections and experience.

The exercise closes with groups reporting back in plenary. If desirable, notes from the day can be compiled and summarized later in the Vision document. For an example, see the [Tanzania National Development Vision](#)<sup>16</sup>.

## Template



### National Development Vision Scoping Exercise

Answer the following

---

**Name of Country**

---

**What did past Visions aim to achieve?**

---

**Was the last Vision aligned with the SDGs and Agenda 2063? If so, how?  
If not, what were the gaps?**

---

**Did the last Vision take into account international commitments** (Paris Agreement, Sendai Framework, Gender Mainstreaming and LNOB and any other regional or sub-regional commitments)?  
**If so, how? If not, what were the gaps?**

---

**What elements of this Vision materialized, partially or fully?  
What conditions allowed the success of these particular elements?**

---

**What obstacles did the Vision face?  
What were the root causes for these obstacles?**

---

**Based on this, what broad areas should our National Development Vision be built around?**  
(e.g. poverty reduction, a healthy and educated population, a diversified economy, etc.)?

**Download**



[Template for the National Development Vision Scoping Exercise](#)

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**Module 2**  
**Step 2**

## **Facilitating a National Development Visioning exercise through multi-stakeholder processes**

It is important that there is shared ownership and support for the National Development Vision by all citizens so everyone can see their aspirations reflected in it. Therefore, once the scope of the Vision is decided and the major areas of focus are defined, it is recommended that the visioning exercise be as inclusive as possible, following a ‘whole-of-society’, LNOB approach. This means that at this stage, efforts are made to reach all of society down to grassroots level to seek their views, including women, religious leaders, labour movement leaders, representatives from youth groups, minorities, indigenous people, people with disabilities, communities, LGBTI groups and others. In FCAS, efforts should be made to reach out to internally displaced persons and others affected by conflict.

How to ensure this in practice will vary from country to country.  
Below are two possible options.

**Option 1:**

Following the exercise described in Step 1, all members of the Planning Team, the Intersectoral Team, and the Multi-Stakeholder team reconvene and review the SDGs, Agenda 2063, the Paris Agreement, the Sendai Framework, as well as any current sectoral plans (to be provided by members of the Intersectoral Plan). They are grouped into thematic groups according to the areas identified in the Stakeholder Analysis as described in Module 1 and discuss how their thematic area is reflected in these frameworks. Each thematic group proposes a draft Vision text and “bullet points” on elements that would lead to achievement of that Vision. At this stage, there is no need to quantify targets or indicators. The main objective of this exercise is to delineate of priority areas that will then be shared broadly with society in order to stimulate public debate.

**Table** The Health Thematic group could, for example, present the following:

<b>Health</b>	
<b>SDG 3</b>	<b>Ensure healthy lives and promote well-being for all at all ages</b>
<b>Agenda 2063 Goal 3</b>	<b>Healthy and well-nourished citizens</b>
Ministry of Health Mission Statement	To promote universal health and high-quality services to all
Our Vision:	<p>‘A Healthy Society for all with universal access to high quality health services’</p> <p>Priorities:</p> <ol style="list-style-type: none"> <li>1. Climate and disaster related water-borne and vector-borne diseases are reduced</li> <li>2. Protocols for epidemics and disasters including rapid response mechanisms to respond to unforeseen health crises are in place</li> <li>3. Health care services are available to disabled, indigenous people, Internally Displaced Persons, and other vulnerable groups</li> <li>4. Public funds are available to secure essential medication to those who cannot afford it</li> <li>5. Pregnant and lactating mothers have access to sexual and reproductive health services</li> </ol> <p>etc . . . . .</p>
International commitments considered (Check)	<ul style="list-style-type: none"> <li><input type="checkbox"/> NDCs</li> <li><input type="checkbox"/> DRR</li> <li><input type="checkbox"/> LNOB</li> <li><input type="checkbox"/> Gender</li> <li><input type="checkbox"/> Peace and Justice (SDG 16/ AU agenda 2063 Goal 13)</li> </ul>

**Option 2:**

The Chair of each thematic group drafts a Vision and Priorities following the same method as described above and presents to the Group for discussion and feedback.

While Option 1 has the advantage of being more inclusive and ensuring a collectively crafted Vision, it is more time consuming. Option 2 can be done more quickly but the draft text may not reflect a wide range of views as stakeholders may just validate the initial draft.

Once a list of “Visions” for each thematic area is agreed on for each area, the Planning Team or the Stakeholder Engagement Sub-Committee (see Module 1 Step 3) implements the Stakeholder Engagement Strategy and the Communication Strategy as described in Module 1. Whichever method is chosen, the important thing is that a ‘whole-of-society’, LNOB approach is followed in the implementation of the Stakeholder Engagement and Communication Strategies. See Annex 1 for additional guidance.

**Template**



**Template for the facilitation of a National Development Visioning exercise**

[Sector/ Thematic Area]	
SDG Goal: [Insert Goal number here]	[Insert SDG Goal text here]
Agenda 2063 Goal: [Insert Goal number here]	[Insert Agenda 2063 Goal Text here]
[Sector] Mission Statement	[Example of Sectoral Plan Goal]
Our Vision (Example):	[To be formulated by the Sectoral Thematic Group as a basis for broad consultations]  Priorities: 1. .... 2. .... 3. .... 4. .... 5. .... etc.....
International commitments considered (Check)	<input type="checkbox"/> NDCs <input type="checkbox"/> DRR <input type="checkbox"/> LNOB <input type="checkbox"/> Gender <input type="checkbox"/> Peace and Justice (SDG 16/ AU agenda 2063 Goal 13)

## Module 2

### Step 3

## Formulating the National Development Vision

The Stakeholder Engagement Plan will have several mechanisms established for how citizens will provide inputs to the pre-established priorities. These may be meetings at village level, consultation meetings hosted by local government authorities, meetings of village and district representatives at the regional level, or a combination of these. There may also be efforts to collect data through online surveys, discussions at universities, social media, etc.

The type of inputs to be provided may include which priorities are most important to their lives, why, what main challenges are, or any other question that planners would like to include to shed light on the process. It is recommended to collect data on the gender, age, and place of residence (rural/urban) of all participants, to enable an analysis of priorities and needs against their profiles. This information will be important down the line when policies are designed to meet the needs of diverse population groups.

Once planning authorities receive inputs, they may categorize them according to geographic area, sector, and focal points for the international commitments may map out how the feedback received relates to the international commitments (NDCs, DRR, Gender, LNOB and Peace and Justice considerations).

Planners may then use the feedback received to adjust the priorities identified in Step 2, adding information and addressing any gaps.

The important thing is that the planning authority keep citizens informed about how their inputs have been reflected, as per the Communication Plan.

For an example of the end result of the engagement, see the [South Africa National Development Vision 2030](#)<sup>17</sup>.

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### Checklist

- Lessons Learned workshop/meeting held
- Sectoral Visions and Priorities formulated including inputs from vulnerable groups, women and men, and taking into account:
  - SDGs
  - Agenda 2063
  - NDCs
  - DRR
  - Gender
  - LNOB principles
  - SDG 16 / Agenda 2063 Goal 13
- Stakeholder Engagement Strategy implemented based on Sectoral Visions, including active participation from vulnerable groups, women and men
- Inputs from citizens incorporated, ensuring contributions from vulnerable groups, women and men
- National Development Vision formulated
- Communication Strategy and Plan implemented

## Linkages with next Module

In this Module, the contours of a National Development Vision are established based on inputs from all of government through the thematic groups and the inputs of all of society through stakeholder engagement. In the next Module, planners will carry out a Context Analysis to see where the country is in relation to the vision it has.

## Tools & Resources

### **Resources on the SDGs and Agenda 2063:**

#### **[Agenda 2063 Framework Document](#)**<sup>18</sup>

Full text of Agenda 2063 including its background, aspirations, goals, priority areas and targets, indicative strategies, critical factors for success, and implementation arrangements.

#### **[AU First Ten Year Implementation Plan](#)**<sup>19</sup>

Implementation plan for the 2013-2023 period of Agenda 2063, including key transformational outcomes to be reached, monitoring and evaluation, partnerships and financing goals.

#### **[AU Agenda 2063 web site](#)**<sup>20</sup>

The web site is a full repository of documents on Agenda 2063. It also includes information on Continental Frameworks, National and Regional Economic Commissions development priorities, and Flagship Projects.

#### **[AUDA-NEPAD Dashboard for the SDGs and Agenda 2063](#)**<sup>21</sup>

The interactive dashboard presents data on AU achievement on both Agenda 2063 and the SDGs at continental, regional, and national levels.

#### **[UN Department of Economic and Social Affairs web site](#)**<sup>22</sup>

The UNDESA portal contains information on the SDGs, as well as events, publications, and a comprehensive repository of documents and resources on the Goals.

#### **[United Nations Sustainable Development Web site](#)**<sup>23</sup>

The site offers information on the SDGs and a wide range of resources for campaigns, civic engagement, and action to support the SDGs.

### **Resources on Statistics:**

#### **[African Development Bank Statistics Pocketbook 2017](#)**<sup>24</sup> (English and French)

Contains an overview of socio-economic data including demography, business, infrastructure, and key economic indicators.

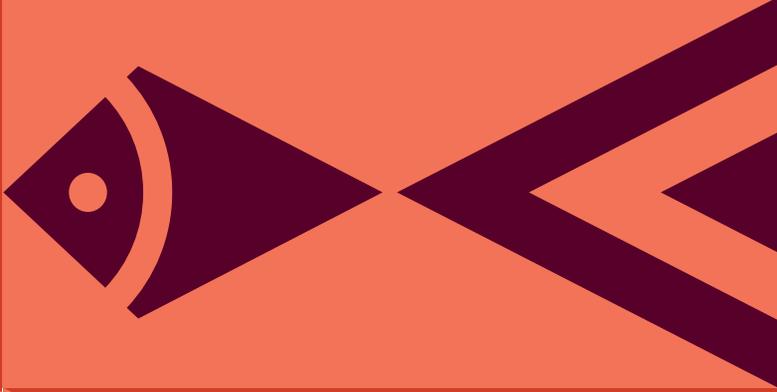
#### **[United Nations Economic Commission for Africa African Centre for Statistics](#)**<sup>25</sup>

The portal offers a wide range of resources on statistics, including the Africa Statistics Flash, which contains macroeconomic indicators, key social indicators and information on trade, foreign direct investment and official development assistance.

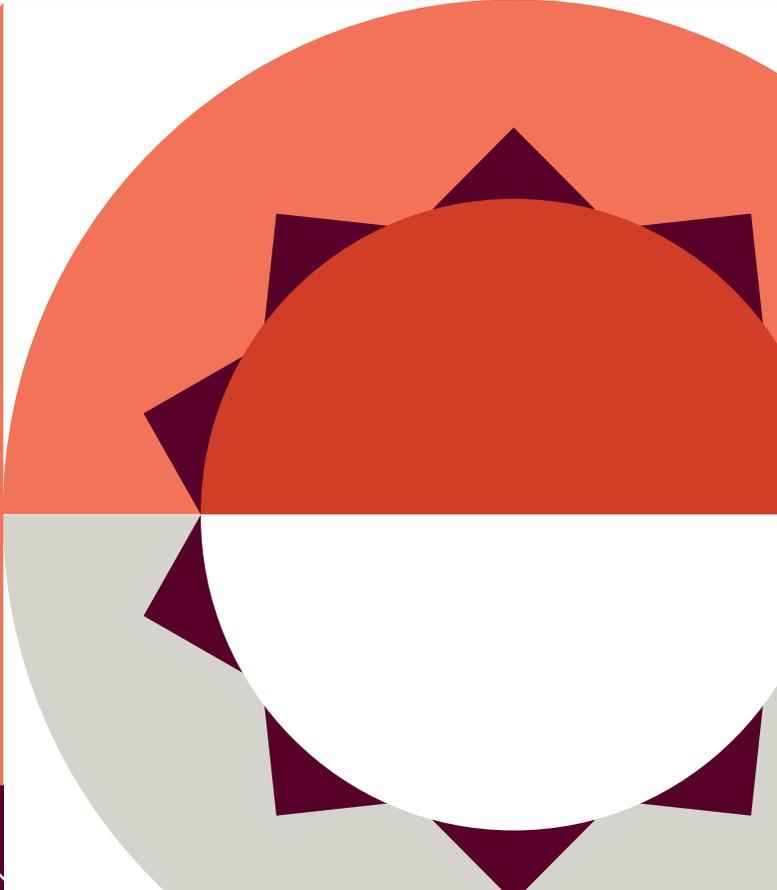
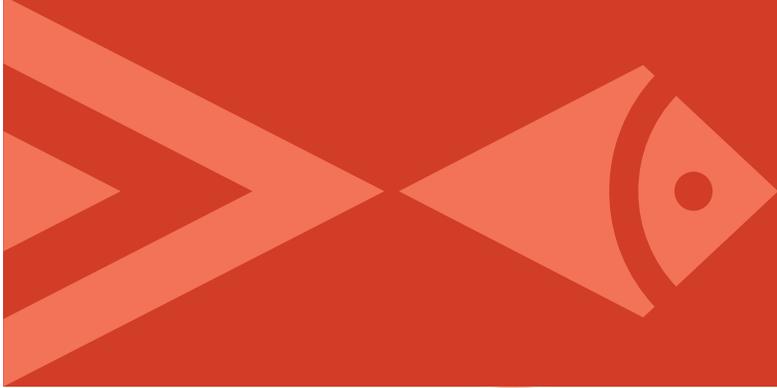
# Planning for equality



Photography: The African Development Bank



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# Module 3

## Integrated Context Analysis: *The world we have*

### Introduction **What is an Integrated Context Analysis?**

This Module describes how to carry out an Integrated Context Analysis as a basis for the NDP, based on the principles of alignment, integration, and progress. While alignment means linking the goals, targets and indicators of the SDGs, Agenda 2063, and international commitments to which the country is party, integration refers to policy integration across sectors and themes, so that policies can build on synergies and take into account the possible trade-offs associated with the agenda goals and targets in the NDP. Progress, on the other hand, is based on the extent to which previous plans have led to achievement of development outcomes.

An Integrated Context Analysis also contains a ‘historical’ dimension in that it takes into account data from the past to help you understand how you arrived in the present. This type of Context Analysis provides you with a baseline of the current development situation, while considering the trajectory of the country and its alignment with development objectives, expressed in international instruments as well as sector-specific data. Finally, an Integrated Context Analysis builds on the baseline and helps you identify potential SDG accelerators that the country could prioritise in the NDP.

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### **Why is this Module helpful?**

This Module will help guide you through the steps of an Integrated Context Analysis. After consulting society at large on the NDP Vision through the Stakeholder Engagement Strategy, an Integrated Context Analysis can answer the following questions:

- What areas does the all-of-government, all-of society Vision cover?
- What are our strengths and gaps in relation to our Vision?  
How did we get to where we are now?
- Does our current NDP address our current development gaps? How?
- How can we use the SDGs, Agenda 2063 and other international frameworks as planning tools to fill these gaps as we go forward?
- How can we identify the policy mix that will help accelerate achievement of the SDGs and Agenda 2063, whilst mainstreaming gender issues and reflecting international commitments expressed in the Paris Agreement, the Sendai Framework, the principle of Leave No One Behind?

Traditional baselines convey information about a country as a snapshot and do not take into account the question “How did we get here?” A new generation NDP recommends an Integrated Context Analysis as an analysis that not only provides information on the current context, but draws on the events, trends, and policy choices that led the country to where it is now, rather than merely a snapshot of the present. In doing so, it is important to apply a lens that takes into

account international commitments, as planners assess alignment and integration of current plans versus the Vision produced in the previous Module. For FCAS, it is also key to understand how conflict has affected development in the country, and how peace dividends can be leveraged in the future.

