

Commission 3 „Integrated Urban Governance“
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Keynote 1: Tools and Instruments for Integrated Urban
Governance

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Definition and dimensions of `tools` and `instruments`

„Tools and instrument“ are means

- (1) used by the different **actors** (political and administrative decision makers, citizens, NGOs, stakeholders, investors, experts, etc.)
- (2) who are **responsible** for, **affected** by and/or **involved** in
- (3) **processes** or **projects** of integrated urban governance
- (4) in order to exert (more or less) **influence** on
- (5) kinds and results of **problem definition**, **decision making** and **implementation** in integrated urban governance

Basic types of tools and instruments

- (1) organising responsibilities, structures, and processes
- (2) rules and regulations on rights, duties or behaviour
- (3) property rights (private, cooperative, public)
- (4) public infrastructure and services
- (5) financial incentives (positive or negative)
- (6) information
 - factual (facts, future trends, and their main causes),
 - value elements (preference, motivation, support or rejection, voting)

Some criteria for suitability of basic instrument types (1)

- leeway in metropolitan decision making:

small	medium	high
- property rights - regulations	- organising - financial incentives	- information - infrastructure

- degree of freedom for individual stakeholders / potential of stimulating 'positive action', win-win-situations, innovations etc.:

small	medium	high
- regulations - negative financial incentives - private property rights	- organising - cooperative property rights - infrastructure	- information - positive financial incentives - public property rights

Some criteria for suitability of basic instrument types (2)

- availability (mainly in converse to the scarcity level):

low	medium	high
- property rights - financial incentives	- infrastructure	- information - organising - regulation

- potential to change prevailing development trends:

low	medium	high
- private property rights - information - organising	- regulations - financial incentives - cooperative and public property rights - infrastructure	???

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An interim suggestion for the manual on integrated urban governance

Because:

- (1) there are **too many types and subtypes** of instruments,
 - (2) there seem to be broad **areas of overlap** and some degrees of **interchangeability** between different instrument types,
 - (3) eligibility of instruments at the metropolitan areas level depends very much on more or less binding **restrictions**, that are set **by national or state legislation**,
 - (4) **conditions and criteria** for suitability of instruments are many and varied, and may vary in different kinds of urban development problems and goals,
- we should not attempt a complete and deeply detailed survey of tools and instruments in our manual.

Instead we should

- (1) concentrate on a **limited number of key questions** for integrated urban development and
- (2) use short **case studies** to exemplify the impact of tools and instrument on solutions for the key issues.
- (3) find at least one case study for each of the six basic instruments.

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Proposed case study (1): instrument of 'organising'

(1) What kind of integrated urban development problem is to be solved?

- establishing a workable organisational structure for 'governing' medium and long-term development of the whole metropolitan area

(2) What actors are to be 'integrated'?

- in order to acquire information about and to influence the most important development trends, the spatial responsibility of the organisation should cover the complete metropolitan area
- all relevant (groups of) actors should be involved in exchange of information; in goal-setting; in decision-making; in financing

(3) What bottlenecks and limits to be overcome?

- limited leeway in the case of restrictive state regulations,
- dominant position of single large cities and/or specific groups of 'strong' actors
- decision-making structures are fragmented
- powerful conflicts of interests
- shortcomings/restrictions in financing, staffing, scope(s) of responsibilities

(4) Alternative solutions:

- more centralized organisational structures: territorial reforms, mergers, specialized development organisations etc.
- more decentralized organizational structures: planning cooperations, interurban agreements etc.

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Proposed case study (2): instrument of 'regulation'

(1) What kind of integrated urban development problem is to be solved?

- environmental, economic and social impact assessment for a large private or private-public investment project

(2) What actors are to be 'integrated'?

- investors, local communities, land-owners, inhabitants, state and/or municipal agencies around the (alternative) project site(s), NGOs
- all relevant (groups of) actors should be involved in exchange of informations; in decision-making; threshold level stipulations; compensation for disadvantages/loss etc.

(3) What bottlenecks and limits to be overcome?

- limited local knowledge, sometimes anxiety/ fear about the technical risks in the project
- little local influence on technical threshold values set by experts and state regulations,
- 'Strong' position of investors promising employment vs. 'weak' position nature conservation, cultural heritage etc.

(4) Alternative solutions:

- various: ranging from 'zero' alternative to 'built as proposed by the investor(s)'

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Proposed case study (3): instrument of 'cooperative ownership'

(1) What kind of integrated urban development problem is to be solved?

- generating new forms of cooperative ownership for sites with unclear forms of ownership (for instance 'informal' settlements on state land)

(2) What actors are to be 'integrated'?

- residents, local communities, state and/or municipal agencies, NGOs, experts on setting up and financing cooperative projects

(3) What bottlenecks and limits to be overcome?

- vague information and/or absence of contact person(s) concerning legal ownership questions
- competing investment projects,
- deep divisions between different ethnic groups on the site
- low qualifications and/or financial capabilities

(4) Alternative kinds of solutions:

- various: ranging from abandoning to realising the cooperative project

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Proposed case study (4): instrument of 'public infrastructure and services'

(1) Kind of integrated urban development problem to be solved:

- motivating residents in socially deprived areas to improve qualifications and prospects in the labor market by various forms of education and training

(2) What actors are to be 'integrated'?

- residents, educational institutions, social services, police, family networks, self-help organisations, neighbourhood management, religious institutions, sport clubs etc.

(3) What bottlenecks and limits are to be overcome?

- de-motivating 'context' effects of peer group, high unemployment rates etc.
- traditional family values
- language barriers
- attractive 'informal' jobs and activities

(4) Alternative solutions:

- various forms of neighbourhood management, street working, self-help and care, including powerful elements of ethnic diversity and voluntary social work

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Proposed case study (5): instrument of 'financial incentive(s)'

(1) What kind of integrated urban development problem is to be solved?

- Residents can directly influence distribution and allocation of public money by taking part in various forms of participatory budgeting

(2) What actors are to be 'integrated'?

- residents, local representatives, local administrative bodies, other stakeholders

(3) What bottlenecks and limits are to be overcome?

- 'middle class' bias in willingness and ability to participate
- information 'gaps' between abstract project descriptions and residents' perception or attention patterns
- conflicting interests
- diverging preferences of residents and some elected political representatives

(4) Alternative solutions:

- direct or indirect forms of participation via different forms of presentations (internet, town hall or neighbourhood meetings, appointed or elected representatives etc.)

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Proposed case study (6): instrument of 'information'

(1) What kind of integrated urban development problem is to be solved?

- Preparation and public discussion of medium and long-term integrated development concepts for metropolitan areas

(2) What actors are to be 'integrated'?

- interdisciplinary scientific experts, planning and forecasting specialists
- all relevant groups of actors of the whole metropolitan area

(3) What bottlenecks and limits to be overcome?

- availability and validity of data and indicators (especially small-scale data),
- modelling and forecasting capacities
- translating and visualising findings and forecasts into motivating overall concepts
- most of the residents and political decision makers are short-term orientated
- major differences in interests and influences

(4) Alternative solutions:

- plans and priorities that are 'integrated' to greater or lesser degree, more or less detailed, spatially differentiated, regarding time-span and whether binding or not

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Thank you very much for your attention