



Integrated Urban Governance

› The way forward

Commission 3
Manual

2011

metropolis ●



Commission 3

Integrated Urban Governance

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FOREWORD

Ever since - at the latest - the emergence of globalisation, in particular major cities all over the world have been confronted with two vital inter-linked questions:

- How can social and spatial disparities and the resulting societal and spatial fragmentation be mitigated or even resolved?
- How can local economic growth, international and inter-regional competitiveness and new employment opportunities be stabilised or achieved?

Traditional, sectoral approaches to meet these and other challenges have often proved to be expensive and inefficient or even were a total failure. Therefore, new forms of governance have gained importance by involving civil society (NGOs, business, the 'people') in decision making and in implementing these decisions. This integrated urban governance approach requires changes in administrative action and settings, too. Integrated Urban Governance implies going beyond mere coordination between policies, and thus encompasses joint work among sectors and disciplines. It refers to both horizontal integration between policy sectors (different departments) and vertical inter-governmental integration (between different tiers of government), as well as beyond administrative boundaries (in the double sense: city administration - regional / national administration and administration - civil society).

It is on this background that the Commission C3 on Integrated Urban Governance aimed at analysing and systematising Metropolis member and other cities' know-how and everyday practice on integrated policies and projects. For this purpose, case studies and examples, aimed at surmounting societal and spatial disadvantages with regard to education, local economy and mobility, were identified and analysed. Though the Commission concentrated on these three topics, integrated approaches in other fields were common and therefore were explored too. On this basis, good practice criteria were elaborated, hindrances and pitfalls were identified, and resultant recommendations for transferable action and methods were developed.



The Commission 3 meeting in Barcelona

The main outcome of the Commission's work is the manual on Integrated Urban Governance which you are now reading. The manual describes approaches, tools and instruments, as well as hindrances and pitfalls, and presents a number of case studies.

The objective of the manual is to assist cities in their efforts to achieve more effective solutions in particular for problem situations in the spheres referred to above. Thus, the manual is intended for municipalities, primarily for major cities, which are trying by means of integrated approaches to deal in particular with social and spatial problems or are already working using this type of approach. Thus, it is a manual for practitioners who want to improve their work. It aims to provide suggestions and ideas on how problems - which cannot be solved using traditional, sectoral administrative action - may nevertheless be surmounted.

The manual cannot be a blueprint, however. It cannot deliver recipes for solving holistic urban problems. Neither can it replace specific handouts, for example, about public participation procedures. However, it can give indications on how to proceed when faced with problem situations, what and who needs to be considered, what steps need to be taken in very specific projects. And what is more, it provides ideas about what urban framework conditions can support integrated projects and implementing them successfully. Because one point is clear: Integrated Urban Governance does not only mean one or two integrated, holistic projects. It means a different administrative situation, a different way of thinking and a different way of setting about the problem.

Ingeborg Junge-Reyer

Berlin Mayor and Senator for Urban Development



INTRODUCTION

Integrated Urban Governance is an essential pre-requisite in order to face the many challenges with which today cities all over the world are confronted. Integration is, however, a challenging task to put into practice.

The manual gives guidance to decision makers and practitioners on how to move forwards in the direction of policy integration and Integrated Urban Governance. Most of the suggested steps, tools and instruments were derived from day-to-day practice in Metropolis member and other cities all over the world. This praxis shows that integrated policy making has four core elements or fields of action:

- public participation
- political and organisational arrangements beyond city boundaries
- political and organisational arrangements within city boundaries
- capacity building

This arrangement directs the structure of those chapters in the manual dealing with urban policies, programmes and projects. Overall, the manual is structured in the following way:

Chapter 1 Why Integrated Urban Governance? points to an increasing need - in view of new, complex challenges for municipalities - to use holistic planning and management approaches. In many problem situations, traditional sectoral approaches are no longer sufficient. Solutions of this kind are often expensive and bring about only unsatisfactory results. The statement applies in particular to challenges linked to social and spatial fragmentation and disparities.

In addition, against the background of these new challenges, a definition of Integrated Urban Governance is elaborated and discussed. Points of view of international organisations – such as the UN – are also examined. In conclusion, the ‘pros’ and ‘cons’ of integrated action are summarised. After all, what is at issue is not to realise integrated approaches for their own sake – as it were, for reasons of ‘political correctness’. On the contrary, what is important is to solve urban problems in an effective way.

In **chapter 2 Urban Practice** everyday practice cases originating from Metropolis cities are described and analysed. Most of the programmes and projects aim to improve social cohesion and disadvantaged neighbourhoods.

Chapter 3 Enabling Integrated Urban Governance - setting up a political and administrative framework for policy integration gives pointers towards framework conditions which assist and support integrated action. This chapter is directed in particular to political decision makers.

There are indications on ‘driving forces for Integrated Urban Governance’. Organisational and structural changes in administrative bodies, which assist and support integrated ways of thinking and acting, are addressed. A significant element for this includes steps and methods which are described in the section on ‘capacity building and awareness raising’.

The role of civil society is discussed, and it is made clear that many municipal tasks can be better carried out if stakeholders who are not from public service bodies are included in the processes.

Some indications are given on whether, and if so, how, experience and instruments, ideas and policies can be transferred to other situations. So, what is in question is how we - as representatives of municipalities from all parts of the world - can learn from one another, and can make our day-to-day practice better.

Clearly, changes, especially institutional changes, are always accompanied by resistance, by outlay, by changed priorities and at times also by loss of privileges. The chapter therefore closes with some ideas on how to react to resistance, on how barriers may be overcome.

The final chapter, **chapter 4 Organising integrated projects: tools and instruments**, deals with developing and implementing specific integrated projects. In this context, there are descriptions of tools and instruments, their strengths and weaknesses, which may be applied for the purpose.

At the heart of the question is public participation. Procedures are described to show how the variety of stakeholders, who need to be included, can be identified, and motivated to collaborate in a project. A variety of public participation methods and opportunities to apply them are described. A distinction is made between three project - or participation - phases: informing the public; participating in developing the project; and participating in implementing the project. As a final point, conditions are described which must be met in order to have successful public participation.

However, public participation is only one component in integrated projects - even though an essential one. Administrative and fiscal tools and instruments are therefore also described. This category includes benchmarking and monitoring as central instruments. For this reason they are described in their own section. After all, it would be difficult to carry out project management and outcome control without these two aspects.

Capacity building and awareness raising instruments and methods are introduced. In doing so, a distinction is made between methods that may be applied in the public sector and those that are appropriate for capacity building and awareness raising in the community.

The chapter closes with some guidance on how to decide on methods.

It was a pleasure for me to be able to give my support to this project. A systematic analysis of governance approaches is indispensable for cities' future activities, and the manual is laying the foundations for this work.

Hella Dunger-Löper

Permanent Secretary for Building and Housing

Berlin Senate Department for Urban Development

01

WHY INTEGRATED URBAN GOVERNANCE

1.1. The rationale: new urban challenges in a globalising world

At least since the new millennium began, all over the world one key word has been dominating political discourse: globalisation.¹ Associated liberalisation and virtually unlimited flows of finance, goods, labour (and people), raw materials and information has led to the situation in which major cities in particular are facing new forms of economic competition, and traditional political and administrative action often no longer produces adequate solutions:

- Major cities are competing globally and primarily as locations for innovative technologies and services, for international financial institutions, as well as places to live for highly qualified specialist and management personnel. Cities are thus becoming a new kind of 'global player'. At the same time they are increasingly subject to global influences which confront them with new, complex challenges and may even limit their ability to take action.
- City limits are losing their significance. It is not the city itself, but the metropolitan region and its location advantages which form the basis for investments for business decision makers. In this way, municipal level decisions come in the literal sense up against their limits.
- Not only favourable situations as regards transport facilities, land prices, availability of skilled employees and other 'hard' location factors are determinant for how international investors act, but increasingly too, so are 'soft' factors, such as quality of life, provision for education and culture or also crime rates and so on.
- Migration, increasing income disparities (in particular in countries in the northern hemisphere), a rapidly growing middle class in emerging economies and in countries in the southern hemisphere, combined - in some cases - with tremendous spatial and population growth, are all heightening social area disparities in the majority of cities.
- Global information availability, changes in democratic culture in many countries in the late 1960s and 1970s, growing middle classes and thus an increase in well trained, well educated and informed inhabitants lead to increasing public demand for participation in political decisions.

Against this background, in particular major cities all over the world have been challenged by two basic inter-linked questions:

- How can social and spatial deprivation - and the resulting societal and spatial fragmentation - be mitigated or even avoided?
- How can local economic growth, international and also inter-regional competitiveness and new employment opportunities be stabilised or brought about?

OECD expresses the need to react to urban challenges in a globalising world as follows: "There is a general feeling, shared by both national and local governmental representatives that the current approach to urban policies is not the correct one to face the new challenges which large cities, in a context of increasing global competitiveness, have to deal with today... there is an increasing acknowledgement of the importance of policies that address specific urban issues. It is not only a matter of corrective measures, directed towards the solving of traditional urban problems... but also the need to tackle proactive actions to encourage competitiveness and attractiveness."²

¹ Although the term 'globalisation' appeared for the first time in the Oxford Dictionary in 1962 and was a subject for academic debate in the 1960s and 1980s, it only began to be used in the media and in political discussion in the 1990s.

> New challenges need new approaches

² OECD (et al, 2007): What Policies for Globalising Cities? Rethinking the Urban Policy Agenda

> From government to governance

'From Government to Governance'³ is the characteristic note in this changed understanding of politics. New forms of governance have gained in importance by involving civil society (NGOs, business, the 'people') in making and implementing decisions. This approach requires changes in administrative action and settings, too. It goes beyond or at least modifies traditional sectoral and discipline oriented decision making and implementation. In short: these new approaches lead to more integrated urban governance.

1.2. The approach - what is Integrated Urban Governance?

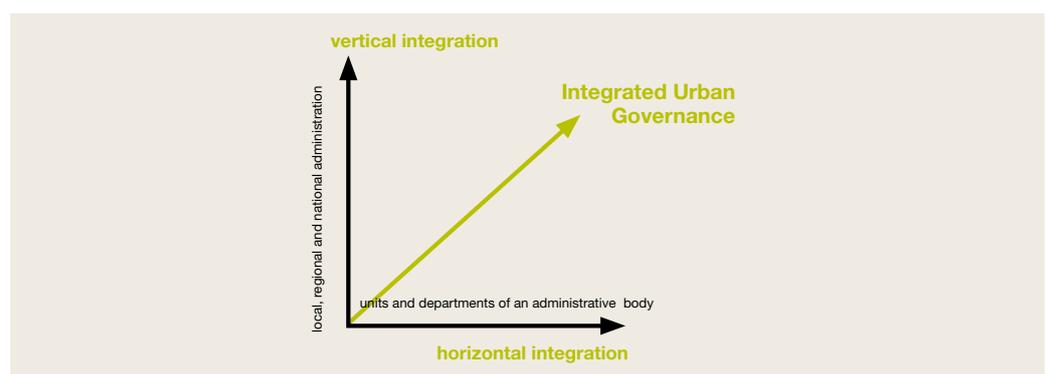
In publications and analyses it is rare to find the term 'integrated (urban) governance'.⁴ Instead, a wide variety of other terms and concepts, mostly used synonymously, are employed. OECD (1996) for instance refers to 'coherent policy making', WHO and UN ECE (2006) refer to 'policy integration' and the UK Cabinet Office (2000) speaks of 'cross-cutting policy making'. On the other hand, individual authors have coined alternative concepts. To mention just a few: 'policy coordination' (Challis et al. 1988), 'concerted decision making' (Warren et al. 1974), 'joined-up policy' or 'joined-up government' (Wilkinson, Appelbee 1999; Ling 2002) and 'policy integration' (Stead et al. 2006).

Although these and further concepts may be differentiated, sometimes only in a nuance or two, nevertheless, the majority - certainly as applied to municipalities - still has the following points in common:

- coordination between the separate specialised departments of municipal authorities,
- coordination between various levels of government and authorities (e.g. district or borough - municipality - region - country),
- political control in order to achieve (overarching) policy objectives,
- new decision making structures and/or institutional changes in municipal authority bodies,
- including or incorporating civil society and/or business in making and/or implementing decisions,
- holistic political strategies oriented more closely towards the complex sources of problems and towards inhabitants' conditions of life.

Thus Integrated Urban Governance is a management approach in its core. It concerns management of cross-cutting issues in policy making that transcend the boundaries of established policy fields. It also includes management of policy responsibility within a single organisation or sector. Integrated governance refers to both horizontal integration between policy sectors (different departments) and vertical inter-governmental integration (between different tiers of government), as well as beyond administrative boundaries (in the double sense: city authorities - regional / national level administration and administration - civil society).

Fig. 1.1: POLICY INTEGRATION



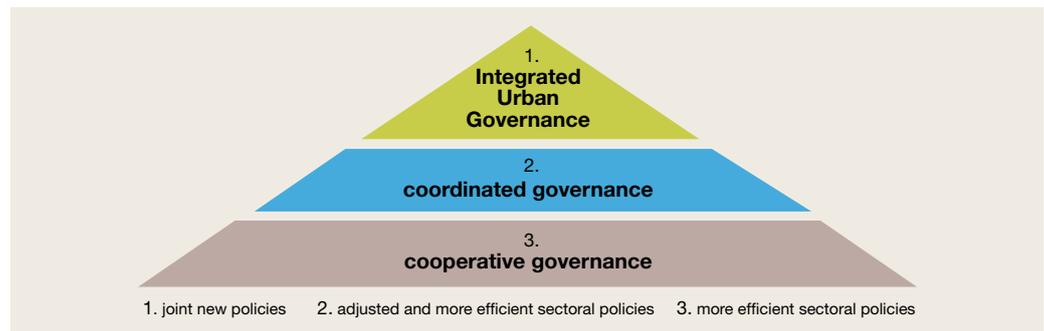
³ R. Bellamy, A. Palumbo (eds.) (2010): From Government to Governance

⁴ cp. for example: Institute of Public Administration Australia (2002): Working together - Integrated Governance; INTERACT - Integrated urban governance for the city of tomorrow (2004) : Urban Governance in Practice - Final Report

In spite of this ambitious definition, in real world processes, a hierarchy of cooperative approaches may be observed:

- **cooperation:** at the lowest level simply implies dialogue and information;
- **coordination:** policy coherence and consistency imply cooperation and transparency, and an attempt to avoid policy conflicts;
- **policy integration:** joined-up policy and decision making; includes dialogue, information, transparency, and avoidance of policy conflicts (as in coordination) but also embraces joint working, creating synergies and using common policy goals.⁵

Fig. 1.2: INTEGRATION PYRAMID



Info box 1.1: The policy integration spectrum

Integrated urban governance



Overall governmental strategy to determine inter-departmental goals, targets, policies and funding allocation

Establishing government priorities by laying down main lines of policy and priorities

Setting parameters for organisations (by an inter-organisational body) that define what organisations must not do, rather than prescribing what they should do

Arbitration of inter-organisational differences if other means cannot resolve differences of views

Search for consensus by inter-organisational cooperation through, for example, joint committees and project teams

Avoiding divergences among sectors and departments by ensuring that a government speaks with one voice

Consultation with other sectors and departments in the process of formulating its own policies or positions

Communication to other sectors and departments about issues arising and proposals for action

Independent decision making by sectors and departments

Governing in a fragmented way

D. Stead, M. de Jong (2006): Supportive Institutional Conditions for the Integration of Transport, Environment and Health Issues in Policy-making (adapted by the author)

⁵ cp. D. Stead; H. Geerlins (2005): Integrating transport, land use planning and environment policy - Views of practitioners from Denmark, England and Germany; in: Innovation, Vol. 18, No. 4, p. 443-453

1.3. The view of international organisations

“Our Common Future”, the report by the UN World Commission on Environment and Development - also known as the Brundtland report -, identified as early as 1987 the characteristic feature of political institutions and public administration, “(to be) independent, fragmented, and working to relatively narrow mandates” as a significant obstacle to “better, i.e. more sustainable political decision making processes”. The Rio Declaration of 1992 picked up the call (and the implicit call for Local Agendas) - based on the report - for “policy integration and integrated governance” and for vertical and horizontal integration of policy fields as an action-oriented approach to solutions. This call was renewed in 2002 when the UN “urged governments to promote integrated approaches to policy making at national, regional and local levels.”

UN Centre for Human Settlements (UNCHS - Habitat), which amongst other things offers on a global scale training provision on public participation for local authorities, sees in participation and ‘cross-cutting shared leadership’ a key in order to overcome recent local level challenges: “There is growing evidence and increased recognition of several themes that define and frame the urban governance agenda for the new century and millennium. The first, inclusiveness, implies that local governments and communities that want to be on the leading edge of social and economic change must recognise the importance of including everyone, regardless of wealth, gender, age, race or religion, in the process of forging decisions that affect their collective quality of life. The second recognition involves shared leadership that cuts across the spectrum of institutional and community fabric.”⁶

UN-Habitat

United Nations Economic Commission for Europe (UNECE) and World Health Organisation (WHO) emphasise the advantages of integrated policy approaches: “Policy integration has a number of benefits for balancing decision making between different policy fields, interests and demands of citizens. It enables decision makers to get a comprehensive knowledge basis for their decisions and weighting views, potentially reduces conflicts between administration and policy fields, and between administration and citizens.”⁷

UNECE and WHO

OECD repeatedly put forward its view from the beginning of the 1990s onwards concerning “integrated governance” and supported it - at local level as well. For example, the ‘Vienna Action Statement on Partnerships’ by OECD LEED forum on partnerships and local governance (2007) “aims to enhance governance by improving the dialogue and co-operation between policy makers, and between policy makers and other stakeholders, at the local, regional and national levels, in turn fostering economic development, social cohesion, environmental sustainability and quality of life.”

OECD

The Constitutive Act of the African Union (AU) provides space for effective citizens’ participation in AU activities, including in the critical area of peace and security. The Act, through the establishment of the Economic, Social and Cultural Council (ECOSOCC), an advisory organ composed of different social and professional groups of AU Member States, provides an entry point for participation by a wide spectrum of citizens of Member States in AU activities - as it were, an African peoples’ parliament.

⁶ UNCHS (2001): Building Bridges through Participatory Planning

⁷ UNECE, WHO (2008): Working together for sustainable and healthy transport - Guidance on Supportive Institutional Conditions for Policy Integration of Transport, Health and Environment

⁸ Asian Development Bank (n.d.): Examples of C&P in ADB's Operations Manual

⁹ Inter-American Development Bank (2003): Modernization of the State - Strategy Document

¹⁰ European Commission (1990): Green Paper on the Urban Environment - Communication from the Commission to the Council and Parliament. Brussels

¹¹: to name just a few: <http://www.giz.de>; www.usaid.gov; www.bndes.gov.br/SiteBN-DES/bndes/bndes_pt; www.sida.se; www.dfid.gov.uk/. Several of these agencies have developed tools and instruments on policy integration and participation and offer information material and case studies on the topic.

African Union

With the transformation of the Organisation of African Unity (OAU) into the AU, increasing emphasis has been placed on the participation of non-state actors, particularly in civil society.

Asian Development Bank: "The principle of participation derives from an acceptance that people are at the heart of development. At the broader, societal level, recent research has demonstrated that governments are often most effective when they operate within a robust civil society. Participation of civil society offers an additional and complementary means of channelling the energies of private citizens. NGOs, for example, can be helpful in identifying people's interests, mobilizing public opinion in support of these interests, and organizing action accordingly. They can provide governments with a useful ally in enhancing participation at the community level and fostering a 'bottom-up' approach to economic and social development."⁸

Asian Development Bank

In its strategy document on "Modernization of the State" the Inter-American Development Bank outlines the following: "...The objective is to bring representation closer to the citizens and the communities to which they belong. These processes ought to pay attention to overcoming the observed institutional deficiencies derived from the 'capture' of subnational administrations by local interests, fiscal indiscipline, inefficiency in the provision of public services and the scarce coordination between community organizations and the decentralized levels of public management ... At the same time, the strengthening of the democratic system, which is one of the central objectives of this strategy, will enable a greater role for citizen participation in public sector management."⁹

Inter-American Development Bank

Within the European Union as well there have been many political pronouncements, documents, research projects and so on, which see in Integrated Urban Governance a key approach for more sustainable urban development and for good governance. Thus, for instance, on the basis of the European Commission Green Paper¹⁰ the EU Expert Group on the Urban Environment in its first Sustainable Cities Report (1996) identified policy fields and instruments which are decisive in 'integrated decision making'. In the course of elaborating and implementing the Thematic Strategy on the Urban Environment, the European Commission set up expert groups on Urban Environmental Management Plans and Systems and Sustainable Urban Management (2004, 2005). These expert groups provide very detailed recommendations for improved urban governance on the basis of local level experience within the EU. Using this basis, a number of EU programmes were created which promote Integrated Urban Governance. By means of the Leipzig Charter, in 2007 EU ministers responsible for urban and regional planning stressed the importance of integrated urban development as a necessary pre-requisite towards sustainable cities.

European Union

It is not only international and supranational organisations which point out the need for participative and integrated governance approaches. Many national and international development agencies adopt this approach in their daily work.¹¹

All these examples may suffice to make it clear that Integrated Urban Governance is on the political agenda all over the world and the advantages of such governance are clearly perceived.

› **Integrated Urban Governance is on the political agenda all over the world**

1.4. Benefits and costs of Integrated Urban Governance - an overview

However, as a matter of principle, it is necessary to weigh up whether particular problems and tasks might rather and more effectively be resolved using traditional means and instruments or with integrated government approaches. For this purpose, potential advantages and possible disadvantages need to be compared. The outcome of this appraisal depends in particular on the specific task and on the framework conditions in operation. Particularly in the case of cross-cutting topics, Integrated Urban Governance offers a number of potential advantages for increasing the effectiveness of governmental decisions and structures. They may be summarised as follows:¹²

- It promotes synergies and ‘win-win’ solutions between sectors, thus maximising the effectiveness of policy and / or service delivery.
- It helps to convey cross-cutting strategic issues (e.g. social exclusion) which are not covered by departmental or sectoral views and objectives.
- It promotes consistency between policies in different sectors and at different levels of decision making.
- It reduces duplication in the policy making process and project implementation, thus saving time and money.
- It improves achievement of goals and objectives in particular if overall and cross-cutting issues are being addressed.
- It gives more focus to achieving a government’s overall goals, thus supporting its overall steering role.
- It helps to promote innovation in policy development and also implementation by developing new tools and instruments, for instance.
- It encourages greater understanding of the effects of policies on other sectors.
- It provides a framework for resolving (potential) conflicts.
- It brings together organisations and/or key staff whose cooperation could prove beneficial furthermore in other areas.
- It saves resources by sharing IT facilities, data, knowledge etc.
- It facilitates holistic solutions which are adapted to and appropriate for the life circumstances of residents by improving the client focus of solutions.
- It feeds additional information into the decision making process by including stakeholders from civil society through public participation.
- It enhances transparency of decisions and measures, fosters public understanding of administrative and political decisions and structural / legal needs.
- It leads to increased self-reliance, empowers citizens and supports citizens’ accountability for the community and for local issues.