An Integrated Context Analysis takes into account progress made by national development plans, including constraints such as resources and capacities, as well as the degree of alignment of the current national development plan with the SDGs, AU Agenda 2063 and other commitments. It also helps identify specific goals, targets and indicators that are not included in the current national development plan or that are only partially included.

An integrated analysis also provides information on the trade-offs and synergies that exist across different policies and can help planners to make decisions on how to manage them – i.e., investing in policies for which the positive synergies with other policies are the greatest and therefore would have the highest impact. These are known as SDG accelerators.

### **What are the outputs of this Module?**

The output for this Module is an Integrated Context Analysis which may include the following elements, depending on the tools and templates selected:

- Data source mapping
- NDP Alignment to Agendas and Commitment Status Report
- Progress assessment and analysis
- Policy Gaps and Recommendations
- Alignment Assessment Report
- Identification of potential SDG accelerators
- Thematic analyses on the international commitments related to Gender, NDCs, DRR, LNOB
- A fragility assessment and/or a Peace and Justice Rapid Context Review, if applicable

### **Tips for ensuring that your country’s international commitments are included throughout the Integrated Context Analysis**

- As you map and review available data, make sure you identify key policies and unexpected events that have had an impact on your country’s ability to meet its climate change mitigation and adaptation goals, manage disaster risks, manage gender disparities and address the needs of the most vulnerable, as well as of populations affected by conflict and fragility where applicable.
- Use the IPRT or the RIA tool to ensure alignment and integration with the SDGs, Agenda 2063 and international commitments.
- Browse the thematic analysis tools provided and select those you need to collect data on the implementation of the Paris Agreement and Sendai commitments, as well as gather intelligence on your country’s context with regard to the NDCs, gender, LNOB and SDG 16 and Agenda 2063 Goal 13 for Peace and Justice considerations.

- Consult the [AU First Ten Year Implementation Plan](#)<sup>26</sup> and its flagship programmes.
- See the Guidance provided in the Climate and Environment, Disaster Risk Reduction, Leave No One Behind, Gender and Peace and Justice Annexes.
- Use the checklist provided at the end of this Module.

### Module 3 Step 1

## Define the scope of the Context Analysis

The scope of the Context Analysis should be determined by the Planning Team, based on the Concept Note developed in preparation of the NDP in Module 1, and drawing on the Vision articulated by ‘all-of-society’ in Module 2. Planners may define the scope by considering the period to be covered by the analysis. Instead of a ‘business as usual’ baseline where one looks at the situation here and now, a Context Analysis for a new generation of NDPs will take into account development trends for specific periods in the past. Defining the scope therefore means deciding how far back you want to look – for example, 10, 15 or 20 years.

By looking at what happened in specific sectors and across in the past, planners will be able to identify what has worked and what has not. In addition, they will be able to see how disruptive events (such as for example a major natural disaster, a food crisis, a conflict or an epidemic) have impacted the country, and be able to design contingency/preparedness strategies to deal with unforeseen events such as ‘Black Swans’ – rare, hard to predict events that have high impact on the country, such as the Covid-19 pandemic. This will also assist you down the line as you formulate strategies, policies and programmes aimed at mitigating the impact of crises and increasing your country’s resilience at national, sub-national and individual levels.

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### Module 3 Step 2

## Mapping and review of relevant assessments and data

In this step, a small group of planners from the Planning, Intersectoral and the Research and Analysis Teams representing various thematic areas map out sources of quantitative and qualitative data to start the actual planning process in light of the country context. Data sources may include Voluntary National Review reports, SDG country reports, AU Agenda 2063 reports, data from the National Statistics Office, international sources, etc. Planners may also wish to consult the AUDA-NEPAD Dashboard for the SDGs and Agenda 2063.

Data mapping is not an analysis of the data per se, but is intended to support the next step, in which planners will be assessing alignment as well as integration with international commitments with the help of specialized planning tools. Indicators based on the SDGs and Agenda 2063 are particularly important, as these will be fed into planning tools in the next step.

As planners map out data sources, it may also be useful to note unexpected events that had major impact (the so-called ‘Black Swans’), which can explain deviations in trends and development reversals. These can serve as a basis for new strategies, policies and programmes to increase the country’s resilience.

## Examples Data Sources

As part of its follow-up and review mechanisms, the 2030 Agenda for Sustainable Development encourages member states to “conduct regular and inclusive reviews of progress at the national and sub-national levels, which are country-led and country-driven” (paragraph 79). As stipulated in paragraph 84 of the 2030 Agenda, regular reviews are to be voluntary, state-led, undertaken by both developed and developing countries, and involve multiple stakeholders. The voluntary national reviews (VNRs) aim to facilitate the sharing of experiences, including successes, challenges and lessons learned, with a view to accelerating the implementation of the 2030 Agenda. The VNRs also seek to strengthen policies and institutions of governments and to mobilize multi-stakeholder support and partnerships for the implementation of the Sustainable Development Goals. You can consult VNRs on the web site of the United Nations Office of the High Commissioner for Human Rights.

The [AUDA – NEPAD Dashboard](#)<sup>27</sup> is a user friendly platform providing quantitative data on the progress made towards the SDGs and Agenda 2063 in all of the region at a glance. Users can filter data by region or AU member state.

The [Integrated Planning and Reporting Toolkit \(IPRT\)](#)<sup>28</sup> is a web application sponsored by the United Nations Economic Commission for Africa (ECA) and developed in response to the needs of African countries to simultaneously adopt and integrate both the 2030 Agenda for Sustainable Development and Agenda 2063 into their national development and enable them to report their progress in a harmonized way.

Source: [Office of the High Commissioner for Human Rights](#), [African Union Development Agency-NEPAD](#), [United Nations Economic Commission for Africa](#)<sup>29</sup>

Consider the example below. While gender disaggregated data is always recommended to see how policies impact women and girls differently, it is not always available. The new NDP process therefore presents a good opportunity to fill any gaps in this regard. Please note that at this stage, the objective is not to assess the quality of data, but gauge if data is available, to understand gaps.

The column on ‘Key Events’ seeks to shed light on key events that may have had a specific influence in the development context, highlighting that while appropriate generic national policies may be in place, this may not be sufficient to deal with ‘Black Swans’ when they arise.

The table on next page shows an output of this exercise with SDG 1 as an example.

**Table example** Mapping data sources, key policies and key events for the SDGs and Agenda 2063

SDG/Agenda 2063	Available Data Sources	Availability of gender disaggregated data	Key Policies	Key Events
<p><b>SDG 1</b> <b>No Poverty</b></p> <p><b>Agenda 2063</b> <b>Goal 1</b> <b>–A High Standard of Living, Quality of Life and Well Being for All Citizens</b></p>	VNR, AU Country Report, National Statistics Office, AUDA-NEPAD online dashboard	Yes from 2017	National Poverty Eradication Plan National Gender Quality Policy	Food crisis in 2005 caused by drought, Flooding in North and Coastal regions in 2007, 2009, Covid-19 pandemic in 2020

If the available data is insufficient, the planning authority and the National Statistics Office may decide to have a separate data collection and analysis plan to inform the NDP, including proxy indicators, i.e. indicators that can be used to assess a particular gap. For example, you may want to have detailed information on health issues in rural areas to develop appropriate policies, but you do not have the data you need. Suppose you want to know how many people have access to health services in a particular rural area, how many are women/girls, and their age, but you do not have that data. In this case, you could look at longevity rates in the area compared to others, available infrastructure, number of health posts/hospitals, number of medical staff, etc. and calculate a proxy indicator for the accessibility and effectiveness of health care services. Although it is an imperfect indicator as it would not take into account other dimensions that affect health such as poverty, sanitation, food security, or other relevant data, it may be ‘good enough’ for you to understand which areas are underserved compared to others.

It is recommended to go through the same exercise to locate relevant data related to cross-cutting issues and international commitments. See example on the next page.

**Table example** Mapping data sources, key policies and key events for the international commitments.

International Frameworks	Available Data Sources	Availability of gender disaggregated data	Key Policies	Key Events
<b>LNOB</b>	VNR, AU Country Report, National Statistics Office, LNOB assessments	Yes from 2017	National Poverty Eradication Plan National Gender Equality Policy Policy for People with Disabilities	Covid-19 pandemic in 2020
<b>Gender</b>	CEDAW reports, UN Women, regional and national women's organizations	Yes	Gender Equality Policy	Women granted inheritance rights in 2014
<b>NDCs</b>	National Communications to the UNFCCC	No	National Adaptation Plan National Climate Change Plan National Energy Policy	Waiving of tariffs for solar panel imports, renewable energy auctions for hydro and solar
<b>DRR</b>	Hyogo Framework for Action Progress Reports, National Disaster Management Office, UN agencies	No	National Disaster Risk Management Strategy and local disaster risk management policies and plans	Flooding in North and Coastal regions in 2007, 2009
<b>Peace and Justice (if applicable)</b>	VNR, National Peace and Reconciliation Commission, Red Cross, United Nations agencies	Yes, partially	Local plans for reintegration of Internally Displaced Persons Alternative Dispute Resolution Policy for Local Councils	Peace Accord signed and IDPs return to provinces of origin

The template below can be used for mapping data sources, key policies and key events for the SDGs Agenda 2063, and international commitments.

**Template** **Data Source Mapping Template**



International Frameworks	Available Data Sources	Availability of: a) Gender disaggregated data b) Gender data by location	Key Policies	Key Events
Sustainable Development Goals				
Agenda 2063 Goals				
LNOB				
Gender				
NDCs				
DRR				
Peace and Justice				

## Module 3 Step 3 Integrated Context Analyses

After having an overview of the data available, planners can then use specialized tools to carry out integrated analyses. These can be used to assess the degree to which the current development plan is aligned with the agendas and international commitments, and what the gaps may be.

Integrated context analyses may be supplemented with specific analyses on topics covered by the international commitments to dig deeper into areas where the country is lagging, or where insufficient data is available at the level of SDGs or AU 2063 targets and indicators. In addition, the tools proposed will assist planners in identifying progress toward targets set in the past and how effective policy choices have been in addressing these. This may be complemented with an assessment of budget and capacity constraints to implement previous policies, where available.

Specific analyses on international commitments may also help generate additional quantitative and qualitative data. Below is an overview of tools that can be used to support an integrated Context Analysis.

## Module 3 Step 3.1 Alignment and integration tools

This section contains an overview of alignment and integration tools. Links to all tools are indicated in the Tools and Resources section at the end of this Module unless otherwise indicated.

### The Integrated Planning and Reporting Toolkit

The [Integrated Planning and Reporting Toolkit \(IPRT\)](#)<sup>30</sup> sponsored by United Nations Economic Commission for Africa (ECA) for African countries helps planners adopt and integrate the 2030 Agenda and Agenda 2063 into their NDP and report progression in a harmonised way. The IPRT is an online tool that can be used by planners from early planning to reporting.

#### Step 1:

The first step of the IPRT helps assess the alignment of the goals of existing or previous NDPs, targets and indicators with the agendas as well as country commitments (LNOB, gender, DRR, NDCs) through the use of the IPRT NDP Alignment Module. This analysis provides insight into how well the NDP had been aligned to agendas/commitments and where gaps exist. In FCAS contexts where there is no valid NDP or it is severely outdated, planners may wish to skip the process of alignment and focus instead on integration, as a pragmatic measure.

The output of this step is an **NDP Alignment to Agendas/Commitments Status Report**, which will provide the following information:

- Areas where there is strong, partial and/or weak alignment between the NDP and the agendas/commitments, with explanations;
- Sectoral view of National Development Plan with goals, targets, and indicators linked to each sector. This allows planners to have a better understanding of targeted sectors and existing inter-linkages between them and assess the overall coherence of the plan across all sectors targeted in the national plan;



**Step 2:**

The next step of the IPRT process provides an analysis of the progress towards national, regional and global development goals and the trends of the country based on national and international data linked to the agendas and the country's own NDP against the ones of the goals, targets and indicators of the agendas/commitments. This will allow planners to understand what goals, targets and indicators are on track, which are progressing but require acceleration, and which are off-track or even reversing.

The key output for this step is a **Progress Assessment and Analysis Report**.

The report provides the following information:

- National progress towards achieving both national goals/targets;
- Country-level progress towards achieving regional and global agendas/commitments, goals/targets based on national as well as international data;
- A basis for an in-depth Context Analysis that allows for assessing the level of integration of the principles guiding the NDP process (LNOB, Gender, NDCs, Peace and Justice, DRR), as well as identification of key areas requiring further analysis and interventions for effective design and implementation of NDPs.

The analysis of status and trends in Step 2 signals a need for a deeper analysis as to why certain goals or targets or indicators are not progressing fast enough. What this also means is that NDP goals, targets and indicators can be aligned to agendas and international commitments but that does not mean they are effectively integrated/mainstreamed or that the country is progressing towards achieving them - which requires further analysis to understand the reasons and bottlenecks for progress and successful implementation of the NDP.

**Step 3:**

Based on the information from the Progress Assessment and Analysis Report, planners will be able to identify the areas requiring attention and use the IPRT Integrated Policy Assessment (IPA) Module in the IPRT process to gain a deeper understanding of the policy reasons why indicators are not progressing fast enough, and/or are off-track and/or reversing. The IPRT IPA Module tool does this by showing the current policies in NDPs that are linked to a specific national as well as international indicator, target and goal. The tool indicates which policies may be inadequate and which policies are completely missing because they need to come from different sectors and themes. Through this process, the tool reveals what the total, ideal policy package should look like, drawing policies from across the sectors and themes (including LNOB through the linkages to target groups for each policy) to achieve a particular Agenda goal, target or indicators, which in turn, should not slow down or reverse another Agenda goal, target or indicators.

The key output for this step is a **Policy Gaps and Recommendations Report** for policy design improvements and a clearer understanding of the stakeholder dialogues required.

The IPRT is continuously being developed to include additional Modules such as economic scenario building, detailed reporting, and other features related to the development planning processes within countries. The tool is designed as a modular tool and can easily integrate with other national, regional, and global tools as required.

### **The Rapid Integrated Assessment (RIA)**

An alternative option to the IPRT is the [UNDP Rapid Integrated Assessment \(RIA\)](#)<sup>31</sup> Tool. Unlike the IPRT, RIA is not an online tool and does not require an internet connection. The tool provides an overview of the level of alignment between national plans/strategies, sectoral plans and policies with the SDG targets. Clear steps and templates are suggested by the tool to determine the relevance of the SDGs to the country context both at the national and subnational level, and the inter-linkages across targets. RIA may also be adapted to examine the degree of alignment of national development plans/strategies and sectoral plans and policies with AU Agenda 2063.

The SDGs alignment assessment is done using two different templates and covering the following steps:

#### **Step 1:**

In this step, planners identify the main broad thematic areas (or clusters of investment) along which the main national planning document in the country (e.g., the National Development Plan) is structured.

#### **Step 2:**

Planners select policy documents and strategies to be part of the assessment (e.g., the National Development Plan, sectoral strategies, etc.).

#### **Step 3:**

In this step, a review of each selected planning and policy document is carried out to identify the closest national articulated objective or target to the SDGs targets, corresponding indicators, and responsible entities.

#### **Step 4:**

Once the review of all planning and policy documents is completed and captured in a special template, the analysis is transposed to a table that indicates which SDG targets correspond to which outcomes in the National Development Plan.

#### **Step 5:**

The mapping is supported by a detailed analysis of the identified gaps.

Additional Agenda 2063 targets which do not find a corresponding target in the 2030 Agenda can be added to the RIA templates to ensure that the analysis covers the alignment of the national planning and policy framework with both the SDGs and Agenda 2063. In addition, a separate alignment can be done for Agenda 2063 alone.

## Examples RIA mapping exercise in Zambia

In Zambia, the RIA mapping exercise involved the identification of SDGs, targets and indicators that corresponded to specific development outcomes, strategies and programmes in the 7th NDP. The mapping exercise also involved extensive consultations with key stakeholders including: the Private Sector, Civil Society Organisations and Cooperating Partners. The process also enabled the identification of corresponding indicators between the Plan and the SDGs, the Sendai Framework and the NDCs, using the template below:

### Benchmark template indicators

7 <sup>th</sup> NDP Strategic Development Area/Development outcomes, targets and indicators	Corresponding SDG indicators	Corresponding Sendai indicators	Corresponding NDC indicators	Analysis
<ul style="list-style-type: none"> <li>→ 7<sup>th</sup> NDP Strategic Development Area/Development outcome x.1</li> <li>→ 7<sup>th</sup> NDP Target x.1.1/ Indicator x.1.1.1</li> </ul>	<ul style="list-style-type: none"> <li>→ Identify the corresponding SDG indicator/s</li> </ul>	<ul style="list-style-type: none"> <li>→ Identify the corresponding Sendai indicator/s</li> </ul>	<ul style="list-style-type: none"> <li>→ Identify the corresponding NDCs indicator/s</li> </ul>	<ul style="list-style-type: none"> <li>→ Discuss differences (if any) between the 7<sup>th</sup> NDP indicators, the corresponding SDG Sendai and/or NDC indicators</li> <li>→ Propose revision of the 7<sup>th</sup> NDP indicators</li> <li>→ Propose to include one or more SDG, Sendai or NDC indicators</li> <li>→ If no changes are proposed to the 7<sup>th</sup> NDP indicators, provide reasons for keeping the 7<sup>th</sup> NDP indicators unchanged ( e.g. lack of data, lack of capacity to measure SDGs, Sendai or NDCs indicators; 7<sup>th</sup> NDP indicators are the same as SDGs, Sendai and NDCs indicators.)</li> </ul>

Source: : [Republic of Zambia 7th NDP Implementation Plan 2017-2021, “Accelerating Development Efforts toward Vision 2030 without Leaving Anyone Behind”](#)<sup>32</sup>

### SDG Acceleration and Bottleneck Assessment

The [UNDP SDG Accelerator and Bottleneck Assessment \(ABA\)](#)<sup>33</sup> aims to support countries to identify catalytic policy and/or programme areas or ‘accelerators’ that can trigger positive multiplier effects across the SDGs and targets, and solutions to bottlenecks that impede the optimal performance of the interventions that enable the identified accelerators. The ABA provides a systematic process that consists of five steps:

**Step 1:**

Identifying ‘accelerators’ and drivers that enable progress across the SDGs. This step helps to identify accelerators – development policy and/or programme areas – that will accelerate progress across the SDGs and the national development goals, and the corresponding drivers that enable their progress.

**Step 2:**

Identifying and prioritizing interventions that drive progress on the accelerator. This step enables users to identify a comprehensive list of interventions critical to addressing each driver of the accelerator identified in Step 1, evaluate the interventions based on their potential impact on the drivers and the enabling environment, and prioritize the interventions based on the criteria applied.

**Step 3:**

Identifying and prioritizing bottlenecks to acceleration. In this step, users identify and prioritize factors that might impede or obstruct an intervention, and thus an accelerator, from speeding up progress towards sustainable development.

**Step 4:**

Identifying and prioritizing bottleneck solutions. In this step, users identify and prioritize solutions to address the bottlenecks prioritized in Step 3. A bottleneck solution is an action that has a significant impact on resolving a bottleneck.

**Step 5:**

Preparation of an implementation and monitoring plan for bottleneck solutions, i.e., an SDG Acceleration Compact. This step enables a country to create an implementation plan for the bottleneck solutions identified in Step 4. This includes identified partner roles, as well as an accountability matrix, a resource plan and an implementation scorecard.

Module 3  
Step 3.2

## Thematic Analyses tools

On the following pages you will find an overview of tools that can be used in analyses covering international commitments. Links to all tools are indicated in the Tools and Resources section at the end of this Module unless otherwise indicated.

### Climate and Environment

#### Nationally Determined Contributions<sup>34</sup>

The best basis for assessing the degree to which the country will meet its NDCs is the baseline and the target that the country has set for itself. NDC focal points will have an established network in the country who can provide data on the various components of the NDC, both for climate change mitigation and adaptation. An overview of all NDCs is available on the [UNFCCC web site<sup>35</sup>](#). There are no universally agreed tracking and reporting tools for NDCs; however, a wide range of tools to support various analyses supporting NDC implementation including the development of a national tracking and accounting system do exist, e.g. on the German government [NDC Cluster web site<sup>36</sup>](#).

### **[African NDCs Gap Analysis Report](#)**<sup>37</sup>

This African Development Bank gap analysis report from 2018 examines the gaps that exist within the context of implementing NDCs in Africa. It aims to identify key elements for success as well as barriers and opportunities to the achievement of NDC targets. The approach for identifying the gaps entailed a literature review on climate action focusing on identifying the key elements required for enhancing climate action in Africa with the view to achieving NDC targets, review of 44 NDCs submitted by African countries through an online survey. The gap analysis recognises that countries are at different stages of addressing climate change and that submitted NDCs have varying levels of details and different structures. Therefore, the analysis presents common NDC related gaps, capturing both what countries have done well and areas where additional effort is required. Although not a tool per se, the methodology employed by the report can provide a model for countries to assess their progress in NDC implementation.

### **Disaster Risk Reduction**

#### **[Developing National Disaster Risk Reduction Strategies](#)**<sup>38</sup>

These guidelines from the UN Office for Disaster Risk Reduction offer practical guidance and good practice examples for aligning a national disaster risk reduction strategy with the Sendai Framework for Disaster Risk Reduction 2015-2030. The guidelines walk users through the entire process of mainstreaming DRR in national development planning, from visioning to implementation, based on the following principles and considerations: Establishing a strong disaster risk governance system; adopting a multi-hazard approach, promoting inclusion and a whole-of-society approach; fostering coherence between disaster risk reduction, climate change and sustainable development; mainstreaming disaster risk reduction within and across sectors; linking national and local disaster risk reduction strategies; customizing approaches to fit the country context; and building capacities.

### **Leave No One Behind**

In order to ensure that the **LNOB**<sup>39</sup> Principle is mainstreamed and given visibility in the planning process, planners are encouraged to take into account existing analyses of the human rights situation in the country. These may be available from civil society organisations, the **National Human Rights Institution (NHRI)**<sup>40</sup>, and **Universal Periodic Review Reports**<sup>41</sup>.

To supplement existing analysis, it is recommended that planners also carry out an assessment of the population groups most at risk of being left behind using the LNOB Guiding Questions provided in the Annex 3. The United Nations Development Group has developed **a LNOB operational guide for UN Country Teams**<sup>42</sup> that may also be adapted by national development planners.

### **Gender**

A broad gender Context Analysis for national development planning may consider **SDG 5**<sup>43</sup> as a main analytical framework. See the Gender Analysis Guiding Questions provided in Annex 4.

However, there are specialised tools available for deep dive gender analyses as an input for formulating programmes. The **UNDP Handbook on Gender Mainstreaming**<sup>44</sup> contains a menu of tools that can be used for that purpose. Although they are originally intended for interna-

tional development agencies programming, some can be easily adapted for national context assessments, including in fragile and conflict-affected situations (FCAS).

### Peace and Justice

There are many tools available for comprehensive crisis and fragility assessments by donors and international development organizations. Examples include the [Post Disaster Needs Assessments Guidelines \(PDNA\)](#)<sup>45</sup>, [Recovery and Peace Building Assessments](#)<sup>46</sup>, and the [Conflict and Development Analysis tool](#)<sup>47</sup>.

For lighter exercises, CAS, planners may wish to use [SDG 16](#)<sup>48</sup> as a basis for a ‘Peace and Justice Rapid Context review’, drawing on SDG 16 targets. Suggested questions to guide the analysis are in Annex 5.

### Download

[↓ Rapid Peace and Justice Context Review Template](#)

### Checklist

- Scope of the ‘Integrated Context Analysis’ decided
  - Timeframe determined
- Mapping of relevant data sources
- Data review carried out
  - In the case of substantive data gaps, decision on including a data collection and analysis plan for the National Statistics Agency in the NDP
- Integrated Context Analysis report including the following, based on tool(s) selected:
  - NDP Alignment to Agendas and Commitment Status Report based on IPRT
  - Progress analysis Report based on IPRT
  - Policy Gaps and Recommendations based on IPRT
  - Alignment Assessment Report based on RIA
  - Identification of potential SDG accelerators based on IPRT and/or SDG Acceleration and Bottleneck Assessment
- Thematic analyses
  - Nationally Determined Contributions
  - Disaster Risk Reduction
  - Leave no One Behind /Human Rights
  - Gender
  - Peace and Justice
- Communication Strategy and Plan implemented

### Linkages with next Module

In the next Module, we will use the data collected through the Integrated Context Analysis to generate future scenarios. This will allow planners to understand policy trade-offs, determine the most appropriate policy mix to adopt in the plan and how to prioritize resources.

## Tools & Resources

### Tools for Agenda 2063 and SDG alignment, integration and progress assessments

#### [Integrated Planning and Reporting Toolkit \(IPRT\)<sup>49</sup>](#)

Sponsored by United Nations Economic Commission for Africa (ECA), the IPRT helps planners adopt and integrate the 2030 Agenda and Agenda 2063 into their NDP and report progression in a harmonised way. The IPRT is an online tool that can be used by planners from early planning to reporting.

#### [Rapid Integrated Assessment \(RIA\)<sup>50</sup>](#)

The RIA is a tool designed by UNDP that provides an overview of the level of alignment between national plans/strategies, sectoral plans and policies with the SDG targets.

#### [SDG Accelerator and Bottleneck Assessment \(ABA\)<sup>51</sup>](#)

The ABA aims to support countries to identify catalytic policy and/or programme areas or ‘accelerators’ that can trigger positive multiplier effects across the SDGs and targets, and solutions to bottlenecks that impede the optimal performance of the interventions that enable the identified accelerators.

#### [UNDP Support to Implementation of the Sustainable Development Goals toolkit<sup>52</sup>](#)

In addition to the tools mentioned above, this list includes tools to support SDG assessments, implementation, monitoring and evaluation, and reporting.

### Resources to support international commitments

#### [NDC Cluster web site<sup>53</sup>](#)

The web site is sponsored by the German government to support Nationally Determined Contributions globally. It features a wide range of tools to support various analyses supporting NDC implementation including the development of a national tracking and accounting system.

#### [African NDCs Gap Analysis Report<sup>54</sup>](#)

This African Development Bank gap analysis report from 2018 examines the gaps that exist within the context of implementing NDCs in Africa. It aims to identify key elements for success as well as barriers and opportunities to the achievement of NDC targets.

#### [Developing National Disaster Risk Reduction Strategies<sup>55</sup>](#)

These guidelines from the UN Office for Disaster Risk Reduction offer practical guidance and good practice examples for aligning a national disaster risk reduction strategy with the Sendai Framework for Disaster Risk Reduction 2015-2030.

#### [Leave No One Behind - Operational guide for UN Country Teams<sup>56</sup>](#)

This Operational Guide has been developed by the United Nations Sustainable Development Group to strengthen the United Nations’ support of implementation of the 2030 Agenda’s commitment to LNOB at the national level. The Guide provides a step-by-step approach to operationalizing Member States’ pledge to leave no one behind and reach the furthest behind first. It is a resource that may be adapted by national development planners to mainstream LNOB in the NDP planning process.

**[The ‘Leave No One Behind’ Index](#)**<sup>57</sup>

The ‘Leave No One Behind’ index monitors the extent to which the 44 governments presenting their National Voluntary Reviews at the 2017 High Level Political Forum are set up to meet their commitments to ‘leave no one behind’. The index measures governments’ readiness in three areas.

**[UNDP Handbook on Gender Mainstreaming](#)**<sup>58</sup>

The Handbook contains specialised tools for gender mainstreaming including deep dive gender analyses as an input for formulating programmes. It builds on training materials for United Nations staff but can be adapted and used as a resource for NDP formulation.

**Resources on the SDGs and Agenda 2063****[Agenda 2063 Framework Document](#)**<sup>59</sup>

Full text of Agenda 2063 including its background, aspirations, goals, priority areas and targets, indicative strategies, critical factors for success, and implementation arrangements.

**[AU First Ten Year Implementation Plan](#)**<sup>60</sup>

Implementation plan for the 2013-2023 period of Agenda 2063, including key transformational outcomes to be reached, monitoring and evaluation, partnerships and financing goals.

**[AU Agenda 2063 web site](#)**<sup>61</sup>

The web site is a full repository of documents on Agenda 2063. It also includes information on Continental Frameworks, National and Regional Economic Commissions development priorities, and Flagship Projects.

**[AUDA-NEPAD Dashboard for the SDGs and Agenda 2063](#)**<sup>62</sup>

The interactive dashboard presents data on AU achievement on both Agenda 2063 and the SDGs at continental, regional, and national levels.

**[UN Department of Economic and Social Affairs web site](#)**<sup>63</sup>

The UNDESA portal contains information on the SDGs, as well as events, publications and a comprehensive repository of documents and resources on the Goals.

**[United Nations Sustainable Development Web site](#)**<sup>64</sup>

The site offers information on the SDGs and a wide range of resources for campaigns, civic engagement, and action to support the SDGs.

**Resources on Statistics****[African Development Bank Statistics Pocketbook 2017 \(English and French\)](#)**<sup>65</sup>

Contains an overview of socio-economic data including demography, business, infrastructure, and key economic indicators.

### **United Nations Economic Commission for Africa African Centre for Statistics<sup>66</sup>**

The portal offers a wide range of resources on statistics, including the Africa Statistics Flash, which contains macroeconomic indicators, key social indicators and information on trade, foreign direct investment and official development assistance.

### **Crisis and fragility assessments**

#### **Conflict and Development Analysis<sup>67</sup>**

The CDA tool provides guidance on conducting conflict analysis and applying the findings of analysis for a range of purposes. The CDA presents an approach to conflict analysis that assists in the gathering of information, brings structure to the analysis and leads to a strong and methodically substantive understanding of a context with the goal of supporting evidence-based decision-making.

#### **Recovery and Peace Building Assessments<sup>68</sup>**

The Recovery and Peace Building Assessment (RPBA) is a partnership framework supported by the European Union, the United Nations and the World Bank Group (WBG) to coordinate re-engagement in countries or regions emerging from conflict or political crisis. It aims to ensure that international and local interventions for recovery are aligned by helping countries assess, plan and prioritize requirements over time under a common process. A shared understanding of the context of conflict, crisis and instability is essential for peace to be sustainable.

#### **Post Disaster Needs Assessment<sup>69</sup>**

The tool consists of two guides for conducting Post Disaster Needs Assessments (PDNA) and for preparing Disaster Recovery Frameworks (DRF). Both guides are based on good practices and experiences from around the world and are intended to coalesce international and local support behind a single, government-led post disaster recovery process. The PDNA Guidelines and the DRF Guide are complementary tools that are designed to avoid the duplication of efforts, streamline the recovery process and provide an evidence base for resource mobilization.

# Planning for new opportunities





# Module 4

## Integrated Future Analysis: *The worlds we get*

### Introduction **What is an Integrated Context Analysis?**

Having undertaken an Integrated Context Analysis to enable an understanding of the past and present, we now turn to an integrated future analysis to get a sense of what the future might look like, or ‘the worlds we get’.

An Integrated Future Analysis is based on modelling and strategic foresight techniques. While quantitative modelling can offer information on policy trade-offs and synergies, strategic foresight brings the realization that the future does not need to be an extrapolation of the past and in fact, several futures are possible, depending on choices made today.

An Integrated Future Analysis will contain processes of anticipation that identify opportunities and threats that may arise in mid- to long-term versions of the future. It draws on different combinations of assumptions, data and trends – some of which are generated from the Integrated Context Analysis discussed in Module 3 – to explore multiple scenarios or futures in a manner that can inform decision-making.