Compared with these advantages, the *possible disadvantages* include:

- There may be less clear accountability for policy and service delivery.
- Measuring and monitoring/controlling outcomes and impacts is more difficult, because new and more sophisticated measurement systems need to be developed (on the other hand, it is much more likely that these new systems are closer to reality if cross-cutting issues are involved).
- Direct, opportunity and organisational costs (and time) can be higher during the transition period of introducing cross-cutting approaches and changing the ‘administrative culture’.

In the majority of instances, the advantages of Integrated Urban Governance approaches surely outweigh by far the possible disadvantages. This is particularly true in implementing over-arching and cross-cutting objectives. Furthermore, disadvantages may as a general rule either be minimised or completely avoided (cp. chapter 4).

¹² cp. for instance: OECD (1996): Building Policy Coherence - Tools and Tensions; UK Cabinet Office (2000): Wiring it up. Whitehall’s Management of Cross-cutting Policies and Services; OECD (1996): Public Management, Occasional Paper No 12; Institute of Public Administration Australia (2002): Working together - Integrated Governance; UNECE, WHO (2006): Practical Guidance on Institutional Arrangements for Integrated Policy and Decision Making

Info box 1.2: Basic principles of Integrated Urban Governance

- **decisions made close to the citizens and subsidiarity^{a)} as a principle within the city:** Decisions should be made as closely as possible to the place in question (e.g. in the neighbourhood), because this is where the greatest likelihood exists of responding as appropriately as possible to local conditions.
- **systematic approach:** What is required is not action based on an individual instance, but on the contrary to take stock of what already exists and determine priorities in tackling issues.
- **integrated action:** Problems are approached in a holistic way and through cooperation between the separate specialist departments, because this creates synergistic effects and reduces negative side-effects on individual sector or department-based administrative measures.
- **client orientation:** Members of the general public are not objects to be dealt with by administrative action, but are perceived as the government's customers or clients with their own particular interests and requirements, to which government will respond fairly.
- **public participation:** Decision making does not take place in the isolation of the drawing board, but on the contrary everyone, local residents and members of the general public are included - men and women, older and younger people.
- **enabling and empowerment:** Those interest groups which are not able to articulate their needs sufficiently in the public domain will be supported and strengthened. All residents, male or female, migrants and non-migrants, will assume responsibility for their actions and for responding to needs.
- **management approach:** All government bodies will adopt management qualities.

a) Subsidiarity is the principle that issues should be handled by the smallest, lowest or least centralized competent authority.

02

URBAN PRACTICE - EXAMPLES FROM METROPOLIS MEMBER CITIES

In many cities programmes and projects are being carried out which pursue an integrated approach or at least contain elements of this kind of approach. The details to be found below are designed to make clear in what conditions and with what objectives integrated governance approaches are being applied in Metropolis member cities. In addition, indications are given on successful instruments.¹



Discussion group during Commission 3 first meeting held in Porto Alegre

The majority of these programmes and projects which are outlined below aimed towards social and spatial cohesion. In this context a wide variety of tools and instruments are implemented. It is possible - in correspondence with the classification applied in chapters 3 and 4 - to arrange them in the following central fields:

- public participation
- political and organisational arrangements beyond city boundaries
- political and organisational arrangements within city boundaries
- capacity building

In integrated programmes and projects generally speaking instruments in all these fields may be applied. Nevertheless, in all the case studies the main point of emphasis is different. In the sections below the case studies are therefore categorised in accordance with the fields and the particularly exemplary instruments are listed.

2.1. Case studies

2.1.1. Public participation

Bamako: Project to improve conditions of life in Missira: myself, my neighbours and my neighbourhood²

main field(s) of action:	social cohesion, neighbourhood improvement
main instruments used:	public participation during the implementation phase, self-help, new steering body, capacity building, technical infrastructure
spatial level:	neighbourhood (urban outskirts)

Unsanitary conditions, degradation of the environment, under-equipping in national sanitation services and population pressure are some of the most important dimensions in deteriorated living conditions in most areas of the Missira district of Bamako. Based on an exploration of both the degree of environmental degradation and dismantling of social bonds as a result of poverty, the project is aiming to improve the living conditions of local people (approx. 12 500 inhabitants), that is to say, women and young people, by means

¹ The information below is based on two Metropolis Commission 3 working meetings on Integrated Urban Governance, on two questionnaire surveys which were carried out in Spring and Summer 2010, as well as on project description as part of applications for the 2011 Metropolis Award. Summary descriptions of projects as given in this chapter are based on the detailed descriptions of projects which are to be found in the annex.

² for details: cp. annex and: <http://www.unhabitat.org/bestpractices/2010/mainview.asp?BPID=2339>

> Using local resources as a factor for success

of participation in implementing and maintaining public infrastructures: streets, road gutters, market. This initiative is designed to strengthen self-reliance, self-organisation and self-help. In order to mobilise inhabitants, appeal was made to the traditional cultural value of 'Maaya', or humanism. This project has been supported by founding the Federation for Malian Sanitation and Environmental Protection in 2003 (FAMAPE).

Using mainly local resources (materials and labour, self-help groups) several physical improvements were achieved with financial support from national government and from Canada (paving streets, playgrounds for children, sanitary infrastructure, tree planting, reconstruction of the local market etc.). Besides temporary job creation and training sessions, better communication patterns and citizens' self-reliance have been improved.

From 2006 onwards, due to its success, the approach has been transferred to other neighbourhoods. Nevertheless, several challenges remain: poverty and unemployment among women and young people, for instance, remain persistent phenomena. The project generated much hope and expectation, but its dependence on external financial resources remains a limiting factor.



Bamako - the inner city



Bamako - self-help in neighbourhood upgrading

Guarulhos: Social intervention project for the Cumbica Urbanization Programme

main field(s) of action: social cohesion, neighbourhood improvement, social and technical infrastructure, housing

main instruments used: public participation, indicators monitoring, capacity building

spatial level: neighbourhood (urban outskirts)

This social intervention project in the Cumbica Urbanization Programme has been developed in an impoverished area in the outskirts of Guarulhos, São Paulo. The programme started in 2003. Its main goals are to contribute to social inclusion of the local population (approx. 3 200 families) through access to social housing and public services, as well as promoting capacity building for local community members and direct public participation in all phases of the programme.

A multi-disciplinary team, including sociologists, social workers, architects and civil engineers work closely together in order to contribute to achieving the project goals. Another important feature of the project is that its development also depends on involving

> Linking new social housing and capacity building measures

other governmental and non-governmental organisations, as well as local community representatives (for instance in monthly meetings on planning issues). Essential instruments used in this project are quantitative and qualitative survey and developing social indicators for social policy planning.

Besides training on various issues, registering 95 % of the families in social programmes and implementing social and physical infrastructures, one main outcome of the project to date is that between 2003 and 2007 more than 500 families moved to newly built social housing.

Some successful instruments have been transferred to other projects and areas. One example is setting up the Community Office, allowing local residents to access public services. The Community Office can also be pointed out as being successful because at low cost it brought the project staff closer to the local residents. It is a place within the community for developing project activities (workshops, social care interviews etc).



Guarulhos -
new social housing

Medellin: Upgrading disadvantaged neighbourhoods and settlements³

main field(s) of action: social cohesion, neighbourhood improvement, social and technical infrastructure, housing

main instruments used: public participation, capacity building

spatial level: neighbourhood (urban outskirts)

In the lower part of the Juan Bobo water course, there was an informal settlement of 1260 persons. Marginalisation, social fragmentation, insecurity and violence, lack of welfare provision, drug addiction, informal land tenancy, lack of infrastructure (water, electricity, sewerage) - these are only some of the problems which this community has been facing.

> Trust-building principles: no evictions, no expulsions, no expropriation and legalise tenure

Before this project was initiated, any action by government bodies was perceived as a forced eviction process, and fear of being evicted was constant among the dwellers. Thus, trust and confidence building was one of the first requirements for the project. Housing and property issues in conjunction with public participation have therefore been used as a trigger for other action as well, and several basic principles have been agreed on by stakeholders involved: no evictions, no expulsions, no expropriation and to legalise tenure.

The project which started in 2004 is supported by UN-Habitat. Stakeholders in the project were the community of Nuevo Sol de Oriente, seven local government departments, two state-owned enterprises and the national Ministry of Environment, Housing and Urban Development. First, participative diagnosis delimited the background for action, and careful consideration of individual features in each family was the basis of actions. This was followed by ongoing coaching by the technical and social teams through visits, creative workshops, community assemblies and a socio-economic census to identify social needs.

Besides technical measures to enhance infrastructure, the project enabled construction of housing facilities for 105 families, and improved and legalised home ownership for

³ not a member of Metropolis;
UN-Habitat cooperates with
Metropolis

116 families. This enables them not only to access loans in the formal sector but also in some cases to generate rental income.

The project is by now consolidated and has shown - besides the housing sector - positive results in other fields as well (for instance, training for income generation in community enterprises and economic activities, food management, support to private enterprises etc.).

The approach and lessons learnt from the project have been transferred to other projects in Latin America (for instance to Rio de Janeiro and Buenos Aires).



Medellin - before and after upgrading

Porto Alegre: Local Solidarity Governance implementation (GSL): strategies in promoting social inclusion

main field(s) of action:	social cohesion, neighbourhood improvement, social infrastructure
main instruments used:	public participation, framework strategy, mutual agreements / contracts
spatial level:	whole urban area

The strategy of Local Solidarity Governance is based on twenty years of experience in participatory budgeting and other participatory approaches and on three resulting main assumptions:

- economic growth does not (automatically) solve social problems,
- centralised and hierarchical policy approaches do not sufficiently meet present challenges,
- democratic governance must generate concrete and tangible results.

> Creating partnerships with civil society groups - a way to change minds and create projects

The programme is not focused on one single social practice but rather upon a change in culture and ways of considering citizens and political agencies. Basic elements in the strategy are for instance a partnership approach between government and society, approaches with shared responsibilities between various government bodies and societal groups, social participation, respect for local communities and citizens' entrepreneurship.



Based on these elements and principles, participatory planning of concrete programmes and projects take place, and local development plans are elaborated. So far, more than 250 partnerships have been created and nearly 350 actions / projects have been implemented (or are in the process of implementation, most of them with the aim of upgrading settlements).

Porto Alegre - Solidarity Governance for the whole city

Shiraz: Green City programme

main field(s) of action:	environmental improvements, recreational infrastructure
main instruments used:	public participation
spatial level:	whole urban area

Rapid urbanisation has led to excessive development of land. Shiraz municipality therefore started in 2008 to implement projects to bring about sustainable urban development through an urban forest development programme. 13 500 hectares on the heights around the city were made into forests (of mainly olive trees), creating green spaces and recreation areas, creating linear parks along streets, and developing roof-level parks on top of multi-storey car parks and private buildings.

Incentive policies introduced by the municipality encouraged inhabitants to build roof gardens and use them also for commercial benefit. There is potential in the future for increasing municipal income by producing olive oil.

Inhabitants, private institutions, state organisations and Shiraz municipality have cooperated in formulating, implementing and utilising this project.

In carrying out the project, special attention was paid to underdeveloped neighbourhoods and areas. There is evidence that increasing green space in socially excluded areas which are characterised by high unemployment rates and high crime rate, increases community cohesion and inclusion of individuals into society.

The project has several environmental advantages, for instance, reducing intensity and volume of water runoff (by building roof gardens) and urban flooding (by extending the green belt and controlling floods in the heights), and preventing soil erosion in the heights as a result of cultivating appropriate plant species.

› **Greening the city: environmental and potential economic benefits**

Yangzhou: Community participation in urban conservation⁴

main field(s) of action:	neighbourhood improvements
main instruments used:	public participation
spatial level:	neighbourhood (inner-city)

Initial research began in 2004 as an extension of the Eco City Planning and Management Programme, a joint effort by Yangzhou Municipal Government, GTZ (German Development Cooperation) and with support from the Cities Alliance. In July 2006 implementation in the Old City began in a pilot area. The project is designed to regenerate existing older neighbourhoods in the inner city, accommodating the needs of residents and reinforcing the cultural heritage of those areas by encouraging resident participation.

Community Action Planning (CAP) was introduced as the catalyst linking the community, the government and other stakeholders in upgrading the area. The CAP approach is a method to guide and structure public participation in projects. It involves and links the citizens of a community or residents of a neighbourhood with local government decision makers and technical staff in a process of planning, decision making and agreement on priorities for action. They set priorities for short, medium and long term measures and develop suitable concepts for improvement by including the views of all stakeholders.

The most important outcomes of the project are as follows:

- Residents have drawn up an action plan to organise short and medium-term improvements in their housing environment by their own means.
- The master plan for the pilot area has been revised and improved taking into consideration residents' wishes and suggestions.

⁴ in addition to the description of the project to be found in the annex, further information about the Community Action Planning method (CAP) and the results obtained are at: http://courses.washington.edu/quanzhou/pacrim/papers/CAP_Yangzhou.pdf

2.1.2. Political and organisational arrangements beyond city boundaries

Belo Horizonte: Net 10: collaborative governance between municipalities in the Metropolitan Region

main field(s) of action:	transport / mobility, environment, social and technical infrastructure
main instruments used:	cooperation beyond city boundaries, indicator system / monitoring, new steering bodies, capacity building
spatial level:	metropolitan region

> Creating advisory and political bodies - basis for cross-border policy making

Belo Horizonte is pursuing the objective of using formal and informal ways of collaboration in order to improve in the first instance economic, traffic and transport infrastructure and environmental conditions in the metropolitan region. For this purpose a number of instruments have been created:

- indicator system to monitor medium and long-term strategic planning (up to 2030)
- Metropolitan Advisory Board
- Metropolitan Assembly
- Metropolitan Development Fund

In addition, there is close cooperation with national level and regional level government institutions. By means of Net 10 - an institutionalised network between Belo Horizonte and independent municipalities in the metropolitan area - a further instrument has been created with the aim of cooperating across and over municipal boundaries. By means of regular meetings of mayors, cooperation protocols, putting in place thematic working groups, joint projects, training courses, joint internet sites and so on, cooperation between municipalities has been strengthened and extended.

The cooperative approach has already led to a number of successes. These include, for example, improving the traffic and transport and health care infrastructures and training programmes for young people. Nevertheless, there remains a number of challenges as before: competitive action by various municipalities, (party) political differences, discontinuity in the work of the thematic working groups and varying degrees of commitment in individual municipalities in the network, which need to be diminished, so that the cooperative planning approach can be further improved.

Mexico State: Governing a region - multi-level urban governance in Mexico State

main field(s) of action:	social cohesion, environmental improvements, transport/mobility, technical infrastructure
main instruments used:	cooperation beyond city boundaries, new steering bodies and funds
spatial level:	metropolitan region

> A legal mandate for cross-border cooperation

The metropolitan agglomeration of Mexico comprises Mexico State which is divided into 59 municipalities (counties) each headed by a municipal president (mayor), and the Federal District with its 16 'delegations' (municipalities). The 1993 constitutional reform created the basis for metropolitan coordination. The most important bodies to ensure multi-level governance are the Metropolitan Committee and the following Metropolitan Commissions on

- human settlements,
- environmental protection,
- water supply and drainage,
- preservation and restoration of ecological balance,

- collection and disposal of solid waste,
- public safety,
- transport and roads.

Through these bodies, cooperation is institutionalised between Mexico State municipalities and the Federal District. As counterparts on the municipal level, metropolitan affairs committees have been created. In addition, a metropolitan fund has been set up to enable policies and projects within the whole metropolitan area.

2.1.3. Political and organisational arrangements within city boundaries

Berlin: Neighbourhood management and framework strategy for the Socially Integrative City

main field(s) of action:	social cohesion
main instruments used:	framework strategy, integrated indicators / monitoring
spatial level:	whole urban area

> Setting a framework for guiding policy making and projects

Berlin is currently implementing the framework strategy known as Socially Integrative City. This integrated, social area orientation approach starts from the various lifestyles, the needs of the residents. It requires multi-sectoral cooperation between administrative departments (horizontal integration), and cooperation between the regional level authorities and the local level (districts; vertical integration), inclusion of the inhabitants and empowerment for them. The framework strategy is intended to guide specialised planning and measures by Berlin regional and local district authorities. With this in mind three principles have been formulated:

- to supplement specialised relevance with spatial relevance (and in this way include inhabitants' socio-spatial conditions of life),
- to work in and within networks,
- to intensify cross-sectoral working practices within administrative bodies.

The framework strategy is currently being trialled in three pilot areas. The intention is to use the strategy to counteract and prevent negative effects, in particular in social area respects (for example, segregation and degradation of individual areas) in the entire city area. One important instrument in observing, evaluation and prognosis is the system of 'monitoring socially oriented urban development'. Other important instruments include setting up new organisational sections known as 'Socio-spatial oriented planning coordination' in the twelve Berlin local district authorities, and compiling a handbook. This document is directed towards all relevant stakeholders and is designed to comprise a common working basis.

> Strategies require concrete actions

The framework strategy is based on lessons learnt in the neighbourhood management system, which has now been in operation for ten years in 35 neighbourhood areas. The neighbourhood management system is an approach which aims to upgrade and stabilise what are known as 'areas with special development needs'. It is structured around public participation and involvement of civil society elements. In the neighbourhood management system, a number of instruments have been developed which may also be applied in implementing the framework strategy. These include, for example, neighbourhood councils and the neighbourhood fund provisions. Though neighbourhood management had many positive results (empowerment and involvement were strengthened, increased cooperation between players, interdepartmental cooperation within

districts has given rise to positive impetus etc.), still challenges remain: it cannot resolve unemployment and poverty, it can only compensate for negative effects of these;



it has spatially limited effects; rapid but short-term intervention actions; neighbourhood management cannot replace structural measures. The framework strategy is intended to mitigate some of these constraints.

Berlin - Zentrum Kreuzberg/Oranienstraße, one of the neighbourhood management areas

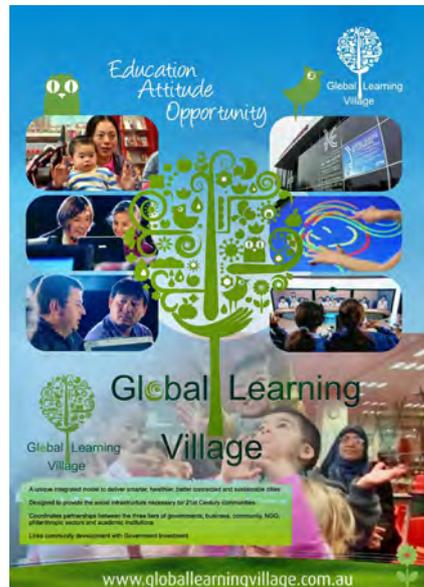
Melbourne: Global Learning Village

main field(s) of action:	social cohesion, social infrastructure
main instruments used:	capacity building, new steering body
spatial level:	district (urban outskirts)

› Enabling poorer sections of the population to become fit for 21st century requirements

The Global Learning Village (GLV) is a unique model for establishing smarter, healthier and better connected communities. The project started in 2007. The GLV centre was established as a one-stop community hub in Hume, a poorer district of metropolitan Melbourne, with a population of nearly 150 000 inhabitants. Its basic aim is to cater for local needs, in particular poor, marginalised people: migrants, single parents, elderly, chronically unemployed and culturally excluded persons. The GLV centre provides computer access to connect people to a network otherwise beyond their reach. It delivers pre-school reading classes, mentoring for homework and literacy, training for lifelong learning, jobs, small business development and recreation facilities.

The independent non-profit Global Learning Village Foundation is responsible for managing the GLV centre. The strategy was implemented by securing key funding by the three tiers of government, by corporate sponsorship and contributions from economic, philanthropic, academic and community sectors.



The GLV model has had demonstrable positive economic, social and environmental impacts, and is an example of what partnerships between government, corporate and philanthropic sectors can achieve to improve social services for communities. The Australian Government intends the Global Learning Village model to be part of Australia's biggest ever nation-building project.

› Improving housing, social and technical infrastructure in informal settlements with benefits for all citizens

São Paulo: Transparency and citizenship to shape the open city

main field(s) of action:	social cohesion, neighbourhood improvement
main instruments used:	framework strategy, new regulations, new steering body
spatial level:	whole urban area (special emphasis on disadvantaged neighbourhoods)

Precarious settlements ('favelas' and informal settlements) make up nearly ten per cent of the area of São Paulo and accommodate almost one-third of the urban population. Nearly 25 per cent of these settlements are situated in water catchment areas, thus causing environmental and health problems in addition. Using its 'favela upgrading programme', the city mitigates environmental, social and spatial problems by:

- giving priority in action to low income families,
- improving living conditions,
- coordinating the housing sector on federal and municipal levels,
- preventing new informal settlements,
- regulating informal settlements through legislation,
- in short: integrating these settlements into the consolidated urban community.

Projects and activities as part of this programme include, for instance:

- restoration / renovation of buildings,
- improving local amenity provision through (children's) playgrounds, sport fields, greening open spaces, building roads and paths etc.,
- waste and water management and related activities.

These activities are carried out in close cooperation with inhabitants and civil organisations in affected neighbourhoods.

The most important institution in this context is the local Housing Board, which has the task of steering and coordinating activities and participation. The board is composed of government officials, elected members from civil society (elected for two years) and representatives from communal and grassroots organisations (each of these groups has one-third of the seats in the board). The work of the board is accompanied by various other programmes, plans and activities such as:

- housing strategic plan,
- sanitation master plan,
- local 'slum' upgrading plans,
- new legislation in the fields of the environment and water,
- social work management,
- income generation projects.

Seoul: Women-Friendly City Project

main field(s) of action:	social cohesion, business/labour market, technical and social infrastructure
main instruments used:	capacity building, public participation
spatial level:	whole urban area

Existing women's policies prove to have difficulties with issues regarding women in various areas such as education, environment, health, culture, transport and housing policies, which all influence women's everyday lives, because of lack of gender-sensitive perspectives. Acknowledging the limitations of existing policies, Seoul Metropolitan

Government has adopted a new policy approach which, beyond gender equality, incorporates women's perspectives and experiences in a broad range of city policies. The Women-Friendly City Project, as it is called, started in July 2007 and is ongoing. The policy aims to encourage social participation and to establish a woman-friendly socio-cultural environment by means of 90 projects in the following fields:

- childcare and other activities for under-privileged women (i.e. single mothers, migrants etc.),
- job creation, improving work conditions,
- cultural activities,
- upgrading safety facilities,
- upgrading restrooms, transport facilities.