Building on the Integrated Context Analysis, an integrated future analysis draws on quantitative data derived from system dynamic modelling tools and qualitative data generated through foresight techniques to help planners understand policy trade-offs and prioritize interventions. This Module provides a menu of such tools, as well as a description of what they offer.

### **Why is this Module helpful?**

It is widely accepted that there are policy trade-offs whether one uses Agenda 2063 or the SDGs as a basis for planning. For example, under a changing climate, a country will need to make difficult choices regarding the use of water resources – should priority be given to agriculture, renewable energy, or animal husbandry and household consumption? This Module features tools such as iSDG and CLEWS that enable planners to assess the future social, economic and environmental consequences of policy choices, so that they may take informed decisions on how to design an appropriate policy mix given the resources available.

Moreover, it is important to note that countries are often affected by unexpected shocks and developments. This Module includes recommendations on tools that can help planners address so-called ‘Black Swans’- rare, hard to predict events, as well as other shocks related to the occurrence of natural disasters or climate change. Resilience risk analysis combined with strategic foresight tools can support planners to engage in planning that enables resilience (i.e. early detection and fast recovery) through policy analysis and the ideation of innovative and transformative efforts that can facilitate sustainable change in an uncertain and unpredictable

context. Furthermore, since many foresighting techniques are naturally participatory processes that call for multi-stakeholder involvement, foresight also presents an opportunity for inclusive planning and co-creation.

To summarize, integrated future analysis supports:

- i) **Resilience:** by providing planners with an opportunity to test which policy options perform well vis-à-vis future opportunities, risks and challenges and enable resilience;
- ii) **Policy innovation:** by ideating preferred futures and encouraging new and innovative ways to work in order to change the present, to nurture conditions for such a future to emerge;
- iii) **Inclusive planning:** by offering a participatory platform to start negotiating values, perspectives and vested interests during the strategic planning process;
- iv) **Future-proofing:** by identifying, acknowledging and navigating extreme events, for example, related to climate, disaster, conflict or financial shocks and thereby enabling planners to stress-test strategic ambitions against a range of future scenarios.

### What are the outputs of this Module?

The outputs of this Module may include one or more of the following reports, depending on the tool(s) you select:

- Integrated Sustainable Development Goal Report and/or International Futures Report
- Climate, Land Energy Water System (CLEWS) report
- DRR High Level Objectives proposal
- Strategic Foresight Report including international commitments
- Resilience Analysis Report

Regardless of the tool(s) selected, by the end of this Module you should have the following outputs:

- ‘Versions of the Future’ workshop report
- Options Paper

### Tips for ensuring that your country’s commitments are part of the integrated future analysis:

- Use the CLEWS tool to understand linkages between climate change, water, food, and energy resources, policy trade-offs, synergies and choices, and their impact on your country’s capacity to reach climate change mitigation and adaptation targets as stated in the NDCs.
- Use the UNDRR Guidelines on Developing National Disaster Risk Reduction Strategies to formulate a future strategy for DRR.
- Use the Resilience Systems Analysis to understand and prepare for future risks and shocks.
- Use the iSDG or the International Futures tool to identify SDG accelerators in order to achieve better results for the most vulnerable groups and women, in line with gender mainstreaming and the LNOB Principle.

- Consult the [AU First Ten Year Implementation Plan](#)<sup>70</sup> and its flagship programmes.
- Ensure that planners have copies of international commitments available during Foresight workshops and that these are considered in framing “the worlds we get”.
- Ensure that the international commitments are one of the criteria for developing options as a basis for the NDP Strategic Goals.
- Use the checklist at the end of this Module.

## Module 4 Step 1

### Preparation

There are multiple tools and techniques that can be used for integrated future analysis and therefore there are many different ways to do it, depending on the methodology selected. This Guide offers a ‘menu of options’ that planners may choose based on their needs, ambition level, and resources.

This Module consists of four steps:

- 1) Preparation
- 2) Formulating versions of the future
- 3) “Versions of the Future” Workshop
- 4) Developing Options

As a first step, focal points from various planning teams may go through the tools below to understand their data requirements and what they can offer. It is recommended to read about various tools in the web sites indicated before selecting the tools for this Module.

It is important to note that most of the tools below will require external facilitation and support. The SDG /Agenda 2063 focal point in your government should be able to assist with this.

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## Module 4 Step 2

### Formulating versions of the future

This step can combine tools that are based on quantitative data as well as tools that work with qualitative data to generate scenarios representing ‘many possible futures.’ Forecasts produced with quantitative tools will allow planners to ‘step into the future’ and assess policy trade-offs including in the social, economic and environmental areas. Quantitative forecasting tools can be applied to generate scenarios aligned with the SDGs or Agenda 20163 goals and enable you to make decisions based on policy trade-offs and synergies. Links for all tools are available at the Tools and Resources section at the end of this Module.

#### The Integrated Sustainable Development Goals (iSDG) Model

The [Integrated Sustainable Development Goals \(iSDG\) Model](#)<sup>71</sup> is a comprehensive simulation tool developed by the Millennium Institute that generates country-specific customized development scenarios to demonstrate the implications of policy on progression towards the SDGs. The iSDG enables planning officials to understand the interconnectedness of policies designed to achieve the SDGs and test their likely impacts before adopting them. It also simulates the trends for the SDGs until 2030 – and beyond - under a ‘business as usual scenario’ and supports the analysis of relevant alternative scenarios. The advantages of using the iSDG

Model are two-fold: firstly, it can establish policy coherence among all SDGs by simulating all desired interventions in one step and align Agenda 2030 with the NDP and objectives; secondly as a complementary and overarching tool it pulls together and tests the coherence and impact of policies. Policy trade-offs in the economic, social, and environmental domains are assessed, and results can be displayed through the standard or custom output tools. The iSDG model produces a series of standard output tables and graphs. The Millennium Institute can develop specific tables and graphs as required by the client.

To see examples of reports generated by the iSDG, you can consult the [Cote d'Ivoire 2016 iSDG Report](#)<sup>72</sup> and the [Nigeria 2019 iSDG Report](#)<sup>73</sup>.

### International Futures

[International Futures \(IFs\)](#)<sup>74</sup> by the Frederick S. Pardee Center for International Futures is a computer programme that models development for 186 countries across a wide range of data. Unlike the iSDG model, it is a ready to use model based on international data. The software is used to explore how countries and regions have developed in the past, how they are expected to grow and change in the future, and what might happen due to policy choices or possible disruptive events. The tool connects 12 major integrated submodules: agriculture, demographics, economics, education, energy, environment, government finance, governance, health, infrastructure, international politics and technology.

The model enables country, regional, and global level forecasting that is meant to realistically simulate how development systems will unfold in the absence of significant policy change. Additionally, the tool facilitates alternative scenario creation by using alternative policy specifications across the 12 submodules. The IFs tool also contains a large historical database of over 4,500 series and is open-source and free to download.

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## Examples

**Examples of the application of the tool include:**

Egypt: [Sustainable Development Goals Report: Egypt 2030](#)<sup>75</sup>

Yemen: [Assessing the Impact of War in Yemen on Achieving the Sustainable Development Goals](#)<sup>76</sup>

### The CLEWS model

[Climate, Land Energy Water System \(CLEWS\) model](#)<sup>77</sup> by UNDESA enables the simultaneous consideration of the interlinkages between resource systems; food, energy and water security. It is designed to assess how production and usage of these resources can contribute to climate change, and how climate change may affect resource systems. The comparison of different technologies and value chains enables the model to identify where pressure points exist, and how to minimize trade-offs while potentiating synergies. CLEWS can analyse the connections across policies for SDGs and Nationally Determined Contributions (NDCs) under the Paris Agreement. The visualisation displays results for 48 scenarios. These are defined by:

- Four renewable policy targets for ethanol and gasoline blends;
- Four targets setting minimum proportions of renewable sources in the generation of electricity; and
- Three climate scenarios.

To see a visualised example of the application of the CLEWS methodology for Mauritius, see the [Mauritius CLEWS<sup>8</sup>](#).

### DRR High-level objectives

As discussed in Module 3, the UN Office for Disaster Risk Reduction guidelines [Developing National Disaster Risk Reduction Strategies<sup>79</sup>](#) offer practical guidance and good practice examples for aligning a national disaster risk reduction strategy with the Sendai Framework for Disaster Risk Reduction 2015-2030. In Module 3, the guidelines offered guidance on how to do a Context Analysis for DRR. For the integrated future analysis, planners are advised to consult Step 2 of the guidelines and produce a high-level objectives proposal to be integrated in Step 3 of this Module.

### Foresight Manual

The [Foresight Manual: Empowered Futures for the 2030 Agenda<sup>80</sup>](#) was developed by UNDP's Global Centre for Public Service Excellence (GCPSE) to provide future Context Analysis within the realm of forecasting and foresight, relying on emerging and probabilistic data. Strategic foresight is applied due to “the capacity to think systematically about the future to inform decision making today” and is a means to capture an understanding of the historical, present and future situation. The manual introduces several foresight techniques for Strategic Planning. Foresight exercises can help capture an understanding of the future situation by relying on emerging and probabilistic data.

Strategic Foresight exercises should take place in a multi-stakeholder workshop setting with members of the various planning teams in order to ensure that a wide range of specialists are involved, and that civil society is adequately represented. A facilitator will walk planners through a mix of techniques which will allow planners to visualize what various versions of the future might look like, based on different scenarios.

It is important that the facilitator ensures that scenarios that may present “Black Swans” are considered, as these may not be picked up by traditional modelling tools. It is recommended that the facilitator incorporates the international commitments that are at the heart of this Guide (Agenda 2030, Agenda 2063, Climate Change and Environment, DRR, LNOB, Gender, Peace and Justice) in the strategic foresight exercises regardless of the technique chosen. This can be done by having copies of the key documents informing the commitments available in the workshop room and asking participants to include them in their discussions and conclusions.

The techniques may include casual layered analysis, wildcard exercises, participatory methods, roadmapping, backcasting, scenario planning, the Delphi method, and others. For a full overview of techniques, please consult the Foresight Manual.

You may also wish to consult [Jackson's Practical Foresight Guide](#)<sup>81</sup>, which contains a detailed overview of various techniques mentioned in the Foresight Manual and outline their benefits and disadvantages vis-à-vis other tools.

### Examples **Foresight as a tool to increase resilience in the context of COVID-19**

The COVID-19 pandemic spread around the world in 2020 as a major setback that regressed development gains about 10 years back. This was evident from the 2020 SDG Progress Report, which enumerated the impacts and implications of the pandemic and how these effects are 'imperiling progress towards the SDGs'. In such circumstances, countries need to consider a different and forward-looking approach to planning that will salvage the development gains made.

With the emergence of the crisis, SDGs, Agenda 2063 and other global commitments are being implemented in an increasingly volatile, uncertain, complex and ambiguous (VUCA) environment. This means that planning must be tailored to allow for change, complexity and uncertainty. As traditional planning focuses primarily on predictability, it has been found unfavorable to deal with unforeseeable changes, disruptions and shocks that may happen in the future. Foresight has emerged as a tool that comprises of various methods to support planners to consider the multidimensional nature and implications of black swans and unexpected shocks in the future. The idea of foresight is that 'the future is still in the making and can be actively influenced or even created, rather than what has already been decided or enacted in the past by others...'. With the application of foresight, planning is imbued with consideration of uncertain and unpredictable factors as well as unexpected opportunities in the here and now.

*For additional guidance on how to use foresight for increasing resilience to COVID-19, please consult the Special Supplement on Developing More Resilient Plans in the Aftermath of the COVID-19 Pandemic by the UNDP Regional Bureau for Africa at the end of this Guide.*

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### Examples **Examples of the application of the tool include:**

Mauritius: [Mauritius's usage of foresight to work Towards an Innovative Civil Service in Mauritius](#)<sup>82</sup>

Rwanda: [Rwanda's Development through Good Governance – Foresighting Service Delivery in Secondary Cities](#)<sup>83</sup>

### Guidelines for Resilience Systems Analysis

**Resilience Systems Analysis (RSA)**<sup>84</sup> is a tool developed by the OECD that helps effectively integrate risk and resilience into the NDP process and help countries prepare for events ranging from rare (so-called ‘Black Swans’) to seasonal, such as pandemics, volcanic eruptions, earthquakes, currency devaluations, diseases, flooding, drought, as well as trends such as deforestation, increased pollution, and stress related to political events.

The analysis places the understanding of risk, capacities and vulnerability at the centre of effective planning and emphasises the added value of planning approaches that are coherent, multidimensional, cross-sectoral and vertically integrated.

The analysis process has the following steps:

1. Understanding of the risk landscape in a particular context;
2. Looking at how those risks will affect society’s systems;
3. Gathering information about how those systems are set up to cope with those risks, and whether this makes them resilient;
4. Determining what needs to be done to boost resilience; to help the different parts of the system to either absorb those shocks, adapt so that they are less exposed to those shocks, or transform so that the shock will no longer affect them;
5. The result is a resilient system, which will then change the overall context and risk landscape.

### Examples Examples of the application of the tool include:

Democratic Republic of Congo:

[Resilience Systems Analysis – Eastern Democratic Republic of Congo](#)<sup>85</sup>

Somalia: [Resilience Systems Analysis - Somalia](#)<sup>86</sup>

### Outputs

The outputs for this step will depend on the tool(s) selected and can include:

- Integrated Sustainable Development Goal Report and/or International Futures Report
- Climate, Land Energy Water System (CLEWS) report
- DRR High level objectives proposal
- Strategic Foresight Report including international commitments
- Resilience Systems Analysis Report

### Module 4 Step 3

#### “Versions of the future” workshop

In this step, the teams are convened by the planning authority in a workshop setting and the outputs of Module 3 (Integrated Context Analysis) and Step 2 of this Module (Integrated Future Analysis) are presented. It is recommended that a Chair or Facilitator plays an overall facilitation role, while planners and/or external experts who led the work carried out in Steps 1 and 2 present the outputs of various tools and the ‘futures’ they created.

At this stage, it is important to involve the High-Level Steering Committee so that the results of the past, present and future Context Analysis can be presented to key decision makers. This will enable high level officials to understand the rationale for recommendations that may come later and give them an opportunity to provide guidance and advice for next steps.

‘Versions of the future’ are discussed by planners in groups, which can be organized across thematic lines if this is considered appropriate, or in plenum. The outputs of the discussions can be an important input for the next step.

### Module 4 Step 4

#### Developing options as a basis for the NDP Strategic Goals

In the interest of efficiency, it is suggested that a small core group with senior members of all teams be formed to work on this step, which is a key one in the NDP process.

During this step, the group considers:

1. The Vision formulated by ‘all-of-society’ described in Module 2;
2. The Integrated Context Analysis described in Module 3;
3. The Integrated Future Analyses described in Step 2 of this Module;
4. The ‘Versions of the Future’ workshop report generated in the previous step; and
5. The international commitments: Nationally Determined Contributions, the Sendai Framework, the LNOB Principle, as well as peace and justice considerations based on SDG 16/Agenda 2016 Goal 13 and gender mainstreaming targets based on SDG 5.

On the basis of their deliberations, the group synthesises these documents with options, or pathways, in an Options Paper, as a basis for the formulation of the NDP Strategic Plan. The Options Paper may contain a list of strategic goals that reflect the Vision generated in Module 2, as well as current development challenges based on the Context Analysis from Module 3 and future scenarios generated by the tools mentioned in this Module. This will enable the group to distil the outputs of the previous steps in strategic priorities that will guide the development of the Strategic Plan.

This is not meant as a heavy, bureaucratic exercise; rather, it will involve prioritization based on policy trade-offs, future scenarios and the political agenda of the government. The data that will serve as basis for prioritization will have been generated in previous steps and the “Options

Paper” is intended as a brief to enable decision-making. It can consist of an inventory of recommendations for discussion and validation by the High-Level Steering Committee, accompanied by reports with supporting data (all the reports generated in previous modules thus far) as annexes.

The “Options Paper” may be presented to the High-Level Steering Committee, who will then meet and make a final decision on the recommendations and lay the foundations for strategic priorities to inform the Strategic Plan. Their decision should be communicated widely to all stakeholders, including members of the planning teams and involved in the Visioning Exercise.

Mechanisms for citizens to provide feedback through radio shows, newspapers, social media and other channels must be available in order to ensure a LNOB, all-of-society approach to validation of priorities.

## Checklist

### Please select those that apply based on your choice of tools:

- Integrated Sustainable Development Goal Report and/or International
- Futures Report
- Climate, Land Energy Water System (CLEWS) report
- DRR High-level objectives proposal
- Strategic Foresight report including:
  - Nationally Determined Contributions
  - Disaster Risk Reduction
  - LNOB
  - Gender
  - Peace and Justice based on SDG 16 and Agenda 2063 Goal 13
- Resilience Risk Analysis
- “Versions of the Future” Workshop held
- Developing Options
  - Options Paper
  - Options Paper presented to High Level Steering Committee
- Decision by High Level Steering Committee communicated to all of society through the media and other channels
  - Mechanisms for citizens to provide feedback provided
  - Responses to feedback ensured

## Linkages with next Module

This Module provides the basis for decision making and setting priorities for the NDP, building on an all-of-government, all-of-society national development Vision, the current development context, and the future that the country aspires to have. In the next Module, planners will translate this into strategic goals, development outcomes and strategies in order to chart their course toward the future to which they aspire.

## Tools & Resources

### Modelling and Foresight Tools

#### [Integrated Sustainable Development Goals \(iSDG\) Model](#)<sup>87</sup>

The Integrated Sustainable Development Goals (iSDG) model is a policy simulation tool designed to help policy makers and other stakeholders make sense of the complex web of inter-connections between the SDGs. The tool focuses on the dynamic interactions within the SDG system to reveal the best paths and progression towards achieving the SDGs.

#### [International Futures \(IFs\)](#)<sup>88</sup>

IFs is a computer programme that is used to explore how countries and regions have developed in the past, how they are expected to grow and change in the future, and what might happen due to policy choices or possible disruptive events. The tool connects 12 major integrated sub-Modules: agriculture, demographics, economics, education, energy, environment, government finance, governance, health, infrastructure, international politics and technology.

#### [Climate, Land Energy Water System \(CLEWS\)](#)<sup>89</sup>

This tool developed by UNDESA enables the simultaneous consideration of the interlinkages between resource systems; food, energy and water security. It can analyse connections across policies for SDGs and Nationally Determined Contributions (NDCs) under the Paris Agreement and identify where pressure points exist, and how to minimize trade-offs while potentiating synergies.

#### [Foresight Manual: Empowered Futures for the 2030 Agenda](#)<sup>90</sup>

This Manual was developed by UNDP's Global Centre for Public Service Excellence to provide future Context Analysis within the realm of forecasting and foresight, relying on emerging and probabilistic data. Strategic foresight is defined as "the capacity to think systematically about the future to inform decision making today" and is a means to capture an understanding of the historical, present and future situation. The manual introduces several foresight techniques for Strategic Planning.

#### [Jackson's Practical Foresight Guide](#)<sup>91</sup>

The Guide was prepared by a private consultancy firm and contains a detailed overview of various techniques mentioned in the Foresight Manual and outline their benefits and disadvantages vis-à-vis other tools.

#### [SDG Impact Assessment Tool](#)<sup>92</sup>

The SDG Impact Assessment Tool was developed by the Gothenburg Centre for Sustainable Development. It is a free online learning tool that visualizes the results from a self-assessment of how an activity, organisation or innovation affects the SDGs. It aims to stimulate the user to get a better understanding of the complexity of sustainable development and the different aspects of the SDGs.

**Risk Management Tools****Developing National Disaster Risk Reduction Strategies**<sup>93</sup>

These guidelines from the UN Office for Disaster Risk Reduction offer practical guidance and good examples for aligning a national disaster risk reduction strategy with the Sendai Framework for Disaster Risk Reduction 2015-2030. For the Integrated Future Analysis, planners are advised to consult Step 2 of the guidelines and produce a high-level objectives proposal to be integrated in Step 3 of this Module.

**Resilience Systems Analysis (RSA)**<sup>94</sup>

RSA is a tool developed by the OECD that helps effectively integrate risk and resilience into the NDP process and help countries prepare for events ranging from rare (so-called 'Black Swans') to seasonal, such as pandemics, volcanic eruptions, earthquakes, currency devaluations, diseases, flooding, drought, as well as trends such as deforestation, increased pollution, and stress related to political events.



# Module 5

## Strategic Plan:

### *Towards the world we want*

#### Introduction **What is a Strategic Plan?**

The Strategic Plan is the document that identifies how the National Vision will be reached and indicates the broad strategic areas and sectoral policies that will contribute to the realization of the Vision.

#### **Why is this Module helpful?**

This Module will help you think through your theory of change, formulate Strategic Goals, development outcomes and the strategies required to achieve your intended outcomes.

#### **What are the outputs of this Module?**

- Theory of Change
- Strategic Plan Narrative
- Strategic Plan Outcomes, Strategies and Targets

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#### **Tips for ensuring that your country's international commitments are included throughout the Strategic Plan**

- When establishing targets for each strategy, match them against international commitments. By tagging results with colour codes, for example, you can categorize how your strategies contribute to each sector and to the international commitments based on the IPRT, RIA and other tools used in Modules 3 and 4.
- Consult the [AU First Ten Year Implementation Plan<sup>95</sup>](#) and its flagship programmes.
- Use the checklist at the end of this Module.

#### Module 5 Step 1

#### **Preparation of the Strategic Planning Process**

At this stage, a small drafting group is selected from the teams with a mix of planning experts and sectoral experts. The team will consider the outputs of the entire process, as follows:

1. The Vision formulated by 'all-of-society' described in Module 2;
2. The Integrated Context Analysis described in Module 3;
3. The Integrated Future Analysis and the 'Versions of the Future' workshop report described in Module 4;
4. The recommendations derived from the Options Paper described in Module 4 – which form the basis for the Strategic Priorities of the NDP.

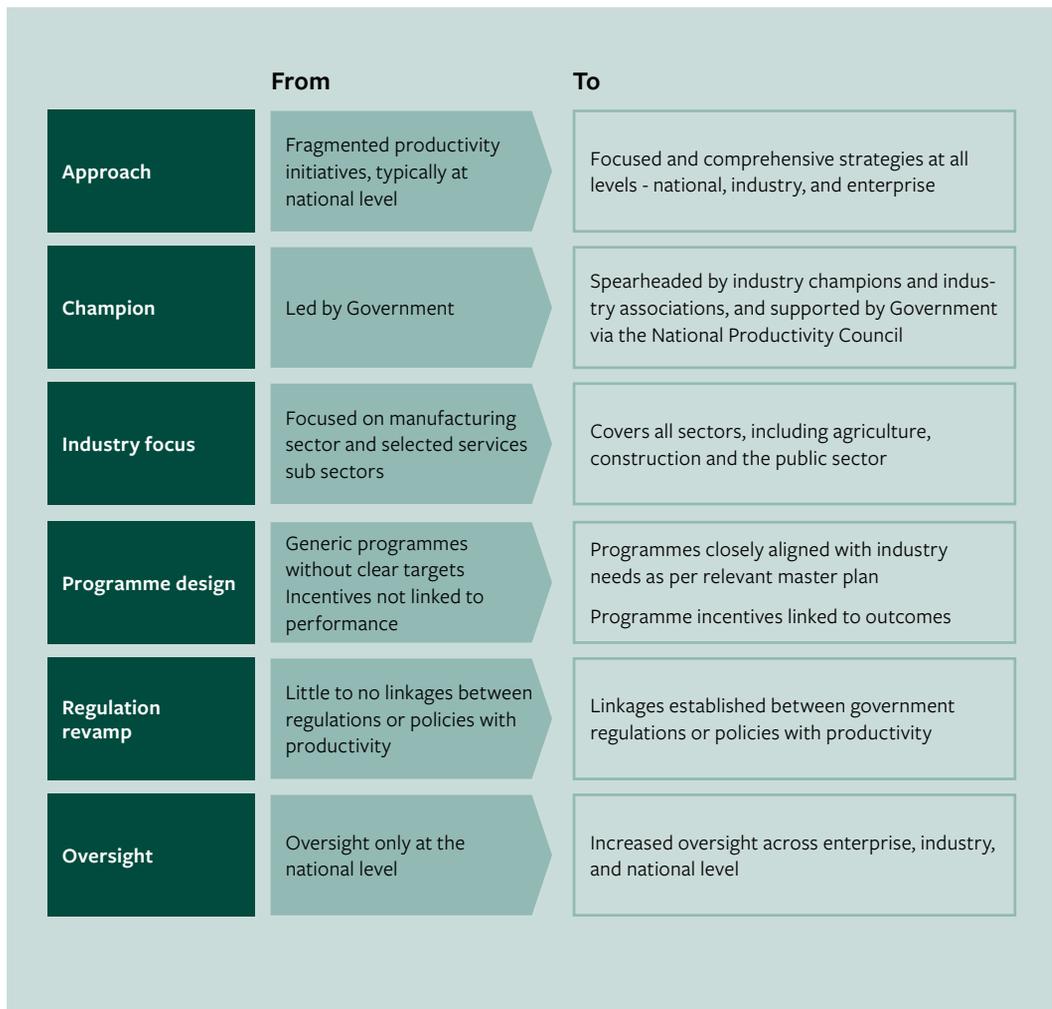
In addition, the team will again review all international commitments on Climate Change, Disaster Risk Reduction, LNOB, Gender, and Peace and Justice to ensure that these are integrated in the document. For a list of Guiding Questions, please see the respective tabs.

**Game Changers**

At this stage, you may wish to look back at what was achieved in the previous planning period and consider what is required to ensure a different result. What are possible game changers? Why are they important, and what will success look like?

In Malaysia, the government identified six ‘game changers’, defined as “innovative approaches to accelerate the country’s development” that, once successfully applied, will fundamentally change the trajectory of the country’s “growth”. The figure below illustrates one of the ‘game changers’ for “unlocking the potential of productivity”. On the left side, planners describe the approach followed in the past plan. On the right side, the desired effect of the game changer is described, showing what success will look like.

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Source: [Eleventh Malaysia Plan 2016-2020 – Anchoring Growth on People](#)<sup>96</sup>

## Module 5

### Step 2

## Formulate a Theory of Change

There are different approaches for formulating a theory of change (ToC) (See ‘Tools/ Resources’) depending on the purpose of it. Common elements to ToC formulation include:

1. An analysis of context. For this, refer to Module 3;
2. Clear hypotheses identifying pathways to change. The tools in Module 4 provide a good basis for pathways reflecting the SDGs and Agenda 2063;
3. An assessment of the evidence for each hypothesis – this comes from an analysis of past policies. An important caveat is that these may never be 100% reliable as the hypotheses are based on assumptions, and these may be sensitive to external circumstances or unforeseen events (“Black Swans”) such as for example natural disasters, sudden political changes, commodity price fluctuations or epidemics (See Resilience Risk Analysis in Module 4). Hence the hypotheses constitute a **theory** of change that will need to be monitored and updated as needed. The NDP can thus be considered a living document that may be updated when circumstances require.

### Example 1 Sierra Leone Theory of Change

The Sierra Leone Medium-Term National Development Plan contains four goals and several policy clusters through extensive national consultations.

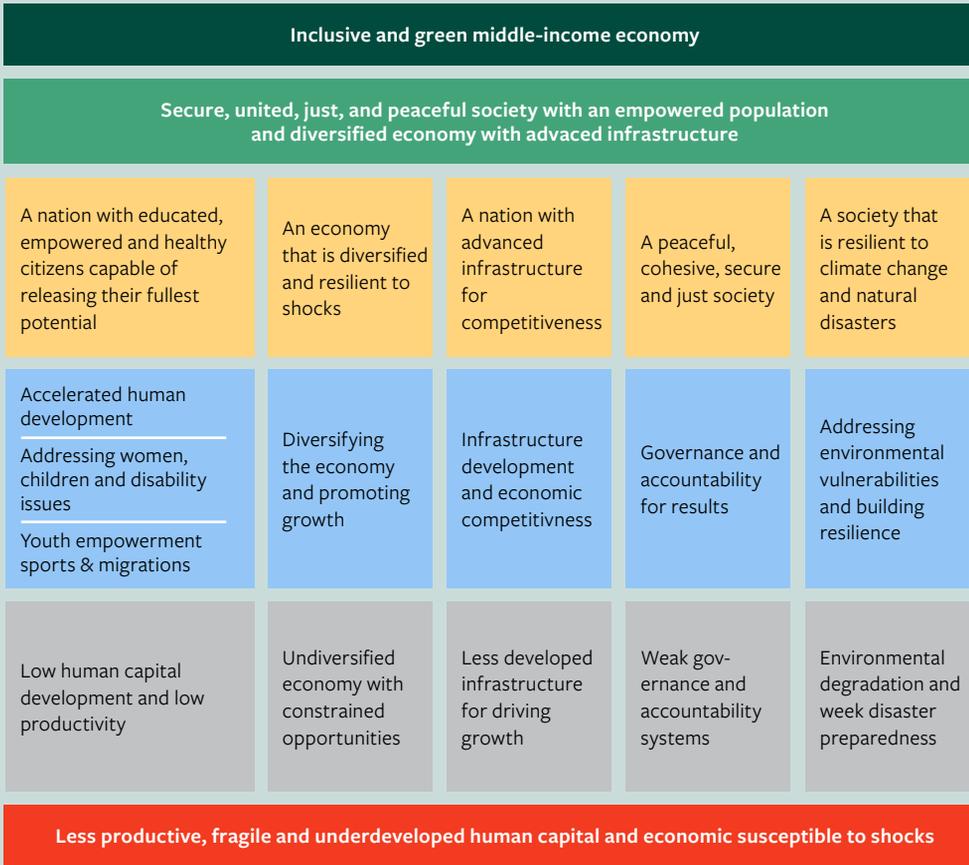
#### The Goals are:

- Goal 1: A diversified, resilient green economy
- Goal 2: A nation with educated, empowered and healthy citizens capable of realizing their fullest potential
- Goal 3: A society that is peaceful, cohesive, secure, and just
- Goal 4: A competitive economy with a well-developed infrastructure

#### In order to achieve these Goals, the Plan lays out eight policy clusters:

1. Human capital development
2. Diversifying the economy and promoting growth
3. Infrastructure and economic competitiveness
4. Governance and accountability for results
5. Empowering women, children, and persons with disabilities
6. Youth employment, sports, and migration
7. Addressing vulnerabilities and building resilience
8. Means of implementation

**THEORY OF CHANGE**



The Theory of Change for the Sierra Leone National Development Plan describes the pathways through which the outcomes achieved within each of the clusters will lead to the National Development Goals that in turn will produce the Vision. The goals are interconnected and depend on one another. For example, the goal of a society with high levels of education and education-enabled development is not only a goal in its own right, but a precondition for attaining full potential in each of the other goals.

To attain the four goals, policy actions and programmes are grouped into the eight clusters, each with several sub-clusters. The national outcomes in each cluster require policy actions that together will generate the outcomes listed.

Continuous monitoring, evaluation, and coordination are essential for the success of the entire programme. Each of the outcomes in the clusters will therefore outline its Theory of Change to ensure effective implementation and facilitate the monitoring of progress.