Participation by women in these projects takes place through meetings, women expert groups, on-line and off-line consultation and other means. Several capacity building measures were carried out, courses for women or, for instance, gender-specific awareness programmes and courses for civil servants. The most important and visible outcomes of these projects (2007-2009) include:

- 43 000 jobs.
- 28 000 women-friendly and safe parking areas,
- 70 km of women-friendly and safe streets,
- 50 women-friendly and safe public parks,
- 250 women-friendly and safe restrooms.

The Women and Family Policy Affairs Department in Seoul metropolitan government is in charge of the programme. It directs the project managing and promotion plans and outcomes of the projects. Each district government sets up its own Women-Friendly City Project suitable for local characteristics. The approach has also been transferred to other Korean cities.

Stockholm: The Järva programme

main field(s) of action:	social cohesion, neighbourhood improvement , business/labour market
main instruments used:	framework strategy, public participation
spatial level:	neighbourhood (urban outskirts)

The Järva area consists of six districts 15 kilometres north-west of the city centre built between 1965 and 1975, products of large scale modernistic planning ideals dominant during that period. Currently, the area is home to around 60 000 people and about 30 000 people work here. Problems occurred early, related not only to architectural and planning mistakes but also to the social structure of the area, with high rates of unemployment, low average income and a growing number of immigrants.

A series of ambitious rehabilitation programmes has been undertaken over the years, one after another. The decision now is to take a new approach with investment both in housing and in the inhabitants. A broad effort has been proposed in order to achieve a wide range of objectives. The Järva programme will involve:

- good housing and a diverse townscape,
- security in everyday life,
- education and language skills,
- jobs and new enterprises.

> Gender equality requires action in many and different ways

> Coping with past planning mistakes

The Järva 2030 vision (decided on by the city council in 2009) is highly ambitious, covering: high quality municipal services; ambitious renovation and maintenance targets;



Stockholm - inner city

exciting architecture and urban environment; exemplary energy efficiency; closer connections to the nearby information and communications technology (ICT) cluster; and developing a dialogue with the residents of Järva.

2.1.4. Capacity building

Addis Ababa: Micro and Small Enterprise Development Programme

main field(s) of action:	business/labour market, social cohesion
main instruments used:	fiscal instruments, capacity building
spatial level:	whole urban area

> Credits and training measures in securing jobs

This programme started in 2003 and is ongoing. Its objectives are to reduce poverty and unemployment. Micro-credits are utilised to found small enterprises in seven growth-oriented sectors including textiles and garment making, metal and wood work, construction, municipal activities, urban agriculture. In addition, beneficiaries, of whom around 37% are women, received training on their specific economic field of activity and on overall business matters.

Several municipal departments are working closely together internally and externally with NGOs, training institutions (e.g. GTZ for skills training, business development) and micro-credit finance institutions. The government of Addis Ababa leads, coordinates and conducts the programme at agency level. At district level there are 10 branches, at 'kebele'⁵ level there are 116 sub-branch offices.

The main results of the programme are as follows:

- More than 20 000 small business enterprises were created or have been supported. Of these, some enterprises have developed into medium and large-scale enterprises.
- More than 120 hectares of land has been provided to different enterprises in order to alleviate the problem of finding working premises.
- Around 120 000 operators have been trained in basic business skills and technical issues.



Addis Ababa

⁵ A 'kebele' is the smallest administrative unit in Ethiopia, perhaps similar to an election ward or a neighbourhood.

Barcelona: Inclusive Barcelona: a project for coordination and agreement with citizens

main field(s) of action:	social cohesion
main instruments used:	stakeholder agreement, capacity building
spatial level:	whole urban area

The City of Barcelona, through the 2008-2011 Barcelona Municipal Action Plan, makes it a political priority to work toward social inclusion, translated into a significant boost to the budget and the involvement of all municipal and territorial district areas of action. The 2005-2010 Municipal Plan for social inclusion is the programme instrument in force which articulates the set of social policies related to the fight against poverty and exclusion. The plan also identifies public participation as a fundamental strategy so that inclusion policies may be rolled out on the basis of the city's social action capabilities. This involves shoring up the relational, cross-sectional and participative dimension to establish partnerships, generate synergies, coordinate and promote joint actions and define shared goals between the municipal government and all the other actors who operate in the social sphere.

In this regard, the Citizens' Agreement for an Inclusive Barcelona is an important tool to include, on a shared and common basis of goals and understanding, civil society actors and institutions in the fight against social exclusion. The Agreement was launched in 2007 by Barcelona City Council and to date has currently been agreed to by approx. 450 signatories.

Networking and responsibility shared by public institutions and civil society are two of the pillars in a project that has already set up eight networks for joint work and action in the following areas: provision for homeless people, businesses, social and labour market insertion, open-access child and teenage care centres, welcoming new arrivals, carer families with dependent or sick people, housing and culture. In short: these networks bring together projects by social entities and by the City Council with the aim of preventing and dealing with exclusion.

> Mobilising societal resources and creating accountability through citizens' agreements

In line with the Citizens' Agreement for an Inclusive Barcelona, the municipal councils of social participation are the organs of public participation where Barcelona social entities can impact municipal governance from a perspective of validation and make proposals in relation to social policies. The Barcelona Social Welfare Council, established in 1988, is the most important of these.



Barcelona

Berlin: Neighbourhood mothers - an approach to working with hard-to-reach groups

main field(s) of action:	social cohesion, formal / informal education
main instruments used:	instrument to work with hard to reach groups, capacity building
spatial level:	urban neighbourhood(s)

Many integrative projects in disadvantaged neighbourhoods suffer from the fact that some groups can barely be reached using traditional measures. Empowerment is thus

► **Activating disadvantaged groups through members of these groups**

difficult if not impossible. In the case of some Berlin neighbourhoods or districts, immigrants (and people with an immigrant background) are among these often referred to as 'hard to reach' groups.

Learning from Utrecht, Netherlands, in 2004 the Berlin district of Neukölln started to train 28 neighbourhood mothers - all unemployed and with an immigrant background. These neighbourhood mothers act as contact and resource persons for families and in particular for women in the neighbourhood (for instance by working in schools or by visiting families in their homes).

The aim of the project is to

- 'open doors' for integration,
- strengthen parents,
- encourage language acquisition by motivating individuals to visit day-care centres and attend courses in German,
- inform people about child upbringing, education and health,
- arrange specific support for families in the district.

An evaluation in 2006 demonstrated the success of the programme. Indeed, it has



been so successful that the Berlin Senate decided to apply the approach to all neighbourhoods covered by the Socially Integrative City framework strategy. Around 180 neighbourhood mothers have been trained so far.

Berlin - neighbourhood mothers in action

Dakar: Promoting micro-gardens to contribute towards food security and nutrition

main field(s) of action: social cohesion, business/labour market

main instruments used: capacity building

spatial level: whole urban area

► **Improving living conditions for women and young people through action adapted to rural migrants**

The population of Dakar is naturally growing quickly, in addition because of the rural exodus. Resultant pressure on agricultural space in the city reduces access to farmland mainly for 'fragile' groups: women and young people. After a pilot phase started in 1999, the first phase of a programme started in 2004 and was prolonged for a second phase (2006-2008). It aims to reduce land pressure by promoting micro-gardens in house yards, on roofs and vacant spaces. The central aims are to:

- improve nutrition in the inhabitants,
- diversify income-generating activities in families,
- provide occupation for women and young people,
- generate income.

To reach these goals, action has been taken in the following fields:

- training and organising programme beneficiaries,
- access to equipment and goods
- marketing products.

Criteria in selecting beneficiaries include: poverty, availability of minimal space and drinking water and motivation. Ten Training and Demonstration Centres (CFD) have been established. More than 5 400 beneficiaries have received training in micro-gardening techniques, of whom 80% are women and 50% are people under 36 years of age. In some cases trainees became trainers in a CFD. Production and marketing take place either on an individual basis or in conjunction with more than 160 community production centres.

Porto Alegre: 'Vila Chocolateão' Sustainability Network

main field(s) of action:	neighbourhood improvement, housing, social cohesion, business/labour market
main instruments used:	capacity building, public participation, new steering body
spatial level:	urban neighbourhood

'Vila Chocolateão' arose gradually from 1987 onwards on a strip of land belonging to the federal government, close to Porto Alegre historical centre. Today there are 200 families there, surviving by picking up recyclable waste in between buildings used by government institutions and federal agencies. The settlement has no power supply, drinking water or a sewage system.

> Successful resettlement needs time, interim solutions and acceptance by inhabitants

The aim of the project is to resettle the inhabitants into newly built housing. In order to achieve this aim, a 'slow' approach has been chosen, including an interim solution for the existing neighbourhood, and other activities. The whole resettlement process started by holding meetings with community members in order to discuss solutions and opportunities to enhance their situation. The following steps were taken:

- The Chocolateão Slum Association facility was built at the current location, to serve the community as the focal point in beginning social integration, for instance through literacy courses, training courses in waste recycling etc.
- A children's playground was built.
- Provisional communal washrooms were built, so that the community had access to minimum hygiene conditions.

The 'Vila Chocolateão' Sustainability Network was set up to support the project. It unites actors from federal, state and local government agencies, along with private and non-

governmental organisations. 200 families will move to their new neighbourhood in the course of 2011.



Porto Alegre -
Vila Chocolateão

2.2. Case studies' synopsis and lessons learnt

Fig. 2.1: CASE STUDIES SYNOPSIS

City	field(s) of action	public participation	partnership with economic sector ⁽¹⁾	partnership with civil society groups	new or merged departments / institutions	mixed steering groups	other tools and instruments
Addis Ababa	- business/labour market - social cohesion				X		- fiscal instruments - capacity building
Bamako	- social cohesion - neighbourhood improvement - social infrastructure - technical infrastructure - education	X		X	X		- Self-help and voluntary work - capacity building
Barcelona	- social cohesion - neighbourhood improvement - social infrastructure	X		X	X	X	- framework strategy - stakeholder agreements - capacity building
Belo Horizonte	- crossing city borders projects in the fields of economy, social and technical infrastructure and environment	X	X	X	X		- integrated monitoring system - metropolitan advisory board - fiscal instruments - institutionalised cross-border cooperation
Berlin (neighbourhood management, framework strategy)	- social cohesion - neighbourhood improvement - social infrastructure	X		X	X	X	- framework strategy - citizens councils - new fiscal instruments - integrated monitoring system - capacity building
Berlin (neighbourhood mothers)	- social cohesion - education - health - (labour market)			X			- hard to reach groups as actors - capacity building
Dakar	- social cohesion - business/labour market - environmental improvements				X		- capacity building
Guarulhos	- social cohesion - neighbourhood improvement - housing - business/labour market - technical and social infrastructure	X	X (umbrella organisations)	X		X	- fiscal instruments - cross cutting indicators / monitoring
Medellin	- social cohesion - housing - neighbourhood improvement - technical infrastructure - social infrastructure	X		X		X	- guidelines / manual - using housing issues as a trigger for other fields of action
Melbourne	- social cohesion - social infrastructure - education - technical infrastructure		X	X	X		- framework strategy - information technologies - capacity building
Mexico State	- crossing city borders projects and governance				X (cross border decision making bodies)		- fiscal instruments
Porto Alegre (Local Solidarity Governance)	- social cohesion - neighbourhood improvement - social infrastructure - business/labour market	X	X	X		X	- framework strategy - information technologies
Porto Alegre (Vila Chocolateão)	- neighbourhood improvement - housing - social cohesion - business/labour market	X		X	X		- capacity building
São Paulo	- social cohesion - neighbourhood improvement - business/labour market - social infrastructure - technical infrastructure	X	X	X	X	X	- local housing boards - new legislation
Seoul	- social cohesion - business/labour market - social and technical infrastructure	X	X	X			- capacity building
Shiraz	- environmental improvements	X					
Stockholm	- social cohesion - neighbourhood improvement - social infrastructure - transport / mobility	X	X	X			- framework strategy - capacity building
Yangzhou	- neighbourhood improvement - cultural heritage	X	X	X			

In this synoptic overview the following points are particularly obvious:

- The majority of these projects was aimed at social and spatial upgrading in the neighbourhood. Associated with this objective are frequently further objectives and fields of action. Often they include social cohesion, social and technical infrastructure and activities aiming to reduce unemployment or precarious economic activities.
- Public participation is in virtually all the programmes and projects an essential element in project elaboration and in further development in the course of the implementation phase. Public participation by residents in implementation itself is however - as for example is the case in the self-help groups in Bamako - rarely found.
- Steering groups and other advisory bodies are instruments frequently adopted in order to steer integrated programmes and projects. With a few exceptions these groups are composed of administrative personnel and members of the public. In many instances, however, they only have a consultative function and have no power of decision making. They are then to be regarded as a particular instrument for public participation, but not as an element in a changed administrative and decision making structure.
- Changes in departmental settings and arrangements within an existing administrative body (merged departments, for instance) are rare. More frequently, however, new institutions are put in place to direct projects. Thus for example in Mexico, Porto Alegre and Belo Horizonte new cross-border decision making bodies were created.
- A number of cities use fiscal instruments in order to implement programmes and projects. In many instances however, this is only a question of additional budget lines. Innovative fiscal instruments - such as the participatory budget in Porto Alegre or the neighbourhood funds provision in Berlin - are uncommon.
- A considerable number of cities have developed framework strategies or at least long-term programmes and plans in the context of which individual integrated projects can be carried out.
- Integrated, appropriate or adapted indicator and monitoring systems are only rarely used. These systems would enable cross cutting long-term plans and framework strategies and projects to be examined and would facilitate them being further developed.

A detailed review taking into account also the case studies described in the annex produces additional insights:

- Problems and causes identified in disadvantaged neighbourhoods and applied strategies are rather similar and do not differ from city to city to any great extent if integrated approaches are applied (cp. fig. 2.2)
- Neighbourhood improvement projects on their own - even if they specifically state 'employment' as one objective - rarely contribute towards lasting reduction in unemployment in the neighbourhood itself. At the most, they can increase employment opportunities temporarily or in niche sectors. This was for example the case in Bamako during the project implementation phase. Without structural and tailored measures going beyond the 'neighbourhood' level this could not really be expected. Indirectly however neighbourhood projects can certainly exert positive effects on employment opportunities. Targeted education or training measures and indirect qualification opportunities in the course of implementing an integrated project can increase people's chances in the labour market.

- In a number of project areas it was noticed that people once they had found employment moved away from a 'disadvantaged' neighbourhood. The trend towards moving away found in better situated sections of the population can only be countered if at the same time the entire built environment and the social infrastructure are improved. The 'cooperative atmosphere' or community spirit produced in many integrated neighbourhood projects also contributes to making people stay. In addition, the quality of the educational infrastructure seems to keep 'climbers' (aspiring people) in the neighbourhood.
- For a number of Metropolis member cities non-legalised settlements or informal economic activities as well present challenges. In some instances there seems to be no alternative but to re-settle⁶ the inhabitants affected. Only those re-settlement projects where the municipality (or some other public body) has at its disposal sufficient land property were successful. These successful re-settlement projects were however in every case underpinned by extensive public participation in decision making on the part of the inhabitants in question and by additional activities such as job creation measures, training etc. The same applies too in the case of informal economic activities - for example, in informal street trading. In order to succeed it is frequently necessary to provide the street traders with some kind of alternative and to divert their activities towards the formal business sector.



Porto Alegre - a new shopping centre for former street traders

Info box 2.1: Aleppo - Using a SWOT analysis to develop a strategy for informal settlements

It is estimated that Aleppos informal settlements are currently growing mainly due to migration by some 4% per year, that is by some 48.000 people, or 8000 households/year, or 160 dwellings per week. As a result almost half of the 2.4 million inhabitants are living in one of the 22 informal settlements. With support of GTZ the City of Aleppo is developing a strategy and designing pilot projects to find solutions for problems faced by inhabitants of this type of settlements and to contain their growth. In doing so a SWOT-Analysis (strength, weaknesses, opportunities, threats) has been used to identify approaches, and solutions, for the different types^{a)} of informal settlements:

Strengths:

- affordable housing with reasonably secure tenure (all types)
- community solidarity and some degree of community organisation (all types)
- capital asset with an appreciating value (type 2)
- high land values (type 3)

Weaknesses:

- inadequate infrastructure (water, sanitation, etc.) (all types)
- limited access to services (education, health, etc.) (all types)
- inadequate amenities (public open space, etc) (all types)
- no registered title to property (all types)
- social stigma associated with living there (economic and social marginalisation) (all types)

⁶ In case of appropriation and use of privately-owned land or if the settlement has been erected in risk areas (flooding, landslides etc.). Resettlement measures should only be carried out in very rare exceptional circumstances. Resettlement measures of this kind are extremely contentious and may endanger legitimacy of local government bodies. In any event it is preferable rather to legalise the settlement in question. A detailed discussion on the question of informal settlements is to be found under: GTZ Cairo (German Technical Cooperation, 2009): Cairo's Informal Areas. Between Urban Challenges and Hidden Potentials.

Opportunities:

- developing community organisations and neighbourhood management capacities (all types)
- integrating into the society and economy of the city (all types)
- limited expansion/extension of properties and services (type 2)
- realisation of capital assets (type 2)
- possible benefit from high land values (type 3)

Threats:

- relocation as part of urban renewal programmes (all types)
- uncontrolled over-development (becoming unsafe) (type 2)
- structural collapse (disastrous loss of life) (type 3)

a) The following types of informal settlement have been identified: upper-income group, illegal settlement (type 1); safe, medium density, low-income settlement (type 2); unsafe, high density, low-income settlement (type 3); mixed safe and unsafe, high to medium density settlement

<http://www.udp-aleppo.org/?id=3>

Info box 2.2: Porto Alegre - A new shopping centre for former street traders

This project concerns a shopping centre bringing together approx. 800 former street traders without commercial licences. Located in the inner city area, the project provides for affordable rents and means of earning a livelihood in the formal economy. The project is paralleled by a ban on street trading and the accompanying checks. In addition to economic / income-creating objectives, the project thus also contributes towards reducing (petty) crime and towards social area improvement in the neighbourhood addressed.

- Legalising settlements is an important instrument in upgrading a neighbourhood. In this respect too, municipal power of decision on property rights is a crucial pre-requisite. Legalisation and granting property rights do need however to be underpinned by further measures, in order to counteract possible negative results (cp. info box 3.3) and to enable lasting improvements.
- The majority of the projects had - at least implicitly - empowerment and capacity building as objectives. Although empowerment and capacity building have two dimensions (empowerment for the citizens; empowerment and mind setting in administrative bodies, in the direction and favour of Integrated Urban Governance), yet the majority of the projects is limited to 'the inhabitants'. Specific measures in the direction or for the benefit of administrative personnel is relatively seldom found. One particular form of capacity buildings for members of administrative bodies should however be high-

lighted in this context: manuals and guidelines or training courses - such as have been compiled, for example, in Berlin, Medellin and Seoul - do not only assist in increasing know-how of individual administrative personnel. They also play a part in managing processes in projects and programmes.



Informal settlement in India

To summarise, it may be stated that the following instruments are particularly often used in the case studies examined (cp. fig. 2.2):

- public participation
- capacity building
- framework strategies and / or long term plans
- new advisory and steering bodies

From an analysis of the case studies there result only a few indications that specific instruments are particularly chosen for use in specific problem situations. An exception to this statement is the instrument of legalising informal settlements. The instrument is however - at least in those case studies from Metropolis member cities - only rarely applied.⁷ Other successful instruments have up to the present time only been disseminated to few other situations. This includes for example instruments in order to reach 'hard to reach' groups, stakeholder agreements, integrated and cross-cutting monitoring systems, innovative fiscal instruments involving public participation or new structural arrangements within an existing administration.

There are, however, signs of hope, that these and other new instruments can and will be used more frequently in future. A number of municipalities have successfully transferred lessons learnt and instruments to other projects. Yet other municipalities have learnt from lessons learnt in other cities and have applied strategies and instruments to their own situations. For instance, the participatory budget system derived from Porto Alegre as long ago as more than twenty years is in the meantime being applied by far more than a hundred towns and cities in Europe.

Fig. 2.2: PROBLEMS AND INTERVENTION STRATEGIES IN DISADVANTAGED NEIGHBOURHOODS

problems identified	main causes	strategic aims / field of action	governance instruments most frequently applied
problems in the overall urban fabric: slums or danger of slum developing	lack of appropriate social and technical infrastructure lack of investment	urban renewal enhancement of social and technical infrastructure promote investment	public participation capacity building framework strategies and/ or long term plans new advisory and steering bodies
social and economic problems: social inequalities reduced opportunities of life	low level of education low level of skills for the formal economic sector unemployment	(formal and informal) education measures social policy measures strengthening local economy	
spatial problems: spatial segregation / concentration of disadvantaged sections of the population	migration (involuntary inward migration of disadvantaged groups, better-placed sections of the population move out)	community building strengthening local economy modernisation of housing / social housing	

⁷ The reason for this may be as follows: In some countries this legislative instrument must be made possible by means of national law regulations and / or the municipalities need themselves to have available to them property rights for the settled land.

03

ENABLING INTEGRATED URBAN GOVERNANCE - SETTING UP A POLITICAL AND ADMINISTRATIVE FRAMEWORK FOR POLICY INTEGRATION

Situations in individual cities and countries differ considerably. Municipal authorities' powers of decision making and regulation and their financial resources may be just as varied as the fields of action for which they are responsible under terms of national (or regional) legislation.¹ Furthermore, the culture of public participation or even legal requirements for public participation - to mention merely one further example of differences - differ greatly from country to country. National states with a democratic structure based on consensus and on including as many actors as possible² have different framework conditions for participation than do other countries where the political systems follow rather a 'top-down' approach. Whereas a number of countries have no legal regulations concerning public participation, in others this is stipulated in respect of many local authority fields of operation.

› Methods and approaches need to be adapted to the situation

This is why Integrated Urban Governance cannot be achieved by using this or any other document as a recipe or cookery book. Neither is it possible to transfer experience and good practice from one place to another just by copying approaches and methods. These need to be adjusted to the situation.

Info box 3.1: An example of legislation on public participation: the EU Directive on Public Participation

"... 2. Member States shall ensure that the public is given early and effective opportunities to participate in the preparation and modification or review of the plans or programmes required to be drawn up under the provisions listed in Annex I.