A number of risks are identified as having the potential to compromise success, and these are listed in Cluster 8 on implementation. Mitigating measures to counter such effects are also outlined. Experience from past plans indicate that insufficient attention is given to risks and ex ante preparation of risk-mitigating measures. This time around, reporting arrangements will make constant attention to risks and updating of mitigating measures obligatory.

Source: [International Monetary Fund African Department](#)<sup>97</sup>

## **Example 2** Zambia Theory of Change for the 2017 – 2021 National Development Plan

The Zambia ToC articulates, in a systematic way, how strategies, activities or programmes contribute to a set of specific outcomes through a series of intermediate results. It describes the pathway through which change will come about. This is in the context of how the country is going to diversify its economy; what results it needs to attain diversification; and what interventions will bring about these results. It also describes the underlying assumptions and conditions necessary to bring about this change. The ToC has been elaborated in greater detail in the National Performance Framework (NPF) with a view to translate the Vision 2030 into strategic objectives and long-term outcomes through various pathways. Therefore, the 7NDP draws from the long-term outcomes outlined in the NPF which form the basis on which medium-term outcomes of the Plan are anchored.

To see examples of theories of change, see the [Sierra Leone National Development Plan](#)<sup>98</sup> and the [Zambia National Development Plan](#)<sup>99</sup>

**Module 5**  
**Step 3** | **Formulate Strategic Goals to realise your National Development Vision and its objectives**

The Strategic Goals form the overall strategic pillar of the Plan, based on its development Vision. Based on them, the country will generate development outcomes and formulate strategies to achieve them. These strategies will then be underpinned by the policies and actions required to operationalize the Plan. This will be discussed in Module 6.

Consider for example the Seventh National Plan of Zambia (2017-2021).

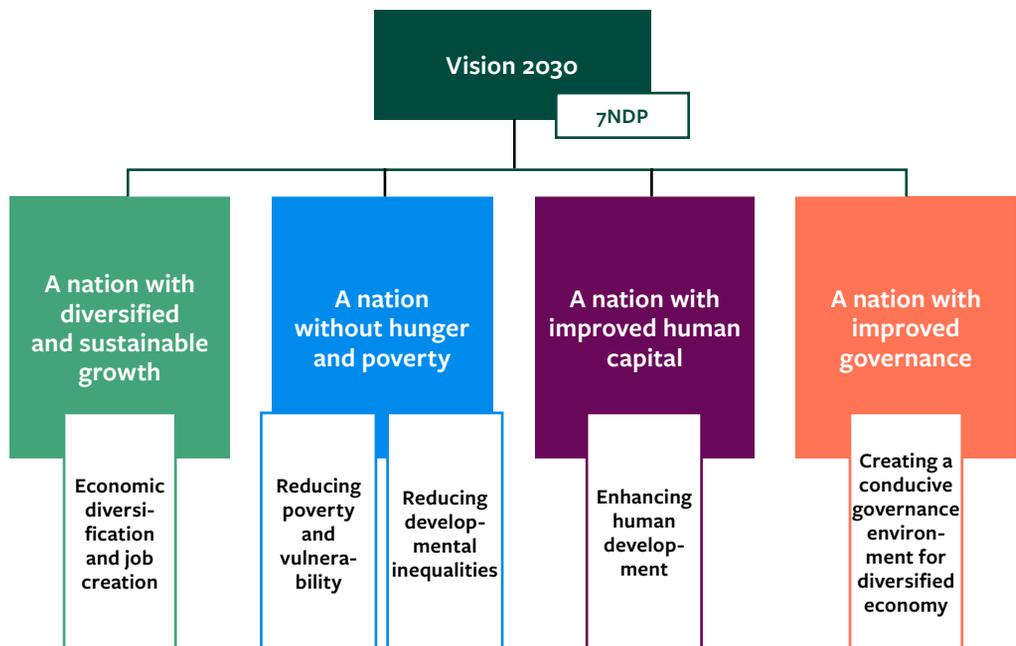
The Zambian Vision was built around 4 main pillars:

- A Nation with diversified and sustainable growth
- A Nation without hunger and poverty
- A Nation with improved human capital
- A Nation with improved governance

In order to achieve its Vision for its 7th National Development Plan, Zambia selected five key Strategic Goals, as shown in the table below:

- Economic diversification and job creation;
- Reducing poverty and vulnerability;
- Reducing developmental inequalities;
- Enhancing human development;
- Creating a conducive governance environment for a diversified economy.

To meet the Strategic Goals, the country formulated a series of outcomes and strategies, as described below.



## Module 5

### Step 4

## Identify key development outcomes and strategies that underpin your key Strategic Goals

Based on the analyses mentioned in Step 1, identify development outcomes and strategies that will lead to the achievement of Strategic Goals.

Following the example previous, Zambia identified development outcomes in the following outcomes to reach the Strategic Goal of “Economic Diversification and Job Creation”:

1. A diversified and export-oriented agriculture sector;
2. A diversified and export-oriented mining sector;
3. A diversified tourism sector;
4. Improved energy production and distribution for sustainable development;
5. Improved access to domestic, regional and international markets;
6. Improved transport systems and infrastructure;
7. Improved water resources development and management;
8. Enhanced information and communication technology;
9. Enhanced decent job opportunities in the economy; and
10. Enhanced research and development.

After you have formulated the key results, or outcomes you wish to have achieved during the period of the plan, identify strategies for attaining these development outcomes, as well as accelerators as applicable. An outcome is a result that requires collective action by many actors. As a rule of thumb, an outcome is a result to be achieved in the medium term, requiring 5-10 years, depending on the complexity and level of ambition.

Based on the example above, relevant strategies to attain the outcome of “A diversified and export-oriented agriculture sector” could be:



## Module 5

### Step 5

# Identify targets for each strategy

Having identified relevant strategies, the next step is to identify results you wish to achieve with each strategy and how you will measure them. At this stage, this is done through establishing targets for each strategy.

As you set your results, match them against your country's international commitments. By colour coding, you can categorize how your strategies contribute to each sector and to the international commitments based on the IPRT, RIA and other tools used in Module 3.

You may wish to consult the following resources as you formulate your development outcome targets to ensure alignment with your country's international commitments:

#### 1. SDG and Agenda 2063 related resources:

- [AUDA-NEPAD Dashboard for the SDGs and Agenda 2063](#)<sup>100</sup>
- [Agenda 2063 Framework Document](#)<sup>101</sup>
- [AU Agenda 2063 web site](#)<sup>102</sup>
- [UN Department of Economic and Social Affairs web site](#)<sup>103</sup>

#### 2. Resources specifically related to the Nationally Determined Contributions, Disaster Risk Reduction, Gender, Leave No One Behind, and Peace and Justice:

- [The Paris Agreement](#)<sup>104</sup>
- [Sendai Framework for Disaster Risk Reduction 2015- 2030](#)<sup>105</sup>
- UNDRR Developing National Disaster Risk Reduction Strategies
- [1995 Beijing Platform for Action](#)<sup>106</sup>
- [Resources on Goal 5 – Achieve Gender Equality and Empower all women and girls](#)<sup>107</sup>
- [Resources on Leave No One Behind Principle](#)<sup>108</sup>
- [African Union Silencing the Guns](#)<sup>109</sup>
- [Resources on Goal 16 – Promote Just, Peaceful and Inclusive Societies](#)<sup>110</sup>

You may also wish to consult the AU flagship programmes, such as the [African Continental Free Trade Area](#)<sup>111</sup> to ensure that your NDP is aligned with regional initiatives that may boost the national economy and have an overall positive effect on the national economy.

**Table example**

<b>Strategic Goal 1</b>	<b>Economic Diversification and Job Creation</b>		
<b>Development Outcome 1</b>	A diversified and export-oriented agriculture sector		
<b>Strategy 1: Improve agricultural production and productivity</b>	Targets <i>[All examples are indicative]</i>	SDG/Agenda 2063/ Sectors Examples	International Commitments
	1.1 Increase the proportion of farm, pastoral and fisher households that are resilient to climate and weather-related risks to 30%.	SDGs 1, 2, 3  Agenda 2063 Goals 1, 3, 4, 5,  Sectors: Agriculture Trade	NDC target: Strengthen climate-resilient and low-carbon agriculture by 2025
	1.2 By 2025, have national early warning system linked to flood/drought preparedness systems in 75% of districts.	SDGs 13, 15  Agenda 2063 Goals 7, 10  Sectors: Disaster Risk Management Agriculture	DRR Priority 3) Investing in disaster risk reduction for resilience and 4) Enhancing disaster preparedness for effective response.
	1.3 By 2025, promote food security and enhanced agricultural productivity by disadvantaged groups through agricultural extension services to the population in districts with one or more of the following characteristics: <ul style="list-style-type: none"> <li>• Lowest income decile</li> <li>• Highest malnutrition decile</li> <li>• Lowest longevity decile</li> <li>• High number of disabled, internally displaced persons, migrants, indigenous communities, religious or ethnic minorities, and other groups identified in LNOB assessment</li> </ul>	SDGs 1, 2, 8, 16  Agenda 2063 Goals 1, 3, 13  Sectors: Agriculture Social Development	LNOB Principle  SDG 16 /Peace and Justice target 16 B
	1.4 By 2025, ensure all financial institutions offer credit lines to women farmers on the same basis as men.	SDGs 1, 2, 5, 8  Agenda 2063 Goals 1, 3, 17  Sectors: Finance	SDG 5/ Gender targets 5.1, 5.5 and 5 a

## Module 5

### Step 6

### Articulate Strategic Plan narrative

Countries will have different ways of presenting their National Development Plans, and the narrative may follow a certain standard defined nationally. For a new generation of NDPs that includes integration and foresight, a Table of Contents for the narrative part could include the following elements:

1. Lessons learned from implementation of previous plans, implementation challenges
2. Past performance and current context by sector – strengths and gaps including for international commitments
3. National Development Vision
4. Conceptual Framework (Theory of Change and how the Plan integrates the NDCs, DRR, LNOB, Gender and Peace and Justice commitments)
5. The process followed (Consultations, composition of teams who contributed)
6. Outcome of Stakeholder Engagement at national and local level
7. Current opportunities and challenges (including alignment and integration considerations reflecting policy synergies and trade-offs identified earlier)
8. Description of strategic choices made
9. Linkages of Plan with other regional key programmes, such as the AU Flagship Projects (if applicable)
10. Strategic Goals, Development Outcomes and Strategies to be employed

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### Examples For examples, see:

[Zambia Seventh National Development Plan 2017 – 2021](#)<sup>112</sup>

[Sierra Leone Medium-term National Development Plan 2019 - 2023](#)<sup>113</sup>

### Checklist

- Drafting group selected
- Theory of Change formulated
- Strategic Goals formulated
- Key Development Outcomes formulated:
  - Strategies for each development outcome formulated
  - Targets for each strategy formulated covering SDGs, Agenda 2063
    - International commitments reflected in targets
    - Climate and Environment/NDCs
    - Disaster Risk Reduction
    - Leave no One Behind /Human Rights
    - Gender
    - Peace and Justice Rapid Context Review (if applicable)
- Strategic Plan narrative formulated

## Linkages with next Module

In the next Module, you will indicate the policies and actions that will operationalize the Strategic Plan.

## Tools & Resources

### Tools to help you formulate a Theory of Change

[Understanding Theories of Change in International Development.](#)<sup>114</sup> The Asia Foundation, 2012

[Theory of Change Concept Note.](#)<sup>115</sup> United Nations Development Group, 2016

[Theory of Change.](#)<sup>116</sup> UN Environment Programme 2020

[Examples of Theories of Change.](#)<sup>117</sup> Department of International Development 2012

### SDGs and Agenda 2063 resources

[Agenda 2063 Framework Document](#)<sup>118</sup>

Full text of Agenda 2063 including its background, aspirations, goals, priority areas and targets, indicative strategies, critical factors for success, and implementation arrangements.

[AU First Ten Year Implementation Plan](#)<sup>119</sup>

Implementation plan for the 2013-2023 period of Agenda 2063, including key transformational outcomes to be reached, monitoring and evaluation, partnerships and financing goals.

[AU Agenda 2063 web site](#)<sup>120</sup>

The web site is a full repository of documents on Agenda 2063. It also includes information on Continental Frameworks, National and Regional Economic Commissions development priorities, and Flagship Projects.

[AUDA-NEPAD Dashboard for the SDGs and Agenda 2063](#)<sup>121</sup>

The interactive dashboard presents data on AU achievement on both Agenda 2063 and the SDGs at continental, regional, and national levels.

[UN Department of Economic and Social Affairs web site](#)<sup>122</sup>

The UNDESA portal contains information on the SDGs, as well as events, publications and a comprehensive repository of documents and resources on the Goals.

[United Nations Sustainable Development web site](#)<sup>123</sup>

The site offers information on the SDGs and a wide range of resources for campaigns, civic engagement, and action to support the SDGs.

### Tools and Resources to help you reflect your International Commitments in the Strategic Plan

[The Paris Agreement](#)<sup>124</sup>

[Sendai Framework for Disaster Risk Reduction 2015- 2030](#)<sup>125</sup>

[1995 Beijing Platform for Action](#)<sup>126</sup>

[Resources on Goal 5 – Achieve Gender Equality and Empower all women and girls](#)<sup>127</sup>

[Resources on Leave No One Behind Principle](#)<sup>128</sup>

[Resources on Goal 16 – Promote Just, Peaceful and Inclusive Societies](#)<sup>129</sup>



# Module 6

## Operational Plan:

### *Realising the world we want*

#### Introduction **What is an Operational Plan?**

The Operational Plan of the NDP indicates how the Strategic Plan will be implemented in practice.

Based on the Strategic Goals, Development Outcomes and Strategies identified in the Strategic Plan, the Operational Plan sets out the policies, programmes and key performance indicators that will be used to reach the objectives of the plan.

#### **Why is this Module helpful?**

The purpose of this Module is to help planners formulate a results framework that can be used for implementation, monitoring and reporting over the period of the NDP. Planners routinely work on this type of document, but what is novel about the new generation NDP is that the results framework can be integrated with the results frameworks of the SDGs, Agenda 2063 and the international commitments your country has adopted.

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#### **What are the outputs of this Module?**

The outputs of this Module are the Operational Plan and the results framework and its narrative.

#### **Tips for ensuring that your country's international commitments are included throughout the Strategic Plan**

When establishing targets for each strategy, match them against international commitments. By tagging results with colour codes, for example, you can categorize how your strategies contribute to each sector and to the international commitments based on the IPRT, RIA and other tools used in Modules 3 and 4.

- Consult the statistical resources available for the SDGs and Agenda 2063 and familiarize yourself with the indicators used for each target.
- Consult the [AU First Ten Year Implementation Plan](#)<sup>130</sup> and its flagship programmes.
- Consider the findings of the research and reports on the NDCs, the Sendai Framework, gender and LNOB produced in the previous Modules.
- Ensure that you apply a gender lens to your work by i) employing gender disaggregated data in policy and programme design, ii) considering how each policy or programme will impact women or men differently, and iii) using gender-disaggregated data whenever possible for target setting.

## Module 6

### Step 1

### Review your Strategic Plan and select relevant indicators

Review the key pillars, strategic goals, development outcomes, strategies and targets set in the Strategic Plan. Consider whether and how they are aligned with the SDGs and Agenda 2063.

You can consult the SDG and Agenda 2063 indicators at:

- <https://unstats.un.org/sdgs/indicators/indicators-list/>
- [https://au.int/sites/default/files/newsevents/workingdocuments/33090-wd-13.1\\_agenda\\_2063\\_draft\\_indicator\\_handbook.pdf](https://au.int/sites/default/files/newsevents/workingdocuments/33090-wd-13.1_agenda_2063_draft_indicator_handbook.pdf)

For each target, consider the following questions:

- How does this target correspond to the SDG and Agenda 2063 targets?
- What is the current baseline?
- What indicators will be used to monitor the progress toward the targets?
- What policies exist to support these targets? What policies need to be formulated?  
By whom?
- What programmes will have to be put in place to implement these policies?  
By whom?