To that end, Member States shall ensure that:

- a.** the public is informed, whether by public notices or other appropriate means such as electronic media where available, about any proposals for such plans or programmes or their modification or review and that relevant information about such proposals is made available to the public including inter alia information about the right to participate in decision-making and about the competent authority to which comments or questions may be submitted;
- b.** the public is entitled to express comments and opinions when all options are open before decisions on the plans and programmes are made;
- c.** in making those decisions, due account shall be taken of the results of the public participation;
- d.** having examined the comments and opinions expressed by the public, the competent authority makes reasonable efforts to inform the public about the decisions taken and the reasons and considerations upon which those decisions are based, including information about the public participation process."

Directive 2003/35/EC - Article 2

¹ A very good overview of fields of tasks and decision making powers of municipalities is to be found in "Study on Metropolitan Regions" by the Metropolis network (http://metropolis.org/publications/metropolitan_regions).

² Concordance democracy such as, for example, Ecuador and Switzerland

The majority of the recommendations in this manual are based on evaluating practice and practical studies in Metropolis network members, but also on experience in other municipalities. In so doing a distinction was made between measures which institute the framework for integrated government approaches. Such measures support implementation of concrete projects in a wide variety of policy fields. Two levels can be distinguished:

- measures that contribute towards developing an ‘integrating administrative system’ and
- measures that contribute towards integrated mindsets in political and administrative decision makers.

On the other hand, in chapter 4, tools and instruments will be discussed which may be applied specifically in implementing integrated programmes and projects. The distinction between these two levels cannot always be made entirely accurately - after all, some recommended measures and steps may equally well be used in order to adapt framework conditions as in practically implementing projects.

3.1. Setting the political framework

3.1.1. Driving forces for Integrated Urban Governance

In order to be able to understand and to categorise the recommendations and approaches below, it may be a good idea to give an overview of the background which has led to changes in governance approaches in most of the cities in the survey. The following driving forces seemed to be significant:

- **dissatisfactory outcomes of hierarchically-oriented decision making:** Previous and current experience of hierarchically oriented decisions being implemented by means of mono-disciplinary departments have in a variety of problem situations resulted in less than satisfactory outcomes.
- **well-informed public:** An increasingly well-informed general public is insisting on transparency in municipal decisions and on being involved in the process. In a number of cases politicians and public servants have only become aware of particular problems as a result of representations from the public (e.g. through citizens’ action groups). In other cases, local communities were becoming increasingly disillusioned and dissatisfied by governments’ inability to solve their problems.
- **waste of resources:** The wisdom has prevailed that some problems can be resolved only ineffectively - or not at all - in traditional (‘discipline’ oriented) administrative structures, even at the cost of massive use of resources. This applies most particularly to problem situations in the fields of social and physical degradation, reducing poverty, family and community dysfunction, environmental degradation, criminality and so on. In some cases, costs of intervention escalated with only little evidence that this would lead to satisfactory results.
- **cross-cutting problem causes:** There is increasing recognition that there are identical causal factors for many problems which were formerly dealt with by various different departments and disciplines. This is in particular true for social and spatial problems (segregation, for instance).
- **monitoring and new insights:** In some cases new and more holistically oriented indicator and monitoring systems have led to cross-cutting problem situations being

> **Mono-disciplinary approaches do not always produce sufficient results**

identified in the first place which then have been brought to the attention of political and administrative decision makers.

- **pilot schemes without impact:** Short-term or physically small dimensioned integrated approaches, single pilot or demonstration projects with no follow-up activities (neither on the spot nor in other areas of the city) lack sustainability and long term impact.

3.1.2. Enabling integrated approaches: organisational and structural changes

A series of lessons and recommendations can be drawn from successful projects and policies in Metropolis municipalities and also in other cities. There are several institutional conditions that can help to promote integrated decision making and implementation. No single one of these conditions alone can guarantee this but a combination of several mechanisms can certainly promote horizontal and vertical cooperation and holistic thinking and attitudes.

> A combination of integrated approaches can promote cooperation and holistic attitudes

Within city boundaries

- **political arrangements:** In a number of cities - for example, in Porto Alegre - councils have been set up as bodies providing policy advice. These councils comprise representatives from various official levels as well as members of civil society. This important instrument – also significant in cooperating across city boundaries - facilitates formulating integrated policy goals, because from the very outset a variety of different points of view and interests can be brought to bear.
- **framework strategy:** An overall politically accepted framework strategy with integrative and cross-cutting aims supports integrated projects that are close to the problems and living conditions of people targeted by projects. The majority of successful framework strategies which really brought about integrative programmes and projects were preceded by quite a long process of elaborating a (value-oriented) vision of the future which brought together politicians, administrators and members of the public.

Info box 3.2: Setting a framework for urban development in South Africa

- The Urban Development Framework (1997) contains the government vision for sustainable urban settlements, as well as guidelines and programmes to achieve the vision. It was developed through a participative process in which all stakeholders had the opportunity to make an input.

The framework has the following objectives:

- to reconfigure relationships and patterns of engagement between local governments and civil society,
- to overcome the separation between spatial planning and economic planning in South African cities,

- to ensure that integrated planning determines projects which are approved and which elements are targeted within urban development, rather than the reverse situation where large urban development projects drive the planning,
- to ensure successful land reform through land restitution, land redistribution and tenure reform by integrating government policy and delivery systems and developing cooperative partnerships between the government, NGOs and the private sector,
- clarification of intergovernmental relationships.

Another important government document which influences urban development is a White Paper on Local Government (1998), which puts forward an approach to municipal transformation. It notes that national government is committed to developing a stable and enabling framework in which change can occur and to provide a range of support mechanisms to assist municipalities during the transition. A number of the following legislative acts are designed to enable and support implementation of these objectives – for example the Intergovernmental Relations Framework Act, 2005 (Act No 13 of 2005).

On this background the South African Cities Network (SACN) has elaborated by means of the City Development Strategy an operating framework. Its objective is to ensure an integrated approach to city development strategies for South African cities and to support member cities in developing Integrated Development Plans. These are intended to steer overall urban development and governance processes and are based on the following guiding principles:

- productive city
- inclusive city
- well-governed city
- sustainable city

Department of Housing (South Africa)(1997): Urban Development Framework
 Department of Cooperative Governance and Traditional Affairs (South Africa) (1998): White Paper on Local Government
 South African Cities Network (2005): Integrated Development Plan - IDP panel reports
<http://www.sacities.net/members/cds.stm>

- **cross-cutting objectives:** Inter-sectoral strategies, programmes and policy aims involving cooperation between departments both in terms of development and implementation, can embed collaboration in the 'professional culture' of administrative bodies. Objectives that cut across sectoral and departmental boundaries are important.
- **organisational arrangements:** Setting up organisational arrangements such as inter-departmental interdisciplinary committees, commissions, working and steering groups or even new departments can bring members of different administrative bodies and disciplines together. This can not only help to overcome differences and barriers resulting from different technical languages, professional views and interests. It also can promote cooperation between departments and sectors, thus supporting a new administrative culture.
- **merging disciplines and departments:** In some municipalities, specific fields and disciplines have been merged under one head of department (for example, traffic/transport planning, spatial planning and environment), with the aim of enabling exchange and cooperation between fields of action, and also of giving (political) direction.
- **interdisciplinary departmental amendments:** Some cities have management structures in place where units within a department are responsible for monitoring and as-

assessment of cross-cutting issues. These units should contain multidisciplinary teams and should also organise training and other capacity building activities.

- **central (political) steering role:** A central steering role can help to coordinate the outcome of such institutional arrangements and can support coordination of policies from different departments. It is essential, however, that such a body does not dominate the process but rather acts in mediating and monitoring.
- **financial instruments:** Financial allocation systems can help to promote integrative policies and implementation. Financial incentives such as earmarked budgets for joint policy making and targets is one element. Cross-departmental and/or inter-sectoral budgets for implementation of policies is another.
- **property rights:** Property rights and ownership are often crucial for enabling integrated strategies and projects. Property rights are in most cases dependent on national legislation. Any decision about the extent of its own property holdings is, however, to be taken by municipalities themselves. It is precisely in socio-spatial projects where the right to decide about land holding generally plays a large part.

Info box 3.3: Property rights - Turkish legislation and practice

In particular in upgrading non-formal settlements local authority rights to decide about land holdings plays a decisive part. Without legalising property holdings neighbourhood improvements can scarcely be designed in a lasting way. At the same time legalising steps often need additional supporting measures. This is shown by daily practice in Turkey:

The legislation known as ‘Amnesty Law’ (No. 2981/3290/3360, Article 10-c) governs legalising settlements:

- Property title rights are given to inhabitants who fulfil certain conditions.
- Associated with legalising property rights must necessarily be for the municipality to draw up and implement an ‘improvement plan’ for the settlement.

Decisions about building works and use of individual plots of land is left entirely to the new owners. This has left the situation wide open for speculation:

“Although this (Amnesty Law) has great advantages, there are still some insufficient subjects.

- The slum areas in and around big cities with development permits was idle for land speculation purposes, because of no regulations forcing landowners to construct buildings after the LR projects (land readjustment projects).
- As land is improved, it will almost certainly go up in value. Property values in the LR project areas expanded by up to 400-600 percent...
- Because of the availability of squatting opportunities ...legalization of slums fuelled the further invasion of public land and paved the way to widespread land speculation.
- Legalization produced surpluses which are shared among land speculators who are slum dwellers, commercialized construction companies and other interest-groups. Because development right is completely left slum owner, this right is not shared with public authorities...”

B. Uzun, H. E. Colak (2007): Providing Formal Property Rights to Slum Owners through Tenure. Legalization Process in Turkey. Conference paper, FIG (International Federation of Surveyors) working week 2007

- **cross-cutting monitoring systems:** Common cross-cutting analytical indicators and parameters can help to develop a more complete picture of policy issues and consequences. In addition, monitoring and reporting is an important way to promote dialogue and exchange of information between sectors, especially if individual sectors are assessed as well.

Info box 3.4: Berlin - Monitoring social development

A monitoring system on social development was set up in Berlin which has been continually developed and adapted since its inception in 1998. This system monitors socially integrative urban development and observes socio-spatial trends. It is an effective instrument for pinpointing development trends at an early stage, enabling focused measures to be put in place. At the same time, the system can be used to monitor the success of the measures introduced.

The monitoring system includes twelve indicators which describe the status and dynamics within an area under review:

Status:

- all unemployed persons as % of 15-65 years of age inhabitants
- unemployed persons under 25 years as % of 15-65 years of age inhabitants
- long-term unemployed persons as % of 15-65 years of age inhabitants
- employed persons in receipt of basic minimum support payments as % of inhabitants
- persons not capable of gainful employment in receipt of basic minimum support payments as % of inhabitants under 15 years of age
- inhabitants with migratory background under 18 years of age as % of inhabitants under 18 years of age

Dynamics:

- volume of migration as % of inhabitants
- net balance of migration as % of inhabitants in 2008
- net balance of migration in children under 6 years of age as % of inhabitants under 6 years of age
- changes in the proportion of German nationals in receipt of basic minimum support payments as % compared to previous year
- changes in the proportion of non-German nationals in receipt of basic minimum support payments as % compared to previous year
- changes in the proportion of persons not capable of gainful employment in receipt of basic minimum support payments under 15 years of age compared to previous year

Using these 12 indicators, a development index at neighbourhood level has been initiated for areas with approx. 10,000 inhabitants.

On the basis of the monitoring process results specific, area-related recommendations for action have been formulated. The system is now being used by other German cities as well.

http://www.stadtentwicklung.berlin.de/planen/basisdaten_stadtentwicklung/monitoring

- **benchmarking:** Best practice benchmarking and competitive approaches or competitions can stimulate further integration of policies. However, it is essential for this process to use indicators that assess integration issues and are transferable to one's own situation.
- **incentives for integrated thinking and action:** Incentive and promotion systems are in most cases adapted to 'traditional' administrative structures and thinking. Careers and salaries, for instance, often depend on formal factors such as the number of subordinated staff, budget size etc., rather than on cross-sectoral results. New incentive systems adapted to cross-cutting urban tasks (such as earmarked budgets and promoting innovative thinking) help to engraft interdisciplinary and cross-cutting attitudes and thinking.
- **including civil society:** Views and insight of political and administrative decision makers and professionals can be enhanced by public debate and participation because residents and NGOs often perceive policies in a more holistic manner than do professionals. Participation contributes to more transparency and thus acceptance of decisions. In addition, it is often obvious that in cities with a 'participation culture', public debates are more problem and community oriented and less steered by individual or special group interests.

Across city boundaries

> **'Win-win' solutions in cross-border cooperation are even more important than in projects within city boundaries**

The majority of these recommendations address both horizontal and vertical cooperation and are fundamentally also significant for cooperation between municipalities beyond administrative boundaries. Admittedly, integrated government approaches between a metropolis and local authorities in the surrounding area, or even with higher level bodies, (e.g. regional or national authorities) cannot be carried through by a city alone and quickly come up against legal limits. If cooperation between various local or regional authorities or between different levels of government is not provided for in law, then cities generally need to have recourse to 'soft' instruments in order to produce a consensus and to harmonise a variety of objectives. Included in 'soft' instruments such as these are continuous dialogue, participation in regional networks and inter-governmental working groups. The objective needs to be - even more so than in integrated programmes and projects within a municipality - to seek right from the outset for 'win-win' solutions which convince all those involved and which can work towards reducing rivalry, parochialism and suspicion of neighbouring municipalities about the motives of the metropolitan city. With this in mind, a number of steps are conceivable³:

- At the very beginning, issues should be addressed where a shared agenda can be most easily established (transport or tourism are very often issues of this kind). This can help to build trust and can pave the way to more systematic cooperation on other issues as well affecting the metropolis and municipalities in the hinterland.
- Independent facilitators / mediators may be used in the very beginning to enable initial break-through towards more cooperation which in the long run can lead to integrated cross-border programmes and projects.
- Tangible projects in mutual interest should form the basis for further cooperation. These early 'wins' can also build trust, reduce competition and suspicion.
- Over-sophisticated and ambitious arrangements and aims in the very beginning may result in set-backs and even complete collapse in collaboration. It may therefore be advisable to start with straightforward arrangements and projects.

³ The INTERACT network has addressed the question of cross-border cooperation intensively and has produced a number of recommendations on the topic: cp. INTERACT publications in the background literature and resources list.

- The metropolis needs to commit considerable energy to demonstrating that the major city will not simply exploit other municipalities in the region. The variety of roles that different municipalities play in a regional context - and municipalities' respective advantages (or disadvantages) - need to be clarified at the beginning of joint activities. It may be necessary for the larger city (with greater resources) to support smaller municipalities in achieving these roles. In this respect, written agreements and agreements on objectives have proved to be useful.

3.1.3. Enabling integrated approaches: capacity building and awareness raising

> Ensuring the right skills and knowledge

While some of the arrangements described above comprise a kind of 'on the job training and awareness raising' for cooperation and integration, supportive concrete capacity building policies are necessary to achieve integrated governance. It has to be ensured that professionals and experts have the right skills to deliver innovative and integrated decisions. New training fields have to be opened to overcome 'professional segregation', and to go beyond narrow and sectoral views based on 'compartmentalisation' of expertise.

- **knowledge and experience exchange:** Exchange of good and best practice can be used - for example in training workshops - to build inter-sectoral capacity and to overcome barriers. This opens organisations to new methods, ideas and tools. It demonstrates that other solutions work, because they are being used by other people. International exchange of experience - for instance in the Metropolis network - can also support this perception.
- **communication and dissemination of (research) results:** Setting up an 'information pool' providing access to project outcomes, academic studies and so on, helps to underpin development towards integrative objectives and projects. A main point of emphasis should lie in disseminating instruments and approaches in order to react to major challenges.
- **training:** Regular workshops and further training activities can be used as ways of building inter-sectoral capacities. These training activities should not only include issues of good governance and management but also instruments and tools which are already available in fostering integrative decision making and implementation. In addition, deeper understanding of issues related to one's own professional skills must be conveyed. It can be helpful to include other stakeholders in the training process, too, in order to get a broader view of the subject. In cases where benchmarking tools and indicator systems are used to support and monitor integrative decision making and implementation, it is essential to obtain, through further training activities, acceptance and a common understanding on their use. A crucial issue for Integrated Urban Governance is public participation, i.e. communicating with residents. Training in this field should, for instance, incorporate communication and mediation skills as well as skills in organising and steering processes in which many stakeholders are involved.
- **job rotation:** Job rotation is used in some cases to promote vertical and horizontal working relationships. It is a reasonable and supportive instrument if the bureaucratic culture of a country supports this approach. In some countries multidisciplinary professionals are highly valued, whereas in other countries specialisation is considered more desirable. As personal careers depend on these different cultures and on one's ability to deal with the culture, this instrument should be considered very carefully.

> Some instruments are not always suitable for all situations

› **Involving the public can contribute to more holistic views and insights**

3.2. The role of the public and stakeholder groups

3.2.1. Involving the public and other stakeholders of the civil society

Public debate and other means of public participation and cooperation⁴ can lead to more integrative policies and practice, due to the fact that the general public often perceives policies in a more holistic manner than do professionals. In addition, this procedure ensures that particular views and interests (those of local business communities, ethnic communities, low income groups etc.) are not omitted in the process of developing integrated programmes and projects.

One far-reaching instrument in public participation is a (local) referendum. This can enable public discourse about important and perhaps controversial topics and can bring about a final democratic decision which reflects the interests of a majority of inhabitants in a city or in one project area. Since local referenda are usually held on very specific questions, it is necessary to have particularly intensive public discussion. Otherwise there is a danger that the interests of minorities and 'endangered' groups may be ignored. The danger becomes less and less, the smaller the area or more specific the question to be decided upon is (e.g. if a decision is to be made on a measure in a neighbourhood, which is voted on by the neighbourhood residents). A pre-requisite for holding local referenda is in any event relevant legal stipulations.

In any case, genuine public involvement can be seen as essential to:

- develop and deliver programmes effectively and efficiently,
- build public confidence and trust in decisions,
- generate a greater understanding of issues, concerns, priorities and solutions,
- build broader support for programmes and initiatives,
- increase mutual learning through sharing information, data, experience and lessons learned,
- reflect a wider range of public concerns and values in decision making,
- help to identify possible controversial aspects of an issue rapidly, help to bring together different points of view to achieve consensus in a collaborative manner.



Public participation in Mexico

In this way public participation can support and enhance policy integration, lead to better performance and reception of implementation activities, and thus enhance public trust and confidence in political decisions.

› **The scope of participatory decision making needs to be made clear in the very beginning**

There are, however, several pre-requisites and general conditions for achieving these benefits:

- The limits of participation have to be clarified from the very beginning. Such limits relate to legislation (legal accountability, for instance) and legal framework conditions in a particular country. Thus, what an individual partner in a participation process can contribute to a project depends on legal rules and requirements. In the end it is the municipality that will be required to take a clear decision.
- To guard against endangering future participation processes and generally speaking to develop a 'culture of participation' it is absolutely necessary for decision making to be transparent. At the conclusion of a participation process, decision makers need to give reasons for their decisions and make clear why specific outcomes of the proce-

⁴ for principles by which to identify stakeholders, organising meaningful participation processes and for concrete tools and instruments cp. chapter 4.1

› Participation leads to increased mutual understanding

have been incorporated into a programme or project and other outcomes have not been included.

- At the beginning of a participation process, NGOs, associations and interest groups, and individuals residents too, often act on the basis of particular interests. These frequently conflicting interests need to be mediated if the whole process is intended to be of benefit. Mediation needs appropriate skills and often an independent facilitator or mediator.
- There is always the risk that key individuals (leaders in the community), powerful interest groups or groups who may be familiar with participation procedures can dominate the participation process. Again, guidance and process steering is essential.
- On the other hand, some groups of citizens are often not included in participation processes. Depending on the cultural situation in a society and / or the concrete programme and project, these 'hard to reach' groups may consist of women, ethnic groups or migrants, for instance (for more details cp. chapter 4.1)
- Participation processes may reveal conflicts between personal individual interests and overarching societal aims and values. Participation does not absolve the municipality from a responsibility to balance conflicting interests, to protect minorities as well as majorities and to ensure equal treatment of all citizens. Again, transparency, but also legitimised leadership, is essential.
- It must be the goal of public participation that inhabitants can influence how programmes and projects are designed and that they can improve their competence and thus also their capacity to make themselves heard. It must be the goal that inhabitants can organise and determine their affairs themselves, so that they can assume more responsibility for their own problems and the problems of their neighbourhood (empowerment).

Info box 3.5: Kuala Lumpur - Public participation in drafting the Structure Plan 2020

In Malaysia, public participation is a requirement as stated in planning law. Town and Country Planning Act 1976 and the amendments require public participation in the process of preparing development plans (structure plans and local plans) in Peninsular Malaysia (except Kuala Lumpur); in Kuala Lumpur, it is stated in the Federal Territory Act of 1982. Development plans guide the location of development with criteria based policies. The public has the right to know and participate in making decisions, particularly in those decisions which potentially affect the communities in which they live and work.

In Kuala Lumpur the methods of 'public exhibition' and 'public hearing' were applied after the first KLSP draft was prepared. The exhibition was held from 10 March to 9 April 2003. The public was invited to inspect and submit written objections to the draft plan within 49 days by using public objection forms provided. Objections filed by the public comprised views, suggestions, recommendations, comments and information.

Besides the public exhibition and the hearing, the City Hall had also given special briefing to a number of organisations based on request. The city also organised road shows and workshops and uploaded the draft plan to the Kuala Lumpur City Hall web site for public inspection. There were 945 objections listed in 258 objection forms submitted by individuals, government departments and agencies, educational institutions, professional bodies, elected representatives, political parties and other organisations.

Dasimah Bt Omar, Oliver Ling Hoon Leh (2009): Malaysian Development Planning System: Kuala Lumpur Structure Plan and Public Participation. in: Asian Social Science, Vol. 5, No. 3

3.2.2. Involving the business sector

Including the business sector may take place at a variety of levels and in varying intensity. If business people or business representatives are included as stakeholders in participation and cooperation, the principles listed in the previous section apply.

Public Private Partnership

In the past thirty years, all over the world a type of cooperation in exercising municipal obligations has become generally accepted: the Public Private Partnership (PPP). This specific form of cooperation may offer a number of advantages for local authorities:

- using know-how in the private (business) sector and improved service delivery,
- improve cost effectiveness,
- reduced public sector risk,
- faster project delivery,
- improved budget certainty,
- better use of assets.

However, these potential advantages are in contrast with disadvantages which may run counter to integrated government approaches:

- Private industry pursues commercial objectives and profit interests which generally speaking can only with difficulty be reconciled with holistic municipal objectives and the public or common good.
- Often PPP projects are not being carried out in the central fields of local authority tasks and day-to-day work. This leads to an information and know-how deficit for municipal compared with private sector players. Thus the result is an asymmetric partnership in which local authorities have difficulty in implementing their control and regulatory duties.
- In PPP projects the interests of other stakeholders apart from the immediate and contractually-stipulated partners are generally not taken into account. Thus a holistic approach is rendered more difficult and often prevented.

› Control and direction needs to be in the hands of local authorities

It follows that if PPP is to be an element in Integrated Urban Governance, it needs to be very carefully arranged. In every case the final control and direction needs to be in the hands of the local authority. Insufficient financial resources on their own are not a satisfactory argument for this type of partnership.

For specific tasks in social and spatial development, PPP approaches may nevertheless be sensible, if they are an integral part of a canon of other measures and activities. In this way it is possible to avoid or at least reduce the potential disadvantages of PPP with respect to Integrated Government approaches (cp. chapter 4.2.3).

Public Social Private Partnership

A further development in PPP in the context of international development work, Public Social Private Partnership (PSPP), is increasingly being applied in municipalities as well. PSPP is suitable in particular in the health, social and educational fields. Some of the risks with respect to Integrated Governance approaches which may stem from traditional PPP can, in this context, be avoided or at least diminished.

Possible partners for municipalities in terms of this approach would be socio-economic enterprises and non-profit organisations. Of course, socio-economic businesses also act out of profit motives. However, these can only be achieved if the organisations focus

➤ **Social enterprises often have aims similar to local authorities**

their products in accordance with the needs and living conditions of their clientele (in the PSPP field usually disadvantaged people and groups). As a result of this orientation towards social products and services, the congruence between private commercial interests and the interests of local authority players which are obligated to the public or common good would be greater than in a PPP situation. The potential disadvantages of PPP can thus be minimised.

3.2.3. Political and administrative decision makers: the role of leadership

All the steps and arrangements described above need strong political support and the commitment of political and administrative decision makers. Leadership is essential:

- Integrated Urban Governance requires first of all the *political will* to support change, better development and decision making that are close to the living conditions and requirements of inhabitants.
- Secondly, it needs a *holistic view* of society.
- It requires commitment, but also patience and - last but not least - it needs *people*.
- Integrated goals, incentives, administrative adjustments and new instruments need to be developed and to be accepted by those working in the 'machinery'. *Communication* is therefore essential.

➤ **Leadership - giving direction and orientation**

Leadership means the ability to give an organisation a new direction or orientation if or when this proves to be necessary. It has two dimensions:

- The first element is to pick up new insights and challenges, to seize opportunities, to weigh up but also to take risks and prepare the way for new ways or courses of action.
- In the second aspect what is important is to obtain support and to bring about understanding and motivation, thus enabling necessary changes to take place.

➤ **Political commitment and ownership is essential**

In this context, sustainable changes cannot be brought about only on the basis of a position of power. Decisive political leadership is needed to shape the debate on how to take Integrated Urban Governance forward. Clear political commitment to integrated common goals, leadership and communication of this commitment are important to support elaboration of strategies and subsequent action. The commitment should come from the top: this is particularly challenging, given the potential for conflict among various interests, both in the public and private sectors and in the 'inertia' of organisations. Leadership therefore has to address problems that result from a 'bunker' mentality and from a reluctance to cede decision making.

Trust in politicians by the administrative level and in their trustworthy visions of working towards good governance is essential. Administrative personnel are responsible for authority actions vis-à-vis the inhabitants and need to show the way to the future. Urban governance must as a first priority deliver agreed and transparent solutions. By means of continuity and transparency in political and administrative actions it is possible to increase confidence in 'politics'.

➤ **Political leadership requires open communication**

On the other hand, political decision makers need support and frank and good advice from professionally trained personal in administrative bodies. Political leadership is thus a mutual process between politics and administration based on clear and open communication.

The following questions can give hints as to where political action and leadership is necessary:⁵

- Are there common overall goals for the future development of the city?
- Are there problems that cut across disciplinary and departmental borders? How are these problems linked to overall common goals?
- Are there adequate structures in place to solve cross-cutting problems and /or to reach common goals?
- Is holistic thinking well established in the minds of planners and other administrative personnel?
- Are pioneer activities, creative thinking and approaches encouraged, rewarded and disseminated? Are follow-up activities stipulated?
- Is there a clear commitment at the highest level to formulating and implementing integrated objectives and strategies?
- Has this commitment been effectively communicated to the various sectors of the respective administrative body?
- When gaps exist between administrative and political agendas, are specific efforts being made to bridge them?
- Is leadership expressed through a sequence of priorities over time?
- Is government maintaining a sense of urgency, despite the longer-term nature of most issues in respect of Integrated Urban Governance and related projects?

The most important pre-requisite for comprehensive political leadership in cities is, it must be said, that these cities on the basis of national legislation also have a mandate to take their own structural and investment decisions. Absence of the principle of subsidiarity and lack of decentralisation represent major hindrances in respect of Integrated Urban Governance.

3.3. Transferring good practice - to what extent can policies and instruments be transferred?

Learning from practice employed in other cities and exchanging experience are important instruments in further development of integrated governance strategies and projects. Despite the wealth of examples around the world, the challenge is to distinguish between case studies and examples that are indeed good or best practices and those that do not fall into this category. What is presented as good or even best practice is not always a successful experience in the long term. To assess whether a city can benefit from innovative approaches in other cities, it is therefore necessary to evaluate

- whether that particular experience is indeed (and not only on paper) successful,
- whether the experience or project addressed the same problems that need to be solved in one's own context,
- whether the experience or project is transferable to another city,
- whether the city on the 'receiving' end has the capacity to implement practice of this kind.

When considering transferability it is important to recognise that policies, practices and lessons learnt can be transferred, including general ideas, philosophies, analytical models, policy or legislative frameworks, policy goals and instruments, programmes, projects or administrative structures. In general, transferring lessons learnt, general ideas or philosophies represent the least demanding type of transfer, whilst transferring administrative structures and legislative frameworks is the most demanding.

⁵ by analogy with and supplemented from: OECD (2002): Improving Policy Coherence and Integration for Sustainable Development - A Checklist

Fig. 3.1: THE TRANSFERABILITY MATRIX

		similarity of framework conditions, culture, challenges etc.	
		low	high
complexity of the "product" to be transferred	low	successful transfer is possible with additional input	successful transfer is possible
	high	transfer not or hardly possible, success unlikely	successful transfer is possible with additional input

A one-to-one 'transplantation' is not possible in any case. A series of constraints and pitfalls exist. Many of these relate to diverse cultures, values and political and administrative practice in different countries. A few examples are given below:

- The degree of success of cross-sectoral working groups and other forms of cooperation depends, for example, on the division of responsibilities within a government (horizontal) and between levels (vertical). Education and cultural differences also influence success.
- Use and roles of certain professional instruments, such as impact assessments, monitoring etc., depend also on the administrative 'culture' and practice of a city - and are again rooted in the education system.
- The process of public consultation and participation is influenced by the extent to which citizens are accustomed to being involved. In this context the role of NGOs can hardly be underestimated.

The following pre-requisites can help to anticipate the degree of problems and success one can expect from transferring innovation. In general, the fewer conditions that are fulfilled, the more difficult it will be to learn from practice elsewhere:

- the unique nature of the initiative being transferred,
- availability of sufficient financial and personnel resources and legal instruments,
- similarity of institutions in the 'model' and in the recipient location,
- complexity of the initiative being transferred,
- scale of changes that the initiative will cause,
- the extent to which the initiative in the model and the recipient location are related to one another,
- similarity between the values of decision makers in the model and the recipient location.

Some simple questions⁶ can be used as a first step in deciding whether a particular socio-spatial practice can be transferred and/or adapted to one's own situation:

Technical and organisational questions:

- Is the specific element in the best practice to be transferred clearly defined?
- Is the quality and quantity of human resources sufficient to implement the transfer successfully?

Social and political questions:

- Does the transfer have the broad-based support of the community?
- Does the transfer have the support of key community leaders / stakeholders?

⁶ by extension from: UNDP & UNCHS (1998): Guidelines for Transferring Effective Practices: A Practical Manual for South-South Cooperation

- Does the transfer have the support of local government decision makers?
- Does the transfer require changes in legislation, policy or institutional frameworks in order to take place?
- If political change at city or district level is foreseen, will this change affect the long-term success of the transfer?
- Have issues of vulnerable groups (such as immigrants, in some countries, women) been incorporated into the transfer?

Economic questions:

- Can resources be secured for the transfer?
- Can resources be secured to follow up and ensure long-term sustainability of the transfer?
- Are funding and accounting mechanisms transparent?

Environmental and contextual questions:

- Are there special social, economic or environmental considerations that could make the transfer difficult?
- Can potential environmental or social impacts resulting from transfer be addressed?

Cultural questions:

- If technology or management systems are involved in the transfer, are these appropriate to local conditions or how can they be substituted?

> Exchange of experience is crucial

Success in transferring examples of policy and practice can be increased by following basic rules. They should be taken into account before beginning to transfer. Exchange of experience is - again - crucial. The better one knows the situation of the model location, the greater success can be expected:

- Make realistic comparisons with peers.
- Take institutional differences between the 'model' and 'recipient' city into account, including subtleties. Minor institutional differences can have a major impact.
- Activate domestic champions who can use their networks, but do not push these people.
- Draw inspiration from a variety of sources, both for learning purposes and to create room to manoeuvre in bargaining processes.
- Be sensitive of and tolerant towards uncertainty and ambiguity: outcomes in such processes are always unclear at the beginning.
- Derive inspiration from general ideas / action programmes rather than from legislation, this allows for more creative and flexible adjustment.
- Show agility in creating a sense of urgency.
- Anticipate why and how certain actors may react to new policies.
- Operate regularly in trans-national 'communities of practice', absorb ideas via multilateral learning, increase appreciation of the relative value of one's own institutional system and the range of options foreseen for improvement.
- Communicate using examples taken from successful cities having achieved visible and concrete results, rather than trying to promote abstract ideas such as 'policy integration'.

Info box 3.6: KAAKBAY - Transferring practice through peer-to-peer coaching in the Philippines

KAAKBAY means 'arm-in-arm'. This is an approach in peer-to-peer coaching and in learning as capacity development methodology and to replicate exemplary practices in local governance.

A KAAKBAY project normally involves two or three local governments aiming to transfer specific exemplary practice. As a first step a 'Peer-to-peer learning workshop' takes place in the city where the exemplary practice has been implemented. During this visit participants learn about the key steps in implementing the practice; the success factors and difficulties in implementing it; who are the key stakeholders and how they contributed; what to avoid; how long it takes to implement; and what are the main benefits in implementing the practice. Finally, a work plan is developed identifying how to implement the exemplary practice. The project provides technical assistance and monitors implementation of the replication project.

An evaluation of the programme shows that there are several pre-requisites for successful transfer of urban practices.

In the host city:

- documentation of the exemplary practice
- participation of enterprising and innovative persons in the host city to spearhead learning transfer
- willingness and commitment in the host city to share experience

In the recipient city:

- presence of expressed need
- political will and commitment by stakeholder as manifested by a willingness to share resources
- need for champions and advocates
- creating a multi-sectoral implementing structure / team
- identifying a core project team to oversee and monitor the progress of the project
- issuing policy instruments

During the process of implementation:

- availability of institutions and resource persons to facilitate the learning process
- developing tools and guidelines, or use tools in order to facilitate learning and exchange of ideas
- adapting rather than adopting: transfer must involve not only transferring solutions or models but also transferring the processes themselves
- integrating monitoring and evaluation process into programme implementation
- cultural considerations: local circumstances are characterised by considerable diversity, for example, in terms of political and institutional arrangements, in terms of cultural conditions, social and economic conditions, local capacities and so on. Thus adaptation of the tools and processes according to local culture and ways will be very helpful.
- celebrating small successes too: encouraging implementers as well, in order to sustain their commitment and encourage leadership participation in the process

› **Overcoming certain barriers is difficult at local level, making it all the more important to eliminate those barriers which can be overcome by cities themselves**

3.4. Overcoming barriers

Many barriers to Integrated Urban Governance are not specific to one country or city but are common to most countries and cities. Many of the barriers relate to the 'inertia' in any institution. Differences in problems being faced and in barriers preventing greater integration are often of a quantitative rather than qualitative nature. Some barriers are, however, more common in countries which have been facing tremendous political and economic changes during recent years.

Various general types of barriers can be identified:

- The legal framework often proves to be a hindrance for policy integration. This not only applies for requirements of laws - which are normally sectoral - and liabilities, but also to limited decision making power for cities in some countries. This applies, too, for decisions beyond administrative city boundaries. There are few cities where a legal framework supports cross-boundary decision making.⁷ In addition, national laws on different but related topics often prove to be inconsistent.
- As long as the need for Integrated Urban Governance (and for holistic thinking) is not socially accepted common knowledge, there is always the danger of backsliding due to political changes. As a result, government or governance concepts may be abruptly changed and new, often completely different objectives may be set. Frequently, for example following elections, not only political but also administrative decision makers may be replaced. In this way continuity and transparency in transformation processes, and also in individual measures and projects, are endangered.
- Administrative bodies tend to work in an independent and fragmented way with relatively narrow mandates and closed decision processes. They normally function in a rather hierarchical way that simplifies internal administrative processes and control. Innovative changes are often considered disturbing and as causing additional work loads. In addition, distribution of responsibilities in cross-sectoral processes are considered unclear.
- Incentive and promotion systems are adapted to this hierarchy. Careers and salaries, for instance, often depend on formal factors such as the number of subordinated officers, budget size etc., rather than on cross-sectoral results (which are much more difficult to measure).
- Related to the above is the fact that some policy fields are often considered (from the economic and financial point of view) to be more important than others. Consequently, transport department budgets are, for instance, normally much higher than those of other departments. Departments which are financially better endowed tend not to feel inclined to share their competences and resources (for example, via 'joint budgets').
- Professionals are often trained in a sectoral and specialised way. Multidisciplinary approaches are rather rare in tertiary education, particularly in technical subjects.
- While sectoral mechanisms, instruments and tools have been developed and used frequently over years, multidisciplinary and cross-sectoral means have not been developed to the same level.
- Data, information and monitoring systems, even for sectoral issues, are poorly developed in some countries, thus their usefulness for cross-sectoral decision making and implementation processes is even more limited. In addition, new systems have to be developed for the purpose of Integrated Urban Governance - a challenging task for cities where even sector-oriented systems are insufficient.
- In a number of countries there is no tradition of 'long-term' planning. Plans are usually made for four, five or maybe six years into the future. This is due to administrative and technical difficulties, to intervals between elections (legislative periods), to changes of government etc.
- In some countries municipalities only have very limited autonomy with regard to decision making and often have few independent financial resources available to them.

⁷ as it is the case in Mexico State for instance, cp. chapter 2

- Socially-oriented political models directed towards equitable conditions of life are not deep-rooted to the same extent in all places and in all countries. However, it is precisely socio-economic and socio-spatial problems which require holistic, i.e. integrated approaches.
- Public participation is an essential part of Integrated Urban Governance. In many cases, however, it is very difficult to reach specific groups (for example, immigrants without a legal status or owners of unregistered buildings), or to activate some of the stakeholders, if 'interest gaps' in a community are too big. In several countries, property registration and ownership, for instance, are at least unclear, diverging interests and claims represent serious barriers.

Overcoming some of these barriers is hardly possible at local level. Nevertheless, many of the mechanisms and steps outlined in this manual can mitigate, minimise or even abolish the consequences of these barriers.

However, other barriers can be abolished at local level, often needing time and patience. And - again - political will and support is essential. The following reflections may help to consider and anticipate the consequences of political decisions in the direction of more integrative approaches:

- Introducing cross-sectoral working groups and other forms of cooperation, new promotion and incentive systems, such as cross-sectoral budgets, can lead to more integrative professional thinking and support a change of traditional administrative cultures.
- Training, exchange of experience (on good and best practice) and other forms of capacity building can also play an important role. This has the ability to change people's minds and practices.
- Legal and financial frameworks for political and administrative practice should be changed wherever possible to support policy integration. Networking with other cities can help to lobby at regional or national level for more favourable legal and financial conditions.
- Public participation leads not only to potentially better and more accepted practice. It can also contribute to a societal debate on values, urban policies and overall targets. Barriers to and hindrances for participatory approaches need to be minimised.
- In this respect, but also in the political and administrative context, the costs and benefits of policy integration (compared with sectoral policy making) need to be closely examined and disseminated.

Info box 3.7: OECD tools of policy coherence can help to overcome barriers

- commitment by political leadership is a necessary precondition to coherence, and a tool to enhance it⁸
- establishing a strategic policy framework helps ensure that individual policies are
- consistent with the government's goals and priorities
- decision makers need advice based on a clear definition and good analysis of issues,
- with explicit indications of possible inconsistencies
- the existence of a central overview and co-ordination capacity is essential to ensure
- horizontal consistency among policies
- mechanisms to anticipate, detect and resolve policy conflicts early in the process help identify inconsistencies and reduce incoherence
- the decision-making process must be organized to achieve an effective reconciliation between policy priorities and budgetary imperatives

⁸ It might be commented that a pre-requisite for commitment is a legal mandate to take decisions.

- implementation procedures and monitoring mechanisms must be designed to ensure that policies can be adjusted in the light of progress, new information, and changing circumstances
- an administrative culture that promotes cross-sector co-operation and a systematic dialogue between different policy communities contributes to the strengthening of policy coherence

In addition, in its checklist on “Improving Policy Coherence and Integration for Sustainable Development” OECD outlines criteria for successful policy integration:

- common understanding of sustainable development
- clear commitment and leadership
- stakeholder involvement in decision-making
- adequate management to ensure the use of the diversity of knowledge and the scientific input to problem solutions

OECD (1996): Building Policy Coherence: Tools and Tensions

OECD (2002): Improving Policy Coherence and Integration for Sustainable Development - A Checklist

04

ORGANISING INTEGRATED PROJECTS: TOOLS AND INSTRUMENTS

In planning and implementing integrated projects there is a number of tried and tested measures, tools and instruments available. They will be described in the next sections and can be categorised in the fields below (Fig. 4.1).

Fig. 4.1: FIELDS OF MEASURES IN INTEGRATED PROJECTS

public participation	political and organisational arrangements	capacity building
<ul style="list-style-type: none"> - information phase - participation phase: giving input and participation in decision making itself - implementation phase: participation in implementing a project 	<ul style="list-style-type: none"> - framework strategies and long term planning - administrative arrangements - fiscal tools and instruments - indicators, benchmarking and monitoring 	<ul style="list-style-type: none"> - capacity building for public stakeholders - capacity building for private stakeholders / civil society

4.1. The task: vertical and horizontal integration - who and what is important?

Cross-cutting projects require integrated approaches. Identifying in the very beginning of a project those people, groups, departments and institutions who have a legitimate interest and can potentially contribute to developing and implementing a project is essential for success. As Integrated Urban Governance has a vertical and a horizontal dimension as well as a dimension beyond administrative boundaries, stakeholders must be identified across these different dimensions. In order to do justice to the associated challenges in this context, there is no solution merely to plan and implement projects in such a way that all conceivable interest groups are involved by means of complicated organisational forms. It is crucial to make the correct choices, and the stakeholder analysis can assist in this respect.

As the situation differs from city to city, it is only possible to outline a model picture for this:

> Identifying the right stakeholders is essential

Horizontal dimension (on the level of a municipality, a district administration)

- Which other departments and disciplines are affected by potential measures?
- Which other departments and disciplines can potentially contribute to the project?
- Which policies, which political commissions, committees or councils are affected?

Vertical dimension (other tiers of governments)

- Is a government / an administrative body on a different level (region or district for instance) affected? Which departments at this level are affected?
- Can other government levels potentially contribute to a project?
- Are there legal regulations or mutual agreements requiring that other levels must be involved?

Beyond administrative boundaries (other municipalities; private and business sector, civil society and social and community sector)

- Are other municipalities affected or can they potentially contribute to a project?
- Which stakeholders and stakeholder groups / representatives outside the public sector are affected?
- Which stakeholders and stakeholder groups / representatives outside the public sector can contribute to a project?

Stakeholder identification

Potential stakeholders in the non-public sector are

- individual people in an affected community or neighbourhood,
- spokespersons of a community,
- citizens' action groups and NGOs,
- non-profit associations and societies,
- commercial and business umbrella organisations,
- companies and firms.

The following questions can help to decide whether there is a potential contribution to developing a project and implementing measures:

- To whose benefit will the potential outcomes of a project be?
- What interests exist? Do these interests suggest the project will be welcomed and supported or will there be opposition and resistance?
- What information, knowledge and expertise is needed? Who has it?
- What other resources (financial or in-kind) are needed? Who has them?
- Whose decision / approval is needed?
- Are there legal requirements for including specific stakeholders?

In many cases it is not sensible to include all potential stakeholders in the development or implementation phase of a project. On the basis of the questions mentioned above, the following matrix can be a tool for making a decision on who needs to be included:

Fig. 4.2: INFLUENCE-INTEREST MATRIX¹

	high influence	low influence
high stake	most important stakeholders, inclusion is a 'must'	important stakeholders (in socio- spatial projects most important); need for empowerment in the course of a project
low stake	useful for formulating and 'brokering' opinion	lowest-priority stakeholders, informing them is sensible

The initial stakeholder analysis does not lead to results that are carved in stone. In many cases there will be a need to include additional stakeholders in the course of a project while others retreat. The basic principles and decision making tools for stakeholder inclusion are relevant in a later phase of the project as well.

Adequate project management needs to ensure balanced representation and that all relevant stakeholders are included. Relevance, however, refers not only to the questions mentioned above, it refers also to gender and social justice. There are, for instance, social groups and members of these groups whose power and ability to formulate their interests is constrained. Including them is certainly a task of good governance.

¹ UN-Habitat (2001): Tools to Support Participatory Urban Decision Making, p. 24; supplemented by the author

Mobilising stakeholders and residents

Mobilising the general public in deprived areas is often a very challenging task. Generally speaking classic-type public participation procedures reach those residents' groups which have a special connection to the area or those who are dependent in a particular degree on capacity to function and quality of living locations. These are for example socially stable families with young children or those who are active in citizens' action groups or committees. In disadvantaged neighbourhoods, high levels of fluctuation, frustration about one's own situation, distrust of 'politics' or politicians and a proportion of residents who have, due to personal problems, retreated into an 'inner isolation', make activating residents to assume responsibility more difficult.