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## Module 6

### Step 2

### Populate the template

Populate the template that can be downloaded below. Please note that the information in the table on next page is an example for illustrative purposes only.

As you define programmes, keep a gender lens to your work, by i) employing gender disaggregated data in policy and programme design, ii) considering how each policy or programme will impact women or men differently, and iii) using gender-disaggregated data whenever possible for target setting.

Download



[Suggested template for the Operational Plan](#)

Table example

<b>Strategic Goal 1</b>		Economic Diversification and Job Creation	
<b>Development Outcome 1</b>		A diversified and export-oriented agriculture sector	
<b>Outcome indicator:</b> Growth rates in sustainable and climate resilient agricultural production systems			
<b>Strategy 1:</b> Improve agricultural production and productivity			
<p><b>Target 1.1:</b> Increase the proportion of farm, pastoral and fisher households that are resilient to climate and weather-related risks to 10% by 2025</p>	<p><b>SDG Target</b> 2.4 By 2030, ensure sustainable food production systems and implement resilient agricultural practices that increase productivity and production, that help maintain ecosystems, that strengthen capacity for adaptation to climate change, extreme weather, drought, flooding and other disasters and that progressively improve land and soil quality.</p>		<p><b>Agenda 2063 Targets</b></p> <p>1. At least 30% of agricultural land is placed under sustainable land management practice</p> <p>5. Increase the proportion of farm, pastoral and fisher households that are resilient to climate and weather-related risks to 30%</p>
	<p><b>SDG Indicators</b> Indicator 2.4.1 - Proportion of agricultural area under productive and sustainable agriculture</p> <p>The area under productive and sustainable agriculture captures the three dimensions of sustainable production: environmental, economic and social. The measurement instrument - farm surveys - will give countries the flexibility to identify priorities and challenges within the three dimensions of sustainability. Land under productive and sustainable agriculture will be those farms that satisfy indicators selected across all three dimensions. This indicator will measure progress towards SDG Target 2.4.</p>		<p><b>Agenda 2063 Indicators</b></p> <p>1.5.1.5.1 % of pastoral and fisher households who are resilient to climate and whether related risk.</p> <p>1.7.1.1.1 % of agricultural land placed under sustainable land management practice.</p> <p>1.7.3.1.1 % of farmers, pastoralist and fisher folks practicing climate resilient production systems.</p>
	<b>Year of baseline</b>	<b>Baseline</b>	<b>Indicator – [ to be completed by planner]</b>
Pastoral households	2021	2%	% of pastoral and fisher households who are resilient to climate and whether related risk
Fisher households	2020	5%	% of pastoral and fisher households who are resilient to climate and whether related risk
Farmers	2020	3%	% of farmers, pastoralist and fishermen and women practicing climate resilient production systems
Commercial estates	2020	20%	% of agricultural land placed under sustainable land management practice.

Template continue

Targeted location and population groups	Policies	Programmes
<ul style="list-style-type: none"> <li>- Districts xzy</li> <li>- Women farmers, conflict affected groups xyz</li> </ul>	<ul style="list-style-type: none"> <li>- Climate Resilient Agriculture Policy</li> <li>- Aquaculture Support Policy</li> <li>- Reforestation Policy</li> </ul>	<ul style="list-style-type: none"> <li>- Research and development for drought/flood resilient seeds</li> <li>- Ecosystem- based adaptation programme for water security</li> <li>- Seed bank programme for reforestation targeting women farmers</li> </ul>

Performance targets for these policies and programmes can then be set up in a disaggregated manner, including gender and location.

**Suggested template for the Operational Plan**

The template below can help planners align their NDP Goals, outcomes, strategies and targets with the SDGs/Agenda 2063 targets and indicators.

[Download](#)  [Suggested template for the Operational Plan](#)

Module 6  
Step 3

**Prepare the narrative**

The narrative of the Operational Plan builds on the Strategic Plan. It may contain the following sections:

- Table of Contents
- Methodology including an explanation of how NDCs, the Sendai Framework, gender and LNOB principles were incorporated throughout
- Description of linkages across strategies, policies and programmes and how they contribute to various sectors.

**Checklist**

- Operational Plan indicators reflect SDGs and Agenda 2063 targets and indicators
- Existing policies in support of operational plan targets are identified
- New policies to be formulated in support of targets are identified
- Policies and programmes take into account:
  - Climate and Environment/NDCs
  - Disaster Risk Reduction
  - Leave no One Behind /Human Rights
  - Gender
  - Peace and Justice Rapid Context Review (if applicable)
- Strategic Plan narrative formulated

## Tools & Resources

### **Mainstreaming Environment and Climate for Poverty Reduction and Sustainable Development**<sup>131</sup>

This handbook is designed as guidance for policymakers and practitioners to mainstream pro-poor environment and climate concerns into planning, budgeting and monitoring. Mainstreaming is achieved by putting poverty-environment issues at the heart of government—in other words, by taking these issues into mainstream economic decision-making processes, particularly the national and subnational planning and budgeting processes led by ministries of finance, planning and local government, and supported by ministries of environment.

### **UNDP tools to support NDC implementation**<sup>132</sup>

A compilation of tools to support various dimensions of NDC implementation, including gender, national mitigations strategies, finance and public expenditures.

### **Report of the open-ended intergovernmental expert working group on indicators and terminology relating to disaster risk reduction**<sup>133</sup>

This report presents recommended indicators to monitor the global targets of the Sendai Framework, the follow-up to and operationalization of the indicators and recommended terminology relating to disaster risk reduction.

### **Support to climate change adaptation**<sup>134</sup>

This resource includes tools, case studies and briefs from various countries compiled by UNDP, providing useful examples of formulation and implementation of National Adaptation Plans.

### **Analysis of adaptation components of NDCs**<sup>135</sup>

A resource by the African Development Bank that analyses African NDCs and provides useful recommendations and case studies.

### **African NDCs Gap Analysis Report**<sup>136</sup>

This report by the African Development Bank includes a literature review on climate action, a review of African NDCs and identifies NDCs implementation gaps.

### **Economic Report on Africa 2019 – Fiscal Policy for Sustainable Development in Africa**<sup>137</sup>

This report by the United Nations Economic Commission for Africa examines the institutional and policy reforms required to enable African countries to maximize domestic resource mobilization. The report focuses on the instrumental role of fiscal policy in crowding in investment and creating adequate fiscal space for social policy, including supporting women and youth-led small and medium enterprises.

*Annex 1 –*  
International Commitments

# International Commitments

## Climate Change and the Environment

The Paris Climate Agreement and Nationally Determined Contributions

[The Paris Agreement](#)<sup>138</sup> was adopted on 12 December 2015 by 196 countries who are parties to the United Nations Framework Convention on Climate Change. The Agreement promotes climate change mitigation by aiming to limit the global temperature increase to 1.5°C above pre-industrial levels, as well as adaptation to the adverse conditions created by climate change. Moreover, it sets out a framework for finance flows consistent with forging a future based on low carbon emissions.

The backbone of the Paris Agreement are commitments made by each country known as [Nationally Determined Contributions](#)<sup>139</sup> (NDCs). NDCs reflect a country's plans for reducing emissions and adapting to climate change while taking into account national circumstances and capacities. It is up to each country to decide on their own climate targets and instruments as well as report on progress. NDCs are reviewed every five years.

Source: [United Nations Framework Convention on Climate Change](#)<sup>140</sup>

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## Disaster Risk Reduction (DRR)

The Sendai Framework for Disaster Risk Reduction

[The Sendai Framework for Disaster Risk Reduction](#)<sup>141</sup> 2015–2030 was adopted at the Third United Nations World Conference on Disaster Risk Reduction (DRR) in 2015.

The Framework sets out the following Priorities for Action:

- Priority 1: Understanding disaster risk.
- Priority 2: Strengthening disaster risk governance to manage disaster risk.
- Priority 3: Investing in disaster risk reduction for resilience.
- Priority 4: Enhancing disaster preparedness for effective response and to “Build Back Better” in recovery, rehabilitation and reconstruction.

It also articulates the following: the need for improved understanding of disaster risk in all its dimensions of exposure, vulnerability and hazard characteristics; the strengthening of disaster risk governance, including national platforms; accountability for disaster risk management; preparedness to “Build Back Better”; recognition of stakeholders and their roles; mobilization of risk-sensitive investment to avoid the creation of new risk; resilience of health infrastructure, cultural heritage and work-places; strengthening of international cooperation and global partnership, and risk-informed donor policies and programs, including financial support and loans from international financial institutions. These have clear synergies with Agenda 2030 and Agenda 2063.

Source: [United Nations Office for Disaster Risk Reduction](#)<sup>142</sup>

## Leaving No One Behind

In committing to the realization of the 2030 Agenda for Sustainable Development, United Nations Member States recognized that the dignity of the individual is fundamental and that the Agenda's Goals and targets should be met for all nations and people and for all segments of society. This is the essence of the principle of Leave No One Behind (LNOB).

LNOB not only entails reaching the poorest of the poor, but requires combating discrimination and rising inequalities within and amongst countries, and their root causes. A major cause of people being left behind is persistent forms of discrimination, including gender discrimination, which leaves individuals, families and whole communities marginalized, and excluded. It is grounded in the UN's normative standards that are foundational principles of the Charter of the United Nations, international human rights law and national legal systems across the world.

This means that a new generation National Development Plan should follow the principle of Leaving No One Behind (LNOB), and include all vulnerable groups – including children, youth, persons with disabilities, people living with HIV, older persons, indigenous peoples, refugees, internally displaced persons and migrants – as specified in the 2030 Agenda. Although statistical data on these groups may not be readily available, that is formulated in accordance with a LNOB approach will ensure that they are included as key stakeholders and that their perspectives are adopted throughout.

Source: [United Nations](#)<sup>143</sup>

## Gender

[Article 1 of Convention on the Elimination of All Forms of Discrimination Against Women](#)<sup>144</sup> (CEDAW) defines discrimination as any distinction, exclusion or restriction made on the basis of sex which has the effect or purpose of impairing or nullifying the recognition, enjoyment or exercise by women, irrespective of their marital status, on a basis of equality of men and women, of human rights and fundamental freedoms in the political, economic, social, cultural, civil or any other field.

Both CEDAW and the International Covenant on Economic, Social and Cultural Rights (ICESCR) can be drawn upon for applying human rights principles to gender equality in national development planning. These principles include: progressive realization (of rights); non-retrogression (of rights); allocating the maximum available resources for policies and implementation of plans; setting minimum essential levels (of rights realization); participation, transparency and accountability; and non-discrimination and equality.

This Guide adopts Gender Mainstreaming as strategic approach for achieving gender equality and women's empowerment at all levels of development as mandated by the [1995 Beijing Platform for Action](#).<sup>145</sup>

Source: Gender Mainstreaming in Practice: A Handbook. UNDP Bratislava Regional Centre, 2005.

### Traditional Analysis vs. Gender Analysis

Traditional analysis often overlooks gender differences and gender-based impact because these differences may be hidden below the surface (or we are so used to them that we do not notice them). A gender analysis question therefore needs to look below the surface.

Gender questions ask, for example:

- What are the potential gender inequalities hidden below the surface?
- What might be the complex reasons for gender disparities?
- What might be the complex effects of gender disparities?

#### Consider the following example:

Hospitals are going to start charging a small user fee for services. Traditional analysis assumes that this will improve the efficiency of services and everyone will benefit men and women equally. In order to understand the hidden gender inequalities, we can ask the following questions:

- Who uses hospital services more – men or women?
- Do men and women have the same level of income to pay for these services?
- Who will be responsible for paying for children and the elderly – particularly in single-parent families?
- Will fees mean that hospital stays will likely become shorter?  
Does this mean that sick people will now have to recover at home?  
Who will be responsible for their care?
- How will this impact women's economic and social opportunities and participation in civic affairs?

Gender mainstreaming is defined as the process of assessing the implications for women and men of any planned action, including legislation, policies or programmes, in all areas and at all levels. It is a strategy for making women's as well as men's concerns and experiences an integral dimension of the design, implementation, monitoring and evaluation of policies and programmes in all political, economic and societal spheres so that women and men benefit equally and inequality is not perpetrated. The ultimate goal is to achieve **gender equality**. As such, gender equality is the overarching and long-term development goal, while gender mainstreaming is a set of context-specific, strategic approaches as well as technical and institutional processes adopted to achieve that goal. Gender mainstreaming integrates gender equality components in national public and private organizations, in central or local policies, and in services and sectoral programmes. In the longer run, it aims at transforming discriminatory social institutions, recognizing that discrimination can be embedded in laws, cultural norms and community practices that, for example, limit women's access to property rights or that restrict their access to public space. Such progressive changes rely on access to data, gender expertise, sound analysis, supportive cultures, budgets and the mobilization of social forces.

Source: [UN Women](#)<sup>146</sup> and [UNDP](#)<sup>147</sup>

More information on gender mainstreaming is available at [https://www.undp.org/content/dam/somalia/docs/Project\\_Documents/Womens\\_Empowerment/Gender%20Mainstreaming%20Made%20Easy\\_Handbook%20for%20Programme%20Staff1.pdf](https://www.undp.org/content/dam/somalia/docs/Project_Documents/Womens_Empowerment/Gender%20Mainstreaming%20Made%20Easy_Handbook%20for%20Programme%20Staff1.pdf)

## Peace and Justice

SDG 16 Peace, Justice and Strong Institutions and Agenda 2063 Aspiration 4 *Peaceful and Secure Africa* offer a common vision for Peace and Justice. The table below shows the links between these goals in the agendas, as a framework for planners in Fragile and Context Affected Situations (FCAS).

Agenda 2063 Goals	Agenda 2063 Priority Areas	SDG 16
13. Peace, security and stability is preserved	Maintenance and preservation of peace and security	Promote peaceful and inclusive societies for sustainable development, provide access to justice for all and build effective, accountable and inclusive institutions at all levels.
14. A Stable and peaceful Africa	Institutional structure for AU instruments on peace and security	
15. A Fully functional and operation African Peace and Security Architecture	Defense, security and peace	

The African Union Peace and Security Council (PSC) is the standing decision-making organ of the AU for the prevention, management and resolution of conflicts and the main pillar of the African Peace and Security Architecture (APSA). More information about APSA and its pillars can be found in the [African Union web site](#).<sup>148</sup>

Planning so no one is left behind



*Annex 2 –*  
Stakeholder Analysis  
Tool and Template

# Stakeholder Analysis Tool and Template

## Stakeholder Analysis for a National Development Plan

In the context of formulating a National Development Plan, a Stakeholder Analysis is used to identify institutions and individuals that can make a contribution to the planning process by bringing their knowledge and experience to bear and/or providing inputs on behalf of specific groups.

It has three components:

1) *Stakeholder mapping*

As part of the mapping, planning authorities may seek support from SDG focal points, line ministry representatives, civil society umbrella organizations, universities, Chambers of Commerce, and development partners to identify relevant institutions or individuals working in their thematic areas.

Criteria may include:

- Expertise/experience in thematic area
- Ability to represent one or more constituencies (religious groups, minorities, vulnerable groups, indigenous people, labour unions, etc.)
- Research/publication record in thematic area (for representatives from academia)

2) *Stakeholder expertise*

Each stakeholder will bring a specific knowledge set and experience reflecting their background, which can be used to place them in thematic sub-groups (See example below).

3) *Stakeholder role/Team*

Depending on each stakeholder's area of expertise, the Planning Authority (Ministry of Planning, Planning Commission, or other) may then place the stakeholder in one or more teams, in consultation with stakeholders themselves.