> Mobilising stakeholders needs communication, patience and transparency

- **Mobilising stakeholders needs communication:** Right at the outset the potential advantages and the anticipated outcomes of a project need to be communicated, opportunities for residents to influence development need to be made clear. Often it is a good idea here to include well-known and accepted figures in the community. In some instances small financial rewards have been made available as encouragement to become involved in the project.
- **Mobilising stakeholders needs patience:** Frequently it will not be possible right at the beginning to include all the relevant stakeholders. That is why during the course of the project, too, not only outcomes and interim results but also difficulties arising need to be communicated. Often groups can be reached after some time has elapsed, when the first positive project results can be seen, when fears of getting into contact can be appeased and it has become evident that residents really can exert some influence.
- **Mobilising stakeholders needs transparency:** Motives and reasons for a project and for individual decisions in the course of the project need to be quite evident and comprehensible. Hardly anything is more damaging than the impression that a project is (in addition) serving purposes other than those which have been postulated, that specific interests of individual groups are being served and that this is contrary to one's own interests.

4.2. Involving the public

Public participation is a core element of Integrated Urban Governance. The main advantages and pre-requisites of this approach were discussed in chapter 3. As regards integrated projects in disadvantaged neighbourhoods and in working with socio-economically deprived people, additional aspects need to be stressed:

> Involving deprived people needs the creation of trust

- In particular where these sections of the population are concerned, frequently there are - though marked in different ways depending on the particular country - reservations and distrust with regard to government institutions. Successful participation processes can play a part in reducing these reservations and in encouraging appreciation of the logic and complexities of local authority actions. In this way there is also greater acceptance of measures among the local inhabitants.
- Daily contacts between these sections of the population and other social groups (and vice versa) are as a rule very restricted and are limited at most to (hierarchical) contacts in an employment context. By means of participation procedures on a partnership basis, fears over coming into contact may be broken down and an appreciation of interests and situations in life of other sections of society may be built up. By this means, conflicts in the project areas may be diminished and it may become easier to implement the measures.
- Even more than is the case for other sections of the population, participation procedures have a part to play in increasing empowerment and self-reliance in inhabitants of these neighbourhoods. This means not only that resources are set free for the project, the neighbourhood as a whole can be re-vitalised and strengthened.

> Participation may lead to more realistic approaches

- Conditions of life, values, points of view and experience of political and administrative decision makers differ to a far greater extent from the population in disadvantaged neighbourhoods than is the case with other social groups. As a consequence, decision makers lack a vital basis for planning - awareness of the social environment in the neighbourhoods in question. Public participation may lead to more realistic and better decision making and planning and also makes impact analysis for these decisions easier.

Public participation may be divided up into three fundamental phases:

- information
- taking part in decision making
- taking part in implementation

In fact - particularly in the case of larger and longer-term projects - these phases often mesh, overlap and both mutually affect and stimulate one another.

In the greater majority of instances, it is not advisable for administrative bodies to proceed to the information and participation phase of a public participation process with no fixed expectations at all. The problem analysis, objectives and potential measures ought to be elaborated in advance, so that they can be introduced as suggestions during the participation process. By means of public participation, additions, possibly changes in prioritisation and new project ideas may be developed.

> Including all relevant disciplines can help to identify potential conflicts well in advance

In the course of the (internal) initial provisional project planning it is crucial to include all specialist discipline bodies concerned, all the departments and official bodies. In this way, holistic proposals can be made available for the public participation and a number of potential conflicts can be identified well in advance.

The fundamental goal in all public participation procedures and methods described in this chapter is to:

- provide political and administrative decision makers, experts and members of administrative bodies with additional information, point out problems and possible solutions which in day-to-day administrative 'business routine' may easily be overlooked or which are not (currently) captured due to the absence of adequate instruments and knowledge;
- adapt the objectives of a project and the measures to be as close as possible to the needs and the circumstances of the inhabitants concerned;
- acquire allies in implementing measures, build up network structures and partnerships which will be essential both for the success of the project in question and also in developing future programmes and projects.

> Public participation is a management task

Public participation is thus in essence a management task as well:

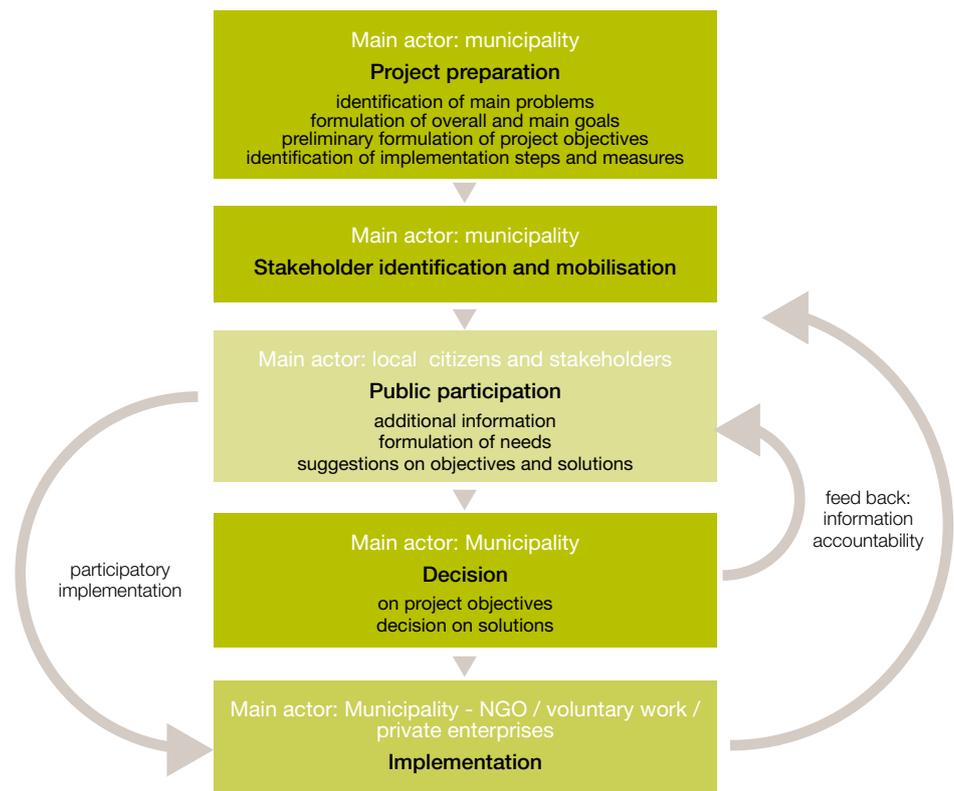
- It must guarantee that outcomes, interim results and other items of information are brought to the attention of all relevant players both within and external to administrative bodies.
- It must maintain contact with people, organise and facilitate their cooperation and play a part in solving conflicts.

Even if it is frequently sensible to outsource these tasks at least in part to external experts or project offices (not part of municipal administration), nevertheless, supervision and responsibility for the public participation process must be in the hands of the authority.

Info box 4.1: Five principles of public participation

- including all relevant stakeholders
- dialogue on a partnership basis
- full, complete, clear and comprehensible information
- transparency in discussions and decision making
- feedback information and accountability

Fig. 4.3: IDEAL TYPICAL PROCEEDING IN A PARTICIPATION PROCESS



4.2.1. Public information

Ways and means by which the public is to be informed should be planned as early as possible and be fully integrated into the whole process of project management. The idea thus presents itself to notify the city press and public information department right at the outset and to draw up a joint public information strategy. Proceeding in this way may also help in drawing up items of information which are understandable for non-experts too.

In order to provide public information, various ways in a variety of combinations can be used:

Internet and mobile technology

On the city web site it needs to be possible to find all the vital information about the project as well as associated topics or themes. Updates on the project should be documented as well. It is also advisable to post dates of public participation meetings as well as minutes or reports of meetings on the internet.

› Information on the internet should be easily approachable and up-to-date

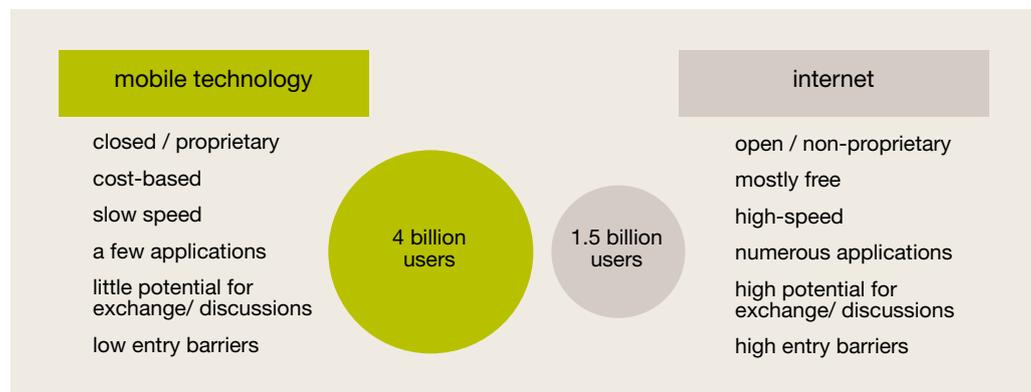
Very often interested people find they have to ‘click’ through any number of other pages, in order to arrive at the information they are looking for. Attention should therefore be paid towards ensuring that the internet site is easy to find and laid out so as to be easily understandable. It needs to be ensured that information is always up-dated and that the date and time of individual items of information and postings are stated.

The internet is the simplest and least expensive method for informing the public. However, - in particular for social area projects - it has considerable limitations in many countries. It is precisely the principal target groups for projects of this kind who frequently do not have internet access, cannot read or do not speak the official language of the country. Public access (multi-lingual) internet terminals may help in this respect. However, this is not sufficient as the only public information method and moreover presumes that the required infrastructure is available.

If this is the case, then the internet and public access terminals offer advantages during the later progress of the project in giving up-to-date information, in participation procedures and possible further training measures (e.g. for voluntary workers).

Mobile phones are increasingly being used for information and service delivery, too.² In many countries the proportion of people owning a mobile phone is significantly greater than those with internet access. However, this technology is more limited compared to the internet as far as scope, size, depth and presentation of information are concerned.

Fig. 4.4: E-GOVERNANCE AND M-GOVERNANCE TECHNOLOGY



Source: UNDP 2010 (supplemented by the author)

Info box 4.2: Recife - Public internet terminals - information and training

“One example is the Citizens’ Network in Recife. Founded in 1993, it was Brazil’s first ‘freenet’, and allowed citizens to access pricing surveys for Recife’s supermarkets as well as public spending plans. Five public Internet terminals, most of which were housed in libraries, served as points of access and provided some computer training to poor children and school teachers. Some of the trainees went on to contribute to a website on Recife’s history and culture. The Citizens’ Network has since grown into a massive revitalization program called Porto Digital.”

A. Albernaz (2002): The Internet in Brazil: From Digital Divide to Democracy? p. 6f

² cp. J. Hellström (2010): The Innovative Use of Mobile Applications in East Africa

Brochures and leaflets

At the outset of a project all the essential information can be presented in a summarised form in a brochure or a leaflet. Depending on the (physical) scope or size of the project, an information document of this kind may be distributed to all households or put out for people to take away at particularly frequently visited places in the city.

In principle, the content of information documents of this kind closely resembles information which is being made available on the internet. However, as a general rule it needs to be more brief. In common with the internet, written information may possibly not reach all the members of the target groups.

Information meetings and events

In meetings or events open to the public, information may be provided about the initial situation, the objectives and how the project is to progress in future. Meetings of this kind are in particular suitable for projects with manageable physical or population size. In the case of larger projects meetings may be held in physical sub-sections.

This general type of gathering can also be used as an instrument during the decision phase of a project. However, the danger is that in completely open meetings such as these, specific groups and interests may be over-represented (cp. on this point the stakeholder analysis, chapter 4.1). For this reason, generally speaking in preparing the background for a decision or for making a decision itself on the whole more specific forms of meetings are used.

> The venue of meetings should be chosen carefully

The venue for the meeting should be selected carefully, so that those who want to take part are deterred as little as possible. In particular for projects where initially it may be anticipated that quite major conflicts may emerge in discussions, often a 'neutral' location is more suitable than for example the City Hall. Schools, community centres, parish halls or even sport centres or grounds might for example be considered.

In the same vein, it may be a good idea not to have members of the municipal administration heading a meeting, but to have someone well-known who is not from public administration. This applies in particular to meetings or gatherings for the purpose of decision making.

An information meeting or event of this kind should be very well planned, notice should be given at an early stage (for example by means of posters and in the local media), and any use of specialised vocabulary or terminology should be avoided. In any case, the outcomes or results need to be documented and made available to a wider public.

Public exhibitions and posters

Another possible way to provide information about a project is to portray the project, its objectives and possible measures as an exhibition or posters. It can be planned as a travelling exhibition. This is to be set up where local inhabitants get together and meet as a matter of course (a shopping centre, post office, city hall, public library etc.). Local fairs, sporting and other events also present good opportunities.

As is the case with other written information methods, consideration must be given as to which sections of the target groups can be reached in this way.

Local media

For purposes of public information it is absolutely essential to include local media, whether this is local print media or local television or radio broadcasters. Media have an important part to play in forming public opinion and awareness raising. However, in local

> The media are important in raising awareness

media organisation there are seldom experts who have addressed the subject matter of the project in an intensive way. For this reason, the journalists in question need to be informed right at the outset about the substance and objectives and regularly supplied with current announcements and items of information.

4.2.2. Public participation in the process of decision making

There is a wide variety of possible methods of public participation. They range from local (neighbourhood) area 'Round Table' meetings via chaired working groups on a wide variety of topics through to city-wide forum meetings in which very diverse target groups and institutions or organisations are represented. In the sections below, various possibilities of participation will be described which are particularly suitable for social and spatial projects.

Questionnaires / public opinion surveys

In order to acquire indication concerning possible problems and assessments from the general public, a written questionnaire is also suitable. It can be distributed prior to the project beginning as far as possible to all the households in the area concerned. Its results will be incorporated into the further elaboration of the project.

Round Tables

Setting up a 'Round Table' is primarily appropriate for discussing specific topics in the course of a project with a manageable number of people at regular intervals and to arrive at an as far as possible mutually acceptable consensus. There should not be more than about 25 to 30 people taking part. The results of each meeting should be recorded in minutes and these made available to all participants in good time before the next meeting. In contrast to the 'public meetings' described above, participation in a round table is usually restricted or at least remains relatively constant over the entire period when the project is running.

One particular form of round table is an advisory committee which possesses formal decision making powers as well, and sometimes also competence in financial budget decisions. Since this is a formal instrument during the implementation phase of a project as well, these committees will be discussed in section 4.2.3.

Residents' workshops / planning workshops / future workshops

By means of public workshops it is possible during one whole day or over a weekend to work intensively on specific subject-area questions and have discussions. In this context also it is necessary to issue invitations in good time and to the general public. It is a good idea to set up working groups which work either on a topic or with a particular physical area context. These workshops need to be very thoroughly planned and prepared so that they can produce constructive results. The outcomes will be documented and subsequently made available to those who took part and to interested members of the public. Generally speaking, any resident can take part.

In particular in the early stages of a project (or of a programme too), it is conceivable to hold a future workshop as a public participation procedure. In its ideal form, such a workshop would be structured as follows:

- **Phase 1 - preparation:** the method, rules and the scheduled course of the workshop is introduced.

> Workshops should be thoroughly planned to produce constructive results

- **Phase 2 - criticisms/complaints:** in this phase criticism and negative experience on the topic can be expressed. It is not an analysis, but rather is laying the background on which further work can take place (e.g. ways of improving a local area or neighbourhood). During this phase local authority bodies have an opportunity to find out what were the effects of their activities so far in the project area or in a field of action in the past.
- **Phase 3 - fantasy/utopia:** in this phase what is at issue is to improve the situation as it has been up to that point. Creativity and utopias are what are needed and should be left completely open by the discussion leader or other participants (remarks such as “But that’s impossible!” are forbidden).
- **Phase 4 - practical considerations/implementation:** in this phase the two previous phases are brought together. What is intended is to evaluate which of the measures are of greater priority and can be realised. Since the question of realisation depends on many factors - for example, on legal requirements - it is in particular in this phase a good idea to include experts.

In addition to these forms there is a number of other procedures such as for example Open Space. This method is designed for (very) large groups and in common with the future workshop, it is directed towards developing creative and imaginative solutions. Only in a second, but necessary step these are subjected to the test of practicability.

Info box 4.3: Open Space - a method to involve many people

Open Space is a meeting framework that allows unlimited numbers of participants to form their own discussions around a central theme (revitalising a neighbourhood, for instance). Though Open Space events have no pre-determined agenda, there must be an overall structure or framework. Minimal elements of this framework include: opening, agenda setting, open space and conclusion. During the open space session, discussion groups take place. Topics and themes for these discussions are provided by participants in the course of the event. Participants as a general rule chair these small group discussions too and ensure that the outcomes or results are recorded.

There are some basis rules for these discussion groups:

- Whoever shows up is the right person.
- Whatever happens is the only thing that could have happened.
- Whenever it starts is the right time.
- When it’s over, it’s over (no pressure of time).

For those suggesting a discussion theme and leading an open space talk:

- Come up with an interesting topic and title for your discussion.
- You don’t need to develop these before the conference; most of the ideas will come to you during the event.
- Place the topic on the schedule.
- If you see topics that have something in common, consider combining them into a single time slot.
- If a significant number of people want to attend your discussion and another discussion in the same time slot, try to arrange another time slot to ensure maximum dialogue and participation.

The advantage of all these approaches is that knowledge and creativity in the general public are given space, without scruples hampering innovative approaches to solutions right at the inception. For local authority bodies these procedures have amongst other things the advantage that administrative people are enabled to free themselves from traditional, specialist discipline-based patterns mind-sets.

City and citizens' forums

Citizens' Forums are committees consisting of generally 20 to 25 members who are selected randomly and (sometimes for some remuneration) are tasked to elaborate decision making support on specified issues. For this purpose participants receive the information they need from experts on the subject. The results are brought together in a citizens' assessment and presented to the general public as well as to the local authority. Another form which is more strongly oriented towards expert views is the City Forum. These consultative bodies are composed of permanent members who emanate from all the relevant specialist disciplines in urban development and from important stakeholder groups in the municipality. Topics in the City Forum are usually more general and of a more strategic nature than are those in the Citizens' Forum and address over-arching questions within urban development.

Neighbourhood study walks

As part of a neighbourhood study walk, a group of up to 25 people can look at and discuss on the spot particular problem complexes or approaches to solutions. A neighbourhood study walk should take place on the basis of a pre-determined route and should not take longer than two to three hours. A text and photographic documentation of the walk may subsequently be placed on the municipality web site for instance and thus be made available to a wider public and for other participation procedures.

E-participation and M-participation

Public participation by means of the internet (e-participation) and by mobile technology (m-participation - generally via SMS and other mobile phone services) is being increasingly practised. Via an online dialogue or moderated internet discussion, a very wide variety of topics can be discussed and the outcomes provide important suggestions for the particular administrative bodies concerned. Standard mobile phones can barely enable discussion of this kind. However, they are being increasingly used by members of the public for brief information items (e.g. an invitation to a meeting) or to give 'feedback'. For both of these participation instruments the provisos referred to above also apply (cp. chapter 4.2.1). It is absolutely necessary to combine co-decision via internet or mobile phone with other forms of participation. This is true in particular in areas where there is a high level of illiteracy.

> **Citizens' forum and committees run alongside projects and suggest policies**

> **Participation and information via internet and mobile phone should be combined with other forms of participation**

Info box 4.4: São Paulo - Using the Web to Expand Citizenry

"One of Brazil's oldest and most comprehensive telecenter projects can be found on the outskirts of São Paulo, in one of the poorest and notoriously most dangerous areas of the city. Sampa.org ... has become a model for other telecenter programs which have opened subsequently. The project combines the efforts of city government ... local NGOs and private companies (including Microsoft, Lexmark and the Internet service provider 3Com) to not only provide free Internet access and informatics courses but to reshape democracy at a very grassroots level. In July of 2000, it opened ten telecenters in Capão Redondo, a favela located far from the city center. Capão's telecenters are located in well-established community centers,

including a human rights office, and two youth recreation centers. They are staffed by community members, some who worked in the centers before and others who were taken on as interns, who have been trained and receive a stipend... While the majority of users are between 13 and 17 years of age, the centers attract residents of all ages (including the three percent who are over 60). The most common uses of the Internet are to send and check email, look for work, find sports scores, or for help with homework... Through the portal, readers can find news from Capão Redondo as well as from non-profit groups working in the São Paulo area. They can also participate in the participatory budget process that began in the city in 2000, and obtain free email accounts.”

A. Albernaz (2002): The Internet in Brazil: From Digital Divide to Democracy? p. 12

Info box 4.5: Berlin - Moderated on-line dialogue on urban issues

The City of Berlin has instituted discussion forums on various urban planning projects using the internet as a base, with a professional moderator. One example for this form of participation is the on-line dialogue about the Berlin Culture Forum. In the area which is known by this name, close to Potsdamer Platz, at the time when Berlin was divided into two cities several eminent cultural institutions were located here - for example, the Philharmonic Hall, the National Library and so on. Nevertheless, the present urban planning situation in the area is not satisfactory. Important elements in an landscape planning design dating from 1998 were not implemented, some sub-areas remain which are not attractive from the urban planning and function point of view. There are deficiencies in the sphere of ancillary facilities such as shops, restaurants and cafés. A design plan was commissioned by the Senate of Berlin which formulated essentials and elaborated sample designs. These are to be understood as hypotheses, which were tested in the course of the further planning and decision making process.

This work was paralleled by the Culture forum Dialogue (in two phases) on the net, by means of which members of the public were able to advance critiques of planning proposals and contribute their own suggestions to discussions. Discussions were evaluated and to some extent incorporated into subsequent planning ideas.

This method was also applied successfully in other projects - such as planning for alterations to the Berlin Wall Memorial Site at Bernauer Strasse which commenced in 2006. In this way over 300 suggestions and comments were assembled and some were incorporated into the planning and design. In this project in the form of a public meeting a procedure was applied which in principle might be used when planning or designing a space: The ‘visual connotations’ originated by means of reference images regarding questions such as ‘What sort of character should this place have?’ or ‘What design should there be?’ Voting on the questions took place using mini-remote control devices during the meeting. The procedure could in principle be applied on the net as well.

<http://www.kulturforum-dialog.de>
<http://www.berlin.de/mauerdialog/>

Info box 4.6: Future Melbourne - the community's vision for the management, development and direction of Melbourne to 2020 and beyond

In order to achieve the goal of making the centre of Melbourne more worth living in, to make a more dynamic and sustainable design and to maintain a balance between competing interests in the course of urban development, the Municipal Strategic Statement (MSS) came into being. MSS represents a long-term strategy for growth and development of the municipal district and is designed to guarantee optimum design and also optimum management.

The basis of this statement is provided by the goals in the 'Future Melbourne 2020' plan. Anyone has an opportunity to take part in the planning process in the form of a wiki, to become acquainted with the plan, to improve the plan by altering it directly, to make comments on it and to discuss it as well as contributing to short stories about future scenarios.

<http://www.futuremelbourne.com.au/wiki/view/FMPlan>

4.2.3. Public participation in implementing projects

Non-public stakeholders may be included in an implementation phase in many and diverse ways. The spectrum ranges from decision making about allocation of financial resources (cp. chapter 4.3.3) via self-help measures right up to public-private-partnerships.

Self-help and voluntary work

It is precisely in regeneration areas and socio-spatial projects where this type of public participation is used. It ranges from organising and running street and neighbourhood parties and festivals, through taking care of providing social tasks (e.g. care of the elderly and of children, help with school work etc.) up to constructing and maintaining infrastructure features. There are several examples where voluntary community groups have created recreation facilities, libraries, community halls, provided street cleaning, fire protection, security patrols, undertaken refuse collection, tree planting, have built and maintain play and sport areas, parkland, streets and paths, cleaning roadside gutters and drains, providing bus shelters and many others.³ In addition, very often NGOs provide social services such as child day-care, foster care, care for the sick, rehabilitative services, family crisis centres, women's shelters, youth centres, family planning advice, legal aid for the poor etc.

Often NGOs or self-help groups have been active in a neighbourhood even before a municipal project started. Their activities should be incorporated into the project, thus strengthening not only the municipal activities by making use of others' experience but also strengthening NGOs and self-help groups by giving some kind of 'official approval' of their work and possibly providing additional resources, as they are part of the larger picture.

³ cp. chapter 3 and RegGov (2009): Public-Private Partnership in Integrated Urban Policy

› Using local resources and voluntary work strengthens the sense of citizenship and ownership

Considering volunteering as an altruistic approach, intended to improve the human quality of life, is to perceive only one side of the coin. People also volunteer in order to gain skills. Moreover, volunteering helps to build more cohesive communities, to foster greater trust between citizens and to develop solidarity. These issues are essential to stable communities.

Empowerment should be the motivation for promoting activities by voluntary groups and NGOs - and not in the first instance that of saving municipal financial resources. As a matter of principle the question should be considered that any funds and resources which were able to be saved through self-help activities are to be used for additional activities in the project area. Hardly anything is more damaging in motivating volunteers and NGOs and for relationships between the local authority and the residents than the impression that politicians and local authorities are trying to avoid the obligations to carry out tasks at the expense of the inhabitants ("Give us your efforts, we can spend the money on other things.")

Sponsoring

Sponsoring is used not only by larger companies, but more and more by smaller firms as well. Typical areas of activity include sports, arts and other spheres of entertainment and culture. Sponsorship may be in cash or in kind. There are - in fact in regeneration areas as well - examples for sponsoring even property. The return for the sponsor is the exploitable commercial potential associated with the property. In many cases, however, sponsorship motives are not straightforward commercial but are more of a good-will type in order to create a good reputation and to enhance the sponsor's public profile relatively cheaply.

Public-private-partnerships

The interest of the private sector in investing in deprived neighbourhoods and in regeneration areas has been (and still is) limited for several reasons:

- negative image of a neighbourhood,
- expectation of low rates on investment return,
- perception of bureaucratic grant or funding regimes,
- lack of information and weak market signals,
- low standards of property and infrastructure,
- characteristics of the labour market,
- social factors, crime and lack of security.

In view of these barriers it is of decisive importance that local government policies are put in place to encourage investors to become involved in deprived neighbourhoods and regeneration areas. Investment risks need to be diminished, the barriers mentioned above reduced. PPP which is included in other measures to improve the area may be the method of choice. First of all, by means of other regeneration measures 'soft' investment obstacles are counteracted. Then the municipality is able in a PPP project to put in place financial incentives without surrendering its regulatory function. There may for example be reduced taxes and property prices, or it may be that plots of land may be made available without charge (in exchange for future shares in the profits). Incentives of this nature depend to a major extent on the legal and fiscal situation of the particular country concerned.

In most cases it is easier to activate social enterprises. Their goals concur generally speaking to a far larger extent with the objectives or goals of a regeneration project (cp. chapter 3.2.2)

So far PPP shows a definite focus on technical infrastructure. This includes transport, water, waste disposal, hospitals, schools, public housing and other activity fields. In most of the cases it is major projects which are involved, which frequently are out of the question for deprived neighbourhoods. Nevertheless, there are a number of examples from areas like this. In some of these cases it were not private investors, but the local communities themselves which were involved by means of specially set-up companies or cooperatives:

› Encourage private investment and entrepreneurship

- Low-budget supermarkets and other shops can benefit from the fact that provision of services of this kind in the neighbourhood is minimal. If the project runs successfully they can count on growing demand. In addition, enterprises like these create jobs and income.
- Small enterprises such as for example groceries, bakeries, tradesmen's businesses and repair shops frequently find better conditions in deprived areas, especially at start-up, because often there is little or no competition.
- Social organisations such as health and (elderly) care centres, educational establishments and so on improve conditions of life in the neighbourhood. In the majority of cases these are operated by social enterprises as PSPP projects.
- Some regeneration areas are characterised by their geographical location or by their ethnic composition. In this situation it is conceivable that projects may be initiated in conjunction with private companies in tourism. This can help to counteract the negative image of these areas and highlight the contributions made by the various ethnic cultures in making the city an interesting and attractive place to live in.
- Telecommunication and IT service companies can benefit due to the fact that even in the most deprived areas many residents have access to or are prepared to spend money on (mobile) phones and internet. Such services can help to enhance competitiveness in these areas and help to attract additional investment.

› **Agreements with private investors need to be worked out accurately**

On any account the municipality needs to answer the crucial question as to how a PPP project is - and remains - integrated within the strategic overall planning and how control may be retained over the process (cp. chapter 4.2.2). Agreements with private investors need therefore to be worked out very accurately. Often special purpose vehicles are set up for PPP projects where the municipality has a stake.

In order to guarantee that the project is integrated into strategic overall planning, it is advisable to include potential PPP partners in the participation procedure at an early stage. In this way they can first of all integrate their interests and points of view into the overall project and gain information about whether their plan can be realised in an economic way. On the other hand in this way commitment for the strategic objectives of the neighbourhood project can be strengthened. Possible disadvantages of PPP for regeneration projects can be reduced in this way and the potential advantages may be realised (cp. chapter 3.2.2).

In participation procedures in which the municipality, communities and private industry are all integrated, each of the partners will be charged with different tasks. The most important of these tasks may be ascertained in the graphic display below:

Fig. 4.5: ROLE OF DIFFERENT PARTNERS IN A PARTICIPATION PROCESS



4.2.4. Conditions for success

Successful public participation procedures depend on a wide variety of factors. The most important principles will be described below.

Continuous and partnership-based dialogue

The objective of any public participation process needs to be the constructive dialogue between the general public, administrative bodies and specialist experts. In this context, the variety of interests may be collected together and problems and possible improvement ideas recorded. The fundamental principle of any public participation should be that of transparency and openness. All those involved are to be aware of the parameters in which they are in fact working and what freedom of action for decision are available. The legal and planning conditions in which the development of measures and implementation are integrated have to be made clear.

Comprehensibility

One vital principle is that of comprehensibility: in this context experts, planners and other municipal employees are far too seldom oriented towards explaining their plans and considerations to an untrained public. Not many 'normal' members of the public are in a position to comprehend anything of the specialist technical terms at the beginning of a public participation process. In many cases, lay persons are unpractised even in reading a city plan, not to mention something like a zoning or general building plan which is even often very difficult to understand for experts or technical personnel.

Contacts and exchanges of information within the municipal authorities

At an early stage, discussions must be started with all the specialist departments in the municipality and contact must be maintained with them during the entire public participation period as well. From the outset they are to be continuously integrated in all the steps of the public participation, or - as the very minimum - they have to be informed about the outcomes.

Conflict management

Due to the variety of interests, points of view and various main points of emphasis conflicts will arise in any public participation process. Lines of conflict may run between different sections of the population and stakeholder groups, between administrative bodies and the general public, between various specialist departments and public institutions or between administrative bodies and the political side. The basic aim of conflict management is to achieve balance among differing parties and seek lasting resolutions through consensus building and joint action. Tools and methods to achieve this include an analysis of the roots of a conflict, constructive dialogue, negotiation and (re)conciliation. Special attention should be paid to cultural aspects when dealing with inhabitants of other cultural backgrounds (immigrants, for instance) and to protecting marginalised and vulnerable groups. In the case of public meetings merely having as chairperson someone who is independent and does not belong to any of the stakeholder groups, may help to reduce conflict.

Incorporating political decision makers

However exemplary the public participation process may be, it is of little use if the outcomes are not taken on board by political decision makers and for example the funds required are not provided. Furthermore, it is important for residents involved to know

› **Transparency and openness is required**

› **Technical language should be avoided**

› **Independent mediators can help to overcome conflicts**

that the proposed measures which have been elaborated can be politically supported and carried through. Integrating politicians should therefore be an element of the public participation process from the beginning. This can be achieved for example by inviting political figures to public meetings or also by means of regular information about the progress of the participation process and giving interim results in the respective committees of the city parliament.

Incorporating all the relevant stakeholders

> Gaining the confidence of 'hard to reach' groups is a challenging but necessary task

Public participation procedures in which not all relevant stakeholders are incorporated generally produce unsatisfactory results and lead later to conflicts and a need to re-adjust the project. This may considerably increase costs and time. It is precisely in public participation processes in deprived neighbourhoods where there are often 'hard to reach' groups. They may be women, young people or also immigrants without legal status. Reaching them, speaking with them and gaining their confidence is one of the most important management tasks. In many cases government officials will not be able to do this. Persons who do not possess residence permits, for example, generally speaking avoid contact to 'public servants'. In order to incorporate these persons into the participation process it is a good idea to acquire spokes-persons or at the very least members of these groups as agents (cp. on this point chapter 3).

Creating networks

In order to increase the prospect that proposed measures will be implemented, after the conclusion of the co-decision process a network of actor groups should be retained, so that beyond the planning phase there can be a lasting structure and continuity.

Info box 4.7: Porto Alegre - 'Social sailing' as a tool to reach young people

By means of sailing courses, young people from a disadvantaged neighbourhood due to decline of fishing trade can acquire social skills and values are transmitted (teamwork, responsibility, punctuality, etc.). Supplementary activities, especially in the field of environmental protection, contribute towards ecological awareness raising amongst these young people. The project picks up from the way of life in this neighbourhood (former fishermen) and derives support from private means (e.g. donations of money and in kind).



Porto Alegre - sailing courses for young people from a disadvantaged neighbourhood

4.3. Political and organisational arrangements and instruments

Integrated Urban Governance and integrated projects require not only public participation but also new political and organisational arrangements and instruments. This enables in addition holistic thinking, analysis, solutions and cross-sectoral, inter-disciplinary cooperation and decision making. Several tools and instruments used in implementing projects are rather project-specific. Nevertheless, there are some tools and instruments which can be found in most projects and activities under review. They may be categorised under the following fields:

- framework strategies
- organisational arrangements
- fiscal tools, instruments and incentives
- integrated benchmarking and monitoring systems

4.3.1. Framework strategies

In several cities there are (politically accepted and approved) vision statements, framework strategies or long-term cross-cutting strategic plans⁴ in place which guide and support the development of integrated projects by

- giving guidance to the formulation of project objectives and aims,
- linking project objectives and aims to strategic long-term goals of the city,
- ensuring - or at least making it easier to gain - political support and resources for a project,
- changing views and attitudes of decision makers, administrators and municipal experts,
- (possibly) changing governmental structures and instruments (legal and financial for instance) in favour of integrated projects,
- facilitating communication and dialogue with other tiers of government that are needed to develop and implement a project,
- initiating a 'societal' or community discussion on values and aims of urban development in which the project is embedded.

In the majority of instances, framework strategies are the result of:

- recognition that even long-term sectoral visions and (master)plans can only lead to unsatisfactory solutions to complex challenges in municipalities and also to attrition loss with other fields of policy,
- experience of (stand-alone) projects which worked successfully due to integrated approaches,
- quite prolonged inter-disciplinary discourse within the fields of politics, administrative bodies and the general public.

➤ **Framework strategies should be developed at an early stage to steer and to lead projects and policies**

As a general rule, framework strategies are therefore not to be found at the outset of a shift towards integrated urban governance, but on the contrary require fundamental experience of the processes in advance. However, since these processes bring forward further elaboration of this kind of approach to a very considerable extent, local authorities should develop long-term strategies at as early a stage as possible. This is also a reason why the outcomes of integrated projects need to be disseminated throughout the municipality.

Successful framework strategies are characterised in the following ways:

- They formulate over-arching and cross-cutting objectives.
- They are not engraved in stone. Monitoring is one of the components, thus enabling the strategy to be further developed and elaborated.
- They incorporate external framework conditions and aim to elaborate solutions for challenges associated with these conditions as well.
- They provide an integrative way of looking at key topics and give indications and direction towards additional policy fields which need to be included.
- They initiate links to existing specialist planning and make attempts to achieve synergistic effects to these planning fields.
- They put forwards indications concerning new tools and instruments which need to be created.
- They establish spatial, time-frame and subject-matter points of main emphasis and priorities.
- They are constructed on inter-disciplinary cooperation, cooperation between administrative bodies and with the general public.

Info box 4.8: Berlin - The Socially Integrative City framework strategy

The fundamental objective in the City of Berlin's urban development policy is to ensure equality of opportunity throughout the city area. This goal can only be achieved by means of integrated and integrative urban development policy.

The Berlin City Government decision in 2008 concerning 'Fundamental principles of socially integrative city (district) development' provides for implementing these principles in the specialised planning work and measures on city and district level. The principles came into being in a cross-sectoral and multi-level working process with the purpose of elaborating a city-wide, cross-sectoral framework strategy for socially integrative urban development in Berlin.

One crucial element in this strategy is that of networking in the local community. This means a new prospect direction in planning: the (former) target-group oriented specialist direction will be expanded to include a physical or spatial direction with special focus on social situations in the locations. Neighbourhoods are now the cross-sectoral field of action and are to include interest groups and players in the area. The strategy has its point of departure in the needs, opportunities and resources of residents and their social world life.



The crucial set of instruments in the framework strategy where decision making processes are to be re-defined consist of networks, exchanges of views and experience, communication and interdisciplinary work within and between all departments.

Monitoring socially integrative urban development has identified five large areas which represent highly complex problematic neighbourhoods. In these areas,

termed 'Action areas plus', the Regional Government and local authorities are concentrating their activities, with the aim of upgrading social and spatial and urban structure development and to open up improved future prospects for the residents. The field of education and training is the first priority in this respect, in order to open up new perspectives and prospects in particular for young people.

http://www.stadtentwicklung.berlin.de/soziale_stadt/rahmenstrategie/index.shtml (German only)
a short English version is available: http://www.stadtentwicklung.berlin.de/soziale_stadt/index_en.shtml

Info box 4.9: Aleppo - The city development strategy

In 2003, Aleppo City Council took its first steps towards urban governance, through setting a work plan and decided to develop a strategy for the future development of the city up to the year 2025. This city development strategy (CDS) has been drafted in cooperation between Aleppo City Council and the German Agency for Technical Cooperation (GTZ) with support of the Cities Alliance.

CDS is a city vision and action plan for equitable growth of the city, developed and sustained through participation, to improve the quality of life for all citizens.

Aleppo CDS has identified the following five focal areas:

- Local Economic Development - focuses on strengthening local economic competitiveness and creation of new job opportunities.
- Urban Service Delivery and Disaster Management - contributes to better infrastructure delivery and disaster impact mitigation.
- Urban Environment - focuses on improvement of physical and visual pollution of the city environment.
- Urban Spatial Development - harmonizes strategic development options with the existing Master Plan.
- Administrative and Financial Modernization - deals with decentralization of administrative tasks and extended local responsibilities, improved urban management capabilities, resource collection, financial management, data collection and better access to information.

Three essential principles have been applied in development of the strategy:

- Local Ownership: CDS preparation is locally owned. Local stakeholders are the ones who prioritise problems and formulate the strategy. Foreign consultants have a role to play but are not expected to write the strategy. Instead, they assist through review and suggestions, position papers outlining alternatives, reporting on international experience and technical analysis.
- Participatory Analysis: Preparation of the CDS is participatory. A voice is given to the private sector.
- Implementation: Hand in hand with plan preparation is the establishment of an implementation capacity. This is not merely institutional capacity in the Municipal Administration, but the formation of local, domestic and international partnerships, alliances, cooperative agreements and networking that survive the planning period and assist in implementing CDS.

<http://www.udp-aleppo.org>

4.3.2. Administrative tools and instruments

Merging departments and units

That various subject areas have been combined in a department under one head is customary in almost all cities. However, frequently this combining of fields has been governed by party-political interests or closely related topic areas have been combined (departments for children, families and schools or education, for example). Many cities have for example brought together the environment and traffic/transport sections into one department with a single head. Experience in these municipalities has shown that - often following quite long 'teething troubles' - exchange between disciplines has been intensified, mutual understanding of other professional points of view and inter-disciplinary ways of thinking have been encouraged and the policy line of the organisation has become more consistent.

If implementing long-term strategies and realising many (coordinated) projects, merging departments may be the method of choice.

› Merging departments and disciplines needs thoughtful leadership

When departments are being merged, it is precisely in the initial stages that the head has a central part to play. Professional conflicts of objectives and views, and also all too human conflicts and demarcation disputes ('My special subject is more important for the future of the municipality than yours is') need to be addressed and reduced, so that joint cross-cutting policies and projects can be elaborated.

Integrated steering groups and bodies

Joint working groups between various departments usually have the same goals as above, i.e. those which led to departments being merged. However, as a general rule they do not have the same positive impacts on administrative culture. For individual projects they may be an adequate method of ensuring inter-disciplinarity.

› Interdisciplinary steering groups are appropriate and can easily be introduced

Several cities have introduced policy and/or project-related steering groups, or have even set up new administrative bodies. These could be new units within existing departments or even new departments that are responsible for integrated policies and for steering and advising other units and departments. Another form are new administrative bodies on district level which have been set up to ensure that integrated programmes of the city government are implemented everywhere in the city.

All these administrative groups and bodies have an interdisciplinary composition and an important steering role for specific programmes and projects. This eases approaching problem areas in a holistic manner, minimises conflicts between sectors and views, and enables potential conflicts which might arise in the course of a project to be anticipated. A second type of steering groups being put in place in some instances include members both of city administration and of civil society. In some projects, steering groups have been established with members drawn only from civil society. The range of decision making powers of these latter, however, differs widely - ranging from advisory functions to real decision making powers (with regard to fiscal means, for instance).

Neighbourhood or community management councils

These councils have steering and decision making functions in developing strategies and projects in rehabilitation areas. They evaluate project ideas and proposals (which have generally been produced by means of public participation procedures), prioritise them and often decide as well about using financial resources which have been earmarked for the neighbourhood. They also elaborate their own project ideas or proposals. In many situations the councils comprise representatives of the general public and of the

► **All relevant interests should be represented**

local authorities, sometimes also the political side. However, very often they are composed only of representatives of the non-public sector.

In setting up councils of this kind attention should be paid towards ensuring that all the important groups are represented - women as well as men, older people just as much as young people, immigrants as well as locally born people. It must be ensured that all the interests and needs of the residents can be taken into account.

In order to select council members, various different procedures are used:

- Stakeholder representative bodies (e.g. business/economic associations) and NGOs delegate members to the council.
- Public and other important institutions (e.g. schools) deputise members.
- Members volunteer to act on the council.
- Members are elected in the course of public participation/residents' meetings.
- Members are selected on a random basis (register of residents, 'telephone book method').

As a rule several of these methods are used in combination. Random procedures have the advantage that influential groups and individuals in the neighbourhood are not able to dominate the neighbourhood council as well and that the opportunity to take part exists for all the groups or sections. However, procedures of this kind are not able to be used - or only with great difficulty - in many cities and in particular in deprived areas, because the basis of data or information is not available to carry it out.

Neighbourhood or community management teams

► **Neighbourhood team premises should be located in the area in order to be easily reachable**

For operative tasks in a project neighbourhood, frequently on-the-spot teams are put in place. Members of teams are detached from local administrative bodies and / or acquired by means of a contract for services. In this context too it is vital that team members are brought together as far as possible from a variety of disciplines, that they have had adequate experience in the field of projects and can call on good knowledge of the neighbourhood. In neighbourhoods with a high proportion of immigrants it is important that the relevant languages are spoken or team members' own origins from the respective cultural backgrounds. The teams organise and coordinate project activities, inform residents about the project and are a first point of contact for the inhabitants. For this reason it is important that their premises can be easily reached and are situated in a place where a reluctance to enter is as low as possible. Thus, for example, the local or district town hall, which in some municipalities still even is tightly controlled and guarded, is not always a suitable location.

4.3.3. Fiscal tools and instruments

Joint budgets

Departments tend to defend their budget lines, which are generally allocated on a departmental basis. Spending on integrated projects may mean that one department bears considerable costs while the benefits accrue to another. This will lead to delays and inconsistencies in project funding. Some cities have therefore introduced earmarked budget lines or merged or shared budgets for integrated programmes and projects, which do not fall under the responsibility and control of only one department (or are under the control of new government bodies, that were set up for the purpose of integrated policies). In other cases existing funds (from national or regional governments) and budget lines have been merged with a focus on socio-spatial criteria.

These cross-cutting budgets are a 'collective' resource for those government bodies that are engaged in integrated programmes and projects.

Info box 4.10: **Joining funds for socio-spatial issues - the UK Working Neighbourhoods Fund**

The fund has been set up in 2008. This new fund replaced Communities and Local Government's Neighbourhood Renewal Fund and incorporated the Department for Work and Pension's Deprived Areas Fund in order to create a single fund at the local level. This fund includes a significant element of reward grant, which is paid to local authorities and communities which are most successful in tackling worklessness and increasing skills and enterprise levels.

The Working Neighbourhoods Fund is not just about money. It is about new ways of working. Local authorities have greater flexibilities to achieve the objectives which are most important to them and to local people. At the same time changes to the welfare to work programmes are ensuring that solutions can be more tailored to the needs of individuals and communities.