The table on next page shows how an example of how the mapping may look like in practice, for the Agriculture sector:

**Example** How the mapping may look like in practice, for the Agriculture sector:

Working group / Thematic Area	Institution	Expertise	Team
Agriculture	Example: Ministry of Agriculture	Livestock and grain production Food security Cash crops	Intersectoral/Research
	National Development Bank	Credit for rural production Infrastructure	Intersectoral
	Ministry of Foreign Affairs	International Trade systems and trends	Intersectoral
	NGO x NGO y	Human rights Microcredit	Intersectoral, Advisory
	University x Department of Agriculture Think tank	Climate-resilient agriculture Low carbon agriculture	Research
	Industry representatives from the Food and Beverages sector	International Trade Technology intensive agricultural processes Infrastructure	Advisory

**Template** Suggested template for a Stakeholder Analysis:



Working group / Thematic Area <i>[Add or delete as Appropriate]</i>	Institution	Expertise	Team
Agriculture			
Climate Change and Environment			
Central Bank			
Communications			
Disaster Risk Management			
Education			
Energy			
Family Affairs			
Finance			
Fisheries			
Foreign Affairs			
Industry and Trade			
Gender			
Home Affairs			
Health			
Human Rights			
Infrastructure			
Internally Displaced Persons and Refugees			
Labour			
Local Government			
Mines and Minerals			
Minorities <i>[Ethnic, religious, or other]</i>			
Persons with Disabilities			
Religious Affairs			
Tourism			
Transport			
Youth			

*Annex 3* –  
“Leave No One Behind”  
Assessment

# “Leave No One Behind” Assessment

People get left behind when they lack the choices and opportunities to participate in and benefit from development progress. All persons living in extreme poverty can thus be considered ‘left behind’, as can those who endure disadvantages or deprivations that limit their choices and opportunities relative to others in society. A LNOB assessment seeks to identify those left behind in society **to ensure that the planning process at national and /or regional takes their specific needs into account**. They may be affected by discrimination, their geographic location (for example, groups in remote rural areas), governance issues, their socio-economic status, or issues related to shocks and fragility.

People at the intersection of these factors face reinforcing and compounding disadvantage and deprivation, making them likely among the furthest behind:



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*The following guiding questions may be used when conducting a LNOB assessment:*

1. **Discrimination:** What biases, exclusion or mistreatment do people face based on one or more aspect of their identity (ascribed or assumed), including prominently gender as well as ethnicity, age, class, disability, sexual orientation?
2. **Geography:** Who endures isolation, vulnerability, missing or inferior public services, transportation, internet or other infrastructure gaps due to their place of residence?
3. **Governance:** Where do people face disadvantage due to ineffective, unjust, unaccountable or unresponsive global, national and/or sub-national institutions? Who is affected by inequitable, inadequate or unjust laws, policies, processes or budgets? Who is less or unable to gain influence or participate meaningfully in the decisions that impact them?
4. **Socio-economic status:** Who faces deprivation or disadvantages in terms of income, life expectancy and educational attainment? Who has less chances to stay healthy, be nourished and educated? Compete in the labour market? Acquire wealth and/or benefit from quality health care, clean water, sanitation, energy, social protection and financial services?
5. **Shocks and fragility:** Who is more exposed and/or vulnerable to setbacks due to the impacts of climate change, natural hazards, violence, conflict, displacement, health emergencies, economic downturns, price or other shocks?

*Annex 4 –*  
Rapid Gender Context Review

# Rapid Gender Context Review

## Guiding questions for a Rapid Gender Context Review for an Integrated Context Analysis (adapted from SDG 5):

- a. Are there legal frameworks in place to promote, enforce and monitor equality and non-discrimination on the basis of sex?
  - Does the law mandate equal pay for males and females?
  - Does legislation explicitly criminalize marital rape?
  - Do married men and women have equal rights to property and land?
  - Are married women required by law to obey their husbands?
  - Does law mandate paid or unpaid maternity leave?
- b. What data is available about violence (physical, sexual or psychological) against women and girls in the public and private spheres?
- c. What data is available about harmful practices such as child, early and forced marriage and female genital mutilation?
- d. What is the proportion of seats held by women in national parliaments and local governments?
- e. What is the proportion of women in managerial positions?
- f. Does the country have laws and regulations that guarantee women aged 15-49 access to sexual reproduction and reproductive health care, information and education?
- g. What is the proportion of individuals who own a mobile telephone, by sex?
- h. Does the country have a system to make and track allocations for gender equality and women's empowerment?

*Annex 5 –*  
Rapid Peace and Justice  
Context Review

# Rapid Peace and Justice Context Review

## Guiding questions for a Peace and Justice Rapid Context Review for Fragile and Conflict Affected Situations (adapted from SDG 16):

1. What are the most recent statistics on violence/death rates?  
Is there data disaggregated by gender, age, and across regions and/or urban rural areas?
2. What data exists regarding abuse, exploitation, trafficking and other forms of violence and torture of women, children and other vulnerable groups?
3. What assessments exist on the rule of law and access to justice?  
What groups are most affected?
4. What data exists on illicit financial and arms flows, stolen assets and organized crime affecting the country? How has the country dealt with these challenges in the past?
5. How has the country dealt with allegations of corruption and bribery of public officials and private sector companies in the past?
6. What data exists on the level of trust in institutions, particularly the police, the judiciary, the Parliament and the media (re mis/disinformation)?
7. What data exists on the level of inter-personal trust between different groups in the country (re social cohesion)?
8. Are there public opinion surveys or other mechanisms (citizen report cards, social audits, grievance mechanisms) that collect data on citizen perceptions of institutions?
9. Are there local-level elections? Has there been any unrest in the last elections, and if so, how was it dealt with?
10. What is the percentage of the population that does not have legal identity, including birth registration?
11. Is there a Law on Access to Information?  
Is it considered adequate by key stakeholders such as Journalists' Association?  
Is there affordable and accessible internet access? (re digital divide including related to access to info)
12. How does the country define fundamental freedoms?  
Is that definition challenged by any group or groups?
13. Is there data (quantitative or qualitative) on the capacity of national institutions to combat terrorism and crime?
14. How are allegations of discrimination (based on religion, ethnic background, disability, gender, or any other kind) dealt with?

*Special Supplement:*  
Developing More Resilient  
Plans in the Aftermath of  
the COVID-19 Pandemic



**DEVELOPING MORE RESILIENT PLANS IN THE  
AFTERMATH OF THE COVID-19 PANDEMIC**

**United Nations Development Programme**

**Regional Bureau for Africa**



*Photo Courtesy of UNDP Comoros*

## Background

The COVID-19 pandemic has spread rapidly worldwide and across the African continent. With the majority of countries at risk and affected by the burden of the pandemic, government responses in managing the health crisis have been centred around identification, prevention and containment.

As the impact of shorter term national containment measures and the longer-term global economic recession are felt by countries, communities and households, the interconnected nature of the different dimensions of sustainable development becomes apparent, with a global health crisis rapidly turning into a global socio-economic crisis. The first wave of the impacts of COVID-19 was felt in the health domain, with rising morbidity and mortality, stressed health systems and rising health expenditures. However, it has since triggered lagged feedback loops in other sustainable development domains. These include economic recession or even depression, rising unemployment and loss of incomes, falling global and domestic demand, instability in commodity and primary goods' prices, rising poverty and inequality, and much more.

Even if parts of Africa were relatively spared from the devastating epidemiological impact that COVID-19 has been having in other regions, it is expected that the consequences on its economies and people will be unprecedented and reverse hard-won gains towards sustainable development/the SDGs and the AU's Agenda 2063.

To control the rapid spread of COVID-19, the World Health Organization (WHO) has called for African countries to move from readiness to response with the increase in confirmed cases.<sup>150</sup> In light of this call and the rapidly changing situation at national, regional and global level, countries in Africa might need to review and adjust their national development plans and budgets to reflect the new reality, address the crisis and plan for a more resilient future and the achievement of the SDGs and the AU's Agenda 2063. The COVID-19 crisis has revealed very high levels of vulnerability across countries. In the US, for example, the largest economy in the world with a GDP of 22 trillion USD<sup>151</sup>, households were caught unprepared to withstand the Coronavirus shock, with a large share of Americans having, on average, less than 400 USD in savings<sup>152</sup> to deal with the impact of job losses<sup>153</sup> and increases in healthcare expenditures. This and several others were early indicators of low levels of resilience of countries and households to withstand crises. In addition, while no country could have possibly foreseen a crisis of this nature and magnitude, none had planned for a 'Black Swan' scenario such as COVID-19 and prepared to deal with a severe crisis that had a profound effect on the social, economic and political sphere of sustainable development.

This note has been prepared to build on the work of the Guide for Integrated Planning in Africa, in order to raise awareness on the importance of reviewing and revising National Development Plans in light of COVID-19. This is to promote greater preparedness to possible future crises, as well as build resilience to a higher and steady trajectory towards sustainable development and the SDGs/AU Agenda 2063.

## Planning and Foresight

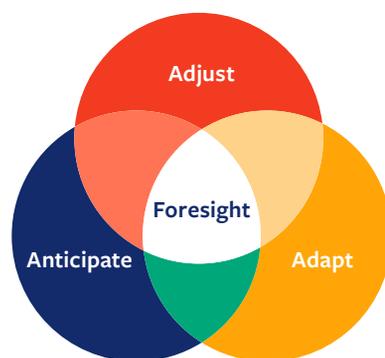
The COVID-19 pandemic is a major setback that has regressed development gains about 10 years back and disrupted the pathway to the world we want. This is evident from the 2020 SDG Progress Report, which enumerates the impacts and implications of the pandemic and how these effects are ‘imperiling progress towards the SDGs’.<sup>154</sup> This requires African countries to consider a different and forward-looking approach to planning that will salvage some development gains made. It is important to mitigate the impact of the COVID-19 pandemic on the poor and most vulnerable members of society, as well as minimization of SDG regression and develop smart and risk-informed national development plans (NDPs).

With the emergence of the crisis, SDGs, Agenda 2063 and other global commitments are being implemented in an increasingly volatile, uncertain, complex and ambiguous (VUCA<sup>155</sup>) environment. This means that planning must be tailored to allow for change, complexity and uncertainty. As traditional planning focuses primarily on predictability, this has been found unfavorable to deal with foreseeable changes, disruptions and shocks that may happen in the future. Foresight has emerged as a tool that comprises of various methods to support planners to consider the multidimensional nature and implications of black swans and unexpected shocks in the future. The idea of foresight is that ‘the future is still in the making and can be actively influenced or even created, rather than what has already been decided or enacted in the past by others...’.<sup>156</sup> With the application of foresight, planning is imbued with consideration of uncertain and unpredictable factors as well as unexpected opportunities in the here and now.

## Three-Pronged Approach (3A’s)

Adjusting  
The National  
Development  
Plan Budget

This note recommends a three-pronged approach to integrated national development comprising the following: *adjusting*, *anticipating*, and *adapting*, all of which need to be strategically informed by the application of foresight.



### Adjusting the National Development Plan Budget

As mentioned above, the regression in development due to the pandemic, may require most countries to adjust existing NDPs through the budget. This would enable countries to change the course of the NDP, by prioritizing interventions through modifications to the budget allocations. Doing so, to reflect the current situation, which is principally a VUCA environment not only presently but for the next five to ten years to come.

Considering this, preparedness will necessitate thinking through the impacts of the unpredictable change alongside the short-term and long-term consequences of the COVID-19 and other pandemics. In response to this, it would be important for planners to apply an inclusive (whole of government/society) approach to the adjustment of the NDPs by including relevant stakeholders, such as vulnerable groups, community and youth organizations, private sector, academia and think tanks, governance and civil society organizations. This way, governments can become attuned to information from the wider environment. Acknowledging the difficulties of engaging in a participatory and inclusive process due to social distancing, this is also an opportunity to leverage the use of technology and other innovative ways to create engagement platforms.

A significant part of applying foresight to adjust the NDPs will help determine, for instance, if there is no vaccine, predicated caseloads as well as what a possible second or third wave of the pandemic might result in. Above all, it also helps to prioritize consideration of the human/social, environmental, governance and economic impacts of the crisis and how to appropriately adjust this to the NDPs.

African countries should consider their exposed vulnerabilities due to COVID-19 pandemic to anticipate the possibility of other 'black swans' on the horizon. Moving away from traditional planning for the crises of the past to planning for the unexpected in an attempt to understand how the future might develop. This is where foresight can be helpful to prevent extrapolation of the present into the future, through developing insights from the future rather than objectives of the past. The premise of anticipation is embedded in resilience. It refers to the capacity to manage and recover from shocks or disruptions by adopting agile strategies and alternative policies that aim at systematically building resilience to adapt to the new reality in the here and now.

On a practical level, the process starts by developing a preferred future and then looking backwards to identify tipping points that created that future. This leads to the identification of potential forward-looking trajectories in which diversified paths are developed to mitigate, prepare and respond to possible crises. This allows countries to consider strategic objectives needed to link a resilient future to the present. For instance, if the vaccine is widely available but at the same time the country faces increased climate change effects, planners may consider what are the concrete implications of this, which sectors will be significantly impacted, to what degree and how exposed are we to different kinds of collapses. Moreover, what this will mean for other sectors against other trends such as population growth, gender and fragility, is what planners will need to anticipate and predict at all country levels.

Adaptation to possible Black Swans or crises identified in the here and now can be done through the application of foresight to country-specific planning initiatives. The interventions developed would represent alternative futures within a VUCA environment in which the intended and unintended consequences of today are at play.

## Anticipating other 'Black Swans'

## Adapting to 'Black Swans'

With that, adaptation requires planners to consider their readiness if exposed to the Black Swans in a dramatically changing environment, and what coping mechanisms are in place and the avoidance measures to take. Following that, planners can build scenarios that are not pathways or plans to follow due to the uncertainty of which scenario will materialize. Instead, as a reference for short/medium and long-term perspectives that encompass emerging discussions, planners can consider patterns or tipping points that are centred around generating data sets. The planning process can then be informed by an assessment of current strategies or policies, and benefit from the formulation of new ones based on an understanding of different trajectories from the past, present and future.

Planners may consider constructing scenarios that resonate with other stakeholders encompassing vulnerabilities, opportunities and patterns about the future situation. Scenarios reflecting a best case, a most likely case and a worst case should be considered and need to be consistent and plausible, as well as and not relatable to one another. The table below provides examples of scenarios and initiative guidelines that planners may consider but are not limited to, taking COVID-19 as a case study:

Scenario	Descriptions	Planning initiatives guidelines
Best case	In the next half year, a COVID-19 vaccine is universally available and we experience a de-escalation of cases	<ul style="list-style-type: none"> <li>● What are the opportunities to build back better and resilient communities?</li> <li>● What state interventions will be required?</li> <li>● Which sectors require immediate adjustments?</li> </ul>
Most Likely case	The COVID-19 continues to spread quickly but is limited to a small number of specific areas	<ul style="list-style-type: none"> <li>● What would another wave of infections mean for many formal and informal employment sectors?</li> <li>● How can intersectoral plans reverse development gains lost?</li> <li>● What will the continued lockdowns mean for various sectors?</li> <li>● How can we have an intersectoral approach to ensure that the caseload is under control so that the health sector does not collapse?</li> </ul>
Worst case	There is a rapid spread of the COVID-19 pandemic with new variants and weakening systems.	<ul style="list-style-type: none"> <li>● How can we plan for essential services, governance, law and order to continue in affected areas?</li> <li>● How can we lessen the severe impacts of the pandemic on health, social and economic sectors?</li> <li>● What are some of the vulnerabilities we have been exposed to?</li> </ul>

For African countries to build back better from COVID-19 and other pandemics it is important to avoid a one-size-fits all response. We need to tailor the recovery and planning around the crisis to the specific country context. Planners should consider foresight through the whole planning cycle to provide data on which to base their decisions of today and planning for tomorrow to build resilient societies against the next Black Swans.

# Endnotes and links

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