Department for Communities and Local Government (2010): The Working Neighbourhoods Fund (WNF) Scoping Study - Worklessness and how WNF is being used to tackle it

Neighbourhood or community funds

These funds are financial resources which are available to residents for measures in the project area or for specific tasks. Usually local residents' committees such as community management councils take decisions on how funds are allocated. In some cases decisions are taken in open public meetings. In other cases members of the public may put forward suggestions.

There is a variety of sources for these funds. They may derive from national support programmes, from municipal or urban district budgets, from donations or sponsorship. Often they are assembled from several sources.

> **Citizens decide on project funds**

Generally speaking the relevant administrative body makes stipulations as to the fields in which the funds may be allocated. In situations in which citizens' councils make decisions on allocation of funds, expenditure is generally limited to a certain amount per project. In the case of projects where the expenditure exceeds this limit, decisions are taken jointly by the authorities and the citizens' council.

Info box 4.11: **London - Neighbourhood funds in the Borough of Haringey**

For a number of years the London Borough of Haringey has allocated £50,000 annually to each of its seven neighbourhoods, to be spent on schemes put forward by residents and decided upon at meetings of the Neighbourhood's Area Assembly.

Local people are invited to submit proposals and neighbourhood officers work with the residents on costing and refining each project. All the projects are then displayed at the Area Assembly meeting, and residents vote on their preferences by awarding schemes 'stars'. The spending is formally signed off by the officer holding the budget but as far as residents are concerned, it is their decision. The scheme is very popular and attracts increasing levels of interest.

Projects supported by the Neighbourhood Fund in Haringey have included the purchase of equipment for youth clubs and the common areas of sheltered housing blocks; organising of events and community festivals; trips to a variety of destinations to suit different age and interest groups; purchasing playground equipment; installation of benches; sensor lighting in dark alleys; bollards to prevent pavement parking; the demolition of disused garages used for drug dealing and prostitution; and planting street trees.”

The Young Foundation (2008): Devolving funds to local communities. p. 8

Info box 4.12: **Jembrana - Community grants for education**

“The local government of Jembrana ... emphasizes on the efficiency of local budget management. The government involves the local community participation in executing local programs in education through the distribution of block grant to the community for managing the schools. The local community then developed their respective schools based on their needs, rather than local government plan. The result is significant budget saving for education. The saving is then allocated for subsidizing elementary and secondary schools. Nowadays, the Jembrana people can enjoy free education from elementary to high school, as long as they study at state-owned schools.”

UN (2005): Participatory Planning and Budgeting at the Sub-national Level. p. 59

Info box 4.13: **Property rights and investment in urban squatter settlements - the case of Peru**

“In 1996, the Peruvian government issued a series of legal, administrative and regulatory reforms aimed at promoting a formal property market in urban squatter settlements. Prior to the reforms, obtaining a property title for a Peruvian household was hampered by lengthy bureaucratic procedures and prohibitive fees. As a result, more than a quarter of Peru’s urban population had no formal property title. While the old process of acquiring a title was expensive and slow, the new process was virtually free and extremely rapid. Program implementation involved area-wide titling, in which project teams moved from neighborhood to neighborhood within cities. To receive a title, claimants were required only to verify residence on eligible public properties predating the start of the program ...

Property titles presumably increase not only the incentive but also the ability to invest by raising the collateral value of land. Indeed, past research indicates some improvement in the supply of credit for housing materials associated with the Peruvian titling program. Hence, it is feasible that the observed increase in the rate of residential investment is driven entirely by greater lending opportunities for titled households...

The collection of evidence presented in this analysis suggests that strengthening property rights in urban slums leads to a significant increase in the rate of residential investment. The magnitude of the implied effect is more than two-thirds of the baseline level...”

E. M. Field (2005): Property rights and investment in urban slums. Journal of the European Economic Association 3(2-3), p 279-290

Participatory budgets

This public participation process developed in Brazil and New Zealand is now being implemented in many municipalities both at municipal (city-wide) level and also in urban district budgets.⁵ Participatory budgeting enables members of the public to make decisions on some part of the expenditure and in this way to establish or at least to influence priorities in the case of investment expenditure. In some instances members of the public are involved not only in deciding what expenditures are to be undertaken, but also in deciding on municipal income (e.g. through municipal taxes).

The degree of influence and the extent of decision making depend on the public participation procedure selected, on the amount of budget funds which can be decided upon, and on whether the outcomes of public participation are binding or only of an advisory nature. Possible public participation procedures include:

- voting in writing (usually through the internet)
- putting forward suggestions in writing (usually through the internet)
- local district and open public meetings
- topic-based public forum meetings
- meetings of inhabitants' delegates (generally speaking elected by open public meetings)
- participatory budget councils (generally speaking elected by the delegates' meeting; comprises representatives from political and administrative fields)

> Participatory budgeting - a success story being adapted by many cities

Several cities only use one of these instruments. Often they only act in an advisory capacity with regard to decision making in city or urban district parliaments. In some municipalities however these procedures are put into practice in a graduated process (in time and from the point of view of range of decision making). In this context the influence of residents concerning budget matters reaches the highest degree. Proposals or suggestions originating from opinion surveys, public suggestion procedures, residents' meetings, neighbourhood area or thematically oriented forum meetings are selected and ranked for priority by the inhabitants' delegates. The Council is the direct interface between the other public participation procedures and institutions and the local government. It submits the budget to the political leaders of the municipality or of the urban district, It is a point of contact in the event of conflicts and coordinates the work of other public participation institutions.

One single referendum about budget questions does not constitute a participatory budget. What is decisive is that public participation is designed as a continuous process and that in the following financial year account must be given concerning the actual use of the funds. Only using this permanent procedure enables the advantages provided by a participatory budget to be realised:

- Municipal policy is more oriented towards the needs and problem situations of residents.
- Ability to engage in discourse and competence in solving problems amongst residents in the case of municipal issues increase, residents' awareness of costs increases.
- General acceptance of municipal policy and politics increase, dissatisfaction amongst residents declines. The legitimacy of municipal government is raised.
- Residents' commitment and willingness to act increases in other policy fields as well.
- Experience has shown that socio-political and socio-spatial questions are addressed with greater priority in participatory budgets and are accepted by all sections of the populations.

In this way participatory budgets provide the decisive advantage for projects in deprived neighbourhoods that the local authority make more resources available for projects of this kind and the projects acquire priority and added value as compared to other (usually sectoral) projects.

⁵ cp. for instance: UN (2005): Participatory Planning and Budgeting at the Sub-national Level

Info box 4.14: Porto Alegre - Participatory budget

In 1989, 'Orçamento Participativo' (OP; participatory budgeting) was first implemented and has been continuously developed since then. The cycle of the OP process begins in March every year, continues for ten months and then begins again the following year. In this process participation occurs at three levels:

Level 1: Public meetings take place in the 16 urban districts in Porto Alegre and 5 thematic forums meet to discuss city-wide topics (traffic and transport; health and social matters; economic development and municipal tax policy; education, culture and leisure; local authority organisation and urban development)

Level 2: district and topic-based meetings send delegates to delegates' meetings

Level 3: OP Council elected by the delegates' meetings

The public participation process encompasses complex interaction between these residents' meetings and committees and with municipal policy and the local authority in order to elaborate a draft budget. There are strict and inter-coordinated time allocations so that the budget can be adopted in due time. The priorities elaborated in each urban area by residents' meetings are transferred into a city-wide list and this, together with thematic project proposals and local authority priorities produces the first draft of the budget. The City Council can adopt the municipal budget if the OP Council agrees and the document is then translated by the city administration into a concrete investment plan. By using this plan members of the public can check out implementation, because each urban district is allocated in accordance with its priority list, number of residents and its need for investment specified by the local authority. In addition, the administrative body is obliged to cooperate with representatives of the residents' meetings.

B. Wampler (2000): A Guide to Participatory Budgeting

› **Benchmarking and monitoring are powerful tools to get new insights and to further develop programmes and projects**

4.3.4. Benchmarking and monitoring

Evaluation of the project process and its results is essential for success. It does not only control the delivery of objectives, it also helps to further develop and steer the project, to anticipate, detect and resolve conflicts, to identify resistances, inconsistencies and to reduce incoherence. Time frames and intervals of evaluation procedures have to be considered very carefully to achieve this. A second important precondition for effective benchmarking and monitoring is availability of reliable, up-to-date data and indicators, that describe cross-sectoral issues.

Benchmarking

Benchmarking is a powerful management and steering tool. It enables projects and processes to be evaluated in relation to best practice elsewhere and thus allows to develop plans on how to adopt such practice to ones own project. Benchmarking is often undertaken as a continuous task during the lifetime of a project in order to challenge its practices. The following steps are essential:

- identification of problem areas: this includes nomination of an interdisciplinary benchmarking team which is responsible for defining targets and issues to be benchmarked;

- identification of organisations and projects that are leaders in the identified area;
- definition of indicators and metrics for performance in the specific field;
- identification and analysis of performance gaps;
- definition of objectives and strategies to close gaps and enhance performance;
- development of an action plan to enhance one's own project;
- controlling progression and results.

It is essential to understand specific conditions of best practice cases in order to adapt benchmarking steps to one's own situation. The exchange and information process is therefore crucial.

Benchmarking can (and should) not only be used at project level, but at all levels of the integration process - from defining policies and strategies to implementation.

Monitoring

It is mandatory to use specific parameters and - if possible, quantitative - indicators for monitoring. These indicators must be cross-sectoral in order to measure and to enhance integration. Incorporating quantitative objectives into policy approaches not only eases development of indicators for individual projects, it also helps to ensure implementation of these policies.

In most instances it is sensible not to use individual statistical parameters (e.g. proportion of unemployed persons in a population) as indicator, but rather to compress several parameters into an index. Thus for example statistical parameters for unemployment rates, charity services, income and so on can be combined in an index of social status, whilst demographic data such as in or outward movements, birth rates and so on can be subsumed in a demography index. Using this procedure makes the required before and after analysis more understandable and easier to communicate, without preventing more detailed or closer examination of detailed data as required.

Geoinformation systems (GIS) are suitable as IT instruments in particular to manage and evaluate complex data such as are required in the majority of integrated projects. GIS consists of several different databases from various specialist departments, which can be overlaid one on the other as it were by transparent slides and thus combined with one another. In principle older databases can be linked with GIS and indices thus created. In this way it is possible to visualise complex information by means of maps. GIS thus enables not only project but also political decision making by means of indicating connections or links and furthers cooperation between specialist subject areas.

Info box 4.15: Phoenix - GIS as a basis for decision making

Developing a young people's social program in Phoenix provides a case study example of how GIS can be used. On the basis of data on juvenile crime rates, drug abuse, cruelty or abuse involving young people, school locations and other demographic, social, police statistics and infrastructure data, programs to date were considered with regard to effectiveness and new better targeted programs and projects were developed. Sensitive data are only available to persons who have authorisation to do this, whereas aggregated data are available to be accessed by all departments of the local authority.

In elaborating municipality-specific monitoring systems and parameters recourse may be drawn from experience in other municipalities. Existing indicator systems for sustainable, i.e. integrated development issues exist all over the world at different governmental

› **Qualitative indicators are often more appropriate than quantitative indicators to monitor socio-spatial processes**

levels. For instance, several cities have developed holistic systems of this kind to measure and monitor urban processes.

To adapt these systems to one's own situation and questions should not be a too difficult task, to make the necessary data available is, however, a challenge in many cities. In any event there must be a critical examination as to whether existing statistical data (and existing systematics for data capture) are adequate and sufficiently significant for the present integrated project. In every case it is better if there is insufficient quantitative data available to use qualitative indicators (which might for example be obtained by means of interviews), than on the basis of inadequate data to draw conclusions for development of holistic issues.

It is not uncommon for other departments of the municipality or even in private industry to have information and data available which can be used for the necessary monitoring system. For this reason too, cross-sectoral cooperation based on partnership is vital.

Info box 4.16: Monitoring and evaluation of integrated projects - obstacles and gains

- **Availability of data:** Necessary data are often not available in 'standard' statistical systems. This makes it difficult to understand the situation and needs of people in disadvantaged neighbourhoods and to evaluate project results. Every effort must be made to define and to collect these data. This can be time consuming and costs money - but it pays off.
- **Attitudes towards monitoring and evaluation:** Monitoring and evaluating a project is often seen as an additional workload, as an 'add-on' and a bureaucratic requirement that swamps the municipality with paperwork. Changing these attitudes is a learning process. The fact that these efforts pay off is often only seen during the course of a project. In addition, training and information courses can be offered (for instance on good practice examples and cases where these instruments have successfully been used).

Despite these obstacles the advantages of monitoring and evaluation do not need to be sought afar:

- **Improving understanding:** Reflection on quantitative and qualitative data helps to understand the situation in the project area.
- **Judging results:** Monitoring and evaluation direct project work and help to avoid the temptation to judge results through 'rose-tinted spectacles' but with an objective approach.
- **Further project development:** Interim evaluation results help to detect insufficient results and measures that can still be improved. Thus, the performance of a project will be improved for the sake of people concerned.
- **Motivation:** Monitoring and evaluation results can support personal affirmation and motivation. These 'side effect' advantages should not be underestimated particularly for projects in deprived neighbourhoods that require much time and patience.
- **Communication:** Integrated projects need feedback not only to residents but also to political decision makers - to those who decide on resources and further development of integrated urban governance. Monitoring and evaluation helps to assess questions that are related to 'value for money' and to the added value for the city.

4.4. Capacity building and awareness raising

Carrying out successful integrated projects involving a wide variety of people with differing professional and social backgrounds pre-supposes information and knowledge management. Target groups for this management are stakeholders from administrative bodies, civil society and economic sector. Basic information is to be provided equally to all these groups. Project-related knowledge platforms on the internet are suitable for this.⁶ Furthermore, consideration is to be given at who needs what specific items of know-how and skills, when and how these are to be acquired.

Many of the instruments presented in this manual contain elements of capacity building and awareness raising. Public participation for example is a mutual learning process. Many of the participation methods may also be used for training sessions. Benchmarking enables reflection and learning through examples of (better) practice in other situations.

4.4.1. Methods for capacity building and awareness raising in the public sector

Specific methods and objectives in capacity building and awareness raising for stakeholders of the public sector have already been discussed in chapter 3.1.3. Fundamentally, they can also be used in carrying out projects.

A further method - used with particular success at project level - is the peer review. This is an instrument used to further mutual learning experience. In this context projects and practices are evaluated by equally-placed colleagues from other municipalities (= peers), who adopt the stance of 'critical friends'. Peers come from cities of similar size, are being confronted by similar problems, are working in a similar environment and with similar means. Each peer is familiar with the topic of the project and contributes his or her own point of view and experience. Lessons learnt include the following advantages for projects:

- Peer reviews offer an enriching learning experience, by opening up opportunities to delve deeply into the particular subject material and to amass praxis-relevant experience in dealing with relevant problems in one's day-to-day project work.
- Peer reviews provide a forum for intensive exchange between individual practitioners who are examining and researching each others' practices and at the same time are called upon to reflect upon the situation in their own municipalities.
- Those people whose project is currently being reviewed are able to react more freely to questioning and recommendations given by their peers than would be the case with directions from a consultant or from a government representative who is more remote from every day reality in the project.
- Peer reviews provide new perspectives for the debate. The fact that peers as external players can take a neutral point of view of practices increases the credibility of the evaluation process.
- Projects acquire feedback validated by experts with regard to the practices and support in important areas - for example, in the form of new instruments.
- Peers possess a rounded and benevolent understanding of the local steering regulations and framework conditions acquired through their own work in a comparable context.
- Peer concentrate their attention in the first instance on practical measures which can be implemented in the short term.

> Peer review as a tool for mutual learning

⁶ concerning the limitations of this instrument: cp. chapter 4.2.1

Info box 4.17: Peer review with regard to integrating immigrants in European cities

Twelve European cities have adopted the peer review method in order to further develop integration policy and projects in their cities and have combined this with a benchmarking approach. The following working steps were used in the process:

- **Step 1:** Defining benchmarks and indicators
- **Step 2:** (as required) Training the peer review team
- **Step 3:** Initial report by the host city. The host city describes to the peers the context in which they are working and gives their own assessment vis-à-vis the individual benchmark indicators.
- **Step 4:** Desk review by the peers. Peers assess using the initial report on the work of the host city, formulate a hypothesis, decide what further information they need and who they need to talk to.
- **Step 5:** Peer review visit. Peers interview relevant municipal staff, political figures, stakeholder and local community representatives to test their original hypotheses and develop their assessment.
- **Step 6:** Making an assessment. Peers elaborate an assessment based on facts obtained during interview.
- **Step 7:** Feedback. At the end of the visit peers give a report on their central findings. They compile a full report and present this to the host city.

INTI - cities project (2009): Benchmarking Integration Governance in Europe's Cities



Integration in a globalising world - Berlin

4.4.2. Methods for capacity building and awareness raising in the community

> Training and education measures are necessary, particularly in neighbourhood upgrading projects

Community capacity building is a process seeking to ensure that communities gain influence, control and ownership over the regeneration processes. In the course of a public participation process various methods are applied which not only contribute to involvement and decision making but also to capacity building and empowerment. In addition to those methods described in chapter 4.2 often specific training and continued education measures are required in projects which are designed to upgrade disadvantaged neighbourhoods. In developing such measures, the wealth of knowledge, skills and expertise that already exist within a community must not be neglected or underestimated. It needs to be 'tapped' and utilised in a constructive way. Thus the content of such measures depends on answers to the following questions:

- Who is the target group of training measures?
- What skills and expertise already exist?
- What skills and knowledge are necessary to meet the project objectives?

In particular in the case of projects in disadvantaged neighbourhoods often 'win-win' situations may be brought about by means of further and professional training. On the one hand they work towards further developing and implementing the project. On the other hand they increase the prospects of those involved in the labour market. In particular during a project implementation phase training measures are very suitable. Often this is so to speak 'on the job training' - whether it is for example in renovating houses or in other measures to improve the local area. The crucial aspect in this context is that training of this nature must be directed by professional people/experts.

Info box 4.18: Bamako - 'On the job' training as integral part of a neighbourhood project

Unsanitary conditions, degradation in the environment, under-equipping in national sanitation services and population pressure are some of the most important dimensions in deteriorated living conditions in most areas of the Missira district of Bamako. Based on a survey of both the degree of environmental degradation and of dismantling of social bonds as a result of poverty, this project is designed to strengthen self-reliance, self-organisation and self-help. The approach has been supported by founding the "Federation for Malian Sanitation and Environmental Protection" (FAMAPE). Using mainly local resources (materials and labour) several physical improvements were achieved (paving streets, making playgrounds for children, sanitary infrastructure, tree planting etc.). Besides this temporary job creation, training sessions, better communication patterns and self-reliance in local citizens have been improved.

cp. chapter 2

Info box 4.19: Berlin - Training neighbourhood mothers - an approach to working with hard to reach groups

Many integrative projects in disadvantaged neighbourhoods suffer from the fact that some groups can barely be reached using traditional measures. Empowerment is thus difficult if not impossible. In the case of some Berlin neighbourhoods or districts, immigrants (and people with an immigrant background) are among these groups which are often referred to as 'hard to reach'.

Learning from Utrecht in the Netherlands, as long ago as 2004 the Berlin district of Neukölln started to train 28 neighbourhood mothers - all unemployed and most with an immigrant background. These neighbourhood mothers act as contact and resource persons for families and in particular for women in the neighbourhood (for instance by working in schools or by visiting families in their homes). The approach has been extended to other Berlin districts too. Around 180 neighbourhood mothers have been trained so far.

cp. chapter 2

4.5. How to decide on measures

Ways of applying measures described above depend on the project objectives, on the initial situation and on framework conditions. Furthermore, evaluation in chapter 2 of case studies taken from practice has shown that governance instruments cannot in practice be categorised in terms of specific problem situations. In other words, there is no recognisable correlation between problems and instruments used. It is therefore not possible to give specific instructions on when and at what point a particular measure is to be applied. However, it should be stated that integrated projects require measures from all those fields which were described at the beginning of this chapter (cp. fig. 4.1):

- public participation and involvement
- political and organisational arrangements
- capacity building

As a general principle only if this is the case can sustainable outcomes be achieved. The following matrix may help to make a selection from the wide variety of possible measures. Which matrix box a particular measure belongs to depends on the specific situation.

Fig. 4.6: DECISION MATRIX ON MEASURES⁷

	low	medium	high
1. range of metropolitan decision making	only little or no freedom to decide on a measure on local level	it is possible to use a measure, however not to its full extent on local / project level	it is possible to use this measure to its full extent on local / project level
2. potential to stimulate 'positive action', 'win-win' situations, innovation etc.:	the measure has little or no effect on positive results	the measure will have positive results	the measure will have positive results and will create synergies
3. availability	the measure is not available or is only available with high input of resources (time and money)	the measure is available with some additional input	the measure is available, is frequently used in other projects and experience exists
4. potential to change prevailing development trends and/or contribute to an 'integrative culture' in decision making	the measure has no impact on overall prevailing trends in the city (though there are positive results for the project itself) and does not bring about 'integrative culture'	the measure has some impact on overall policies and trends and contributes to an 'integrative culture'	the measure influences overall trends, contributes to an 'integrative' culture' and is part of an overall / framework strategy (and helps further development of this strategy)

⁷ Two examples of using this matrix:

Measure: participatory budget

Legal framework: budget decisions are taken at national level

1: low; 2: medium or high;
3: low (high effort to obtain exceptional ruling/permission); 4: high

Measure: questionnaire

Framework: survey in a neighbourhood with very high illiteracy rates

1: high; 2: low or medium;
3: medium (need for interviewers);
4: low

PICTURE CREDITS AND ACKNOWLEDGEMENTS

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THE PEP: CLEARING HOUSE - web portal designed to facilitate exchange of information and knowledge across the transport, environment and health sectors in the pan-European region and cities. (<http://www.thepep.org/CHWebsite/chtree.aspx>)

UN Habitat: BEST PRACTICES - database in improving the living environment (<http://www.bestpractices.org>)

UNDP: Local Government - web page with documents and cases of good governance (http://www.undp.org/governance/focus_local_governance.shtml)

US Office of Strategic Environmental Management: Public Involvement - web page with information, tool kits and case studies (<http://www.epa.gov/publicinvolvement/>)

Welsh School of Architecture: COST8's list of case studies - demonstrating various aspects of sustainability in the built environment, e.g., transport, energy, water and wastes (<http://www.cf.ac.uk/archi/programmes/cost8/index.html>)

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