Urban Development Agencies: Potentials for the Sustainable Management of Cities in the Global South

Contents

List of Abbreviations

BBSR Federal Institute for Research on Building, Urban Affairs and Spatial Development

BIM Building Information Modelling

BMZ German Federal Ministry for Economic Cooperation and Development

BSRC Bedford-Stuyvesant Restoration Corporation

CACTUS Community Action Ukrainian Style

CDC Community Development Corporations

CHPs Combined Heat and Power Systems

CI City Institute

CLRI Central Leather Research Institute

CMDA Chennai Metropolitan Development Authority

DGNB German Association for Sustainable Construction

EDU Empresa de Desarrollo Urbano

EMP Medellín's Municipal Enterprises

ERDF European Regional Development Fund

ESF European Social Fund

GHG Greenhouse gas

GIZ Deutsche Gesellschaft für Internationale Zusammenarbeit (GIZ) GmbH

HCDC Harlem Community Development Corporation

HUDC Harlem Urban Development Corporation

IBA Internationale Bauausstellung (International Building Exhibition)

IBRD International Bank for Reconstruction and Development

ICS Intermunicipal Cooperation Schemes

IFB Hamburg Investment and Development Bank

ISVIMED Social Institute of Habitat and Housing Medellín

ITM Metropolitan Technological Institute

JDA Johannesburg Development Agency

JICA Japanese International Cooperation Agency

KPIs Key performance indicators

LESG Company of the City of Leipzig for Development and Rehabilitation of Construction Areas

MBDA Mandela Bay Development Agency

MNES Ministry of Non-Conventional Energy Sources

NMB Nelson Mandela Bay

NUCA New Urban Communities Authorities

PMI Project Management Institute

RDA Regional Development Agencies

RISE Framework Programme for Integrated Neighbourhood Development

UDA Urban Development Agencies

UDC Urban Development Corporation

1. Executive Summary/Abstract

Worldwide, cities are growing, especially in countries of the Global South. Major causes of this phenomenon are rural exodus, cross-border migration, and high birth rates. Urban settlements are expanding, often informally, into the surrounding countryside, and the associated rapid spatial and structural transformation is invariably accompanied by economic, ecological, and social change. Establishing well-managed and sustainable urbanization processes is therefore necessary: but it also presents challenges.

Creating and operating an Urban Development Agencies (UDA) is one approach to tackling these challenges. Urban Development Agencies have a long and established track record in countries of the Global North, and have also been instituted in several developing and emerging countries. But while they share similarities, UDAs do not necessarily have the same operational characteristics or institutional settings.

This study explores Urban Development Agencies worldwide, taking into account local contexts, and the varying mandates and rationales for their creation. It provides guidance on the extent to which UDAs, as institutional instruments, are suitable for the planning, funding, and implementation of urban development projects.

The main findings of the study are:

▲ Many countries and cities in the Global South have created Urban Development Agencies; however, the publicly accessible information about their work and their success is scarce.

▲ UDAs vary in their mandate and their functions. While some have a key role in project development (planning, preparatory measures for construction, etc.), others are also responsible for project implementation (construction, marketing, urban management etc.). While yet others are focused on strategy development and advising city administrations.

▲ UDAs are founded and owned by municipal or state bodies, but often operate as private entities that can often work more agilely than public institutions or administrations.

▲ The operation of the UDAs that are the subject of this study, are largely financed by city or state transfers. Their projects can be fully publicly funded, or, in some cases, through public-private partnerships or public-public-partnerships. In addition, UDAs have the potential to raise additional funds from national or international financing institutions.

Methodology and milestones:

1. **Background Analysis:** This is based on secondary sources and provides a preliminary overview of the various forms of urban development agencies, and the conditions that shape, influence, or determine their effectiveness. As a result, a definition of "Urban Development Agencies" is developed and guides further research.

2. **ID Cards of 15 Urban Development Agencies** are compiled to generate an overview of international practices and learning experiences. The ID Cards are developed for Bogotá (Colombia), Cairo (Egypt), Chennai (India), Cochin (India), Cuenca (Ecuador), Harlem/New York City (USA), IBA Hamburg (Germany), IBA Thüringen (Germany), Johannesburg (South Africa), Leipzig (Germany), Lviv (Ukraine), Medellín (Colombia), Nelson Mandela Bay Municipality (South Africa), Quito (Ecuador), and Western Cape (South Africa).

3. **Categorisation:** The 15 identified UDAs are classified according to the following categories:

    » Category 1: UDA created by national or state authorities.
    » Category 2: City-wide UDA with a holistic mandate (created by local authorities).
    » Category 3: UDA that expanded its mandate over time from sectoral to integrated mandate (created by local authorities).
    » Category 4: UDA with a special focus on public participation and social impact (created by local authorities).
    » Category 5: UDA as a mean for innovation and experimentation (multi-stakeholder partnership between state and local authorities).

4. **In-depth case studies of 6 Urban Development Agencies** (at least one of each category) were conducted based on public information and interviews. The in-depth case studies provide a detailed examination of the enabling framework conditions, governance structures and methods of the respective UDAs. Examples of UDA policies and projects are described in order to illustrate relevant urban development aspects (e.g. integrated planning, participation, funding).

5. **Conclusion:** Success factors, prerequisites, and organizational settings for UDAs as well as challenges and corresponding mitigating approaches are highlighted. Recommendations are oriented towards partner cities/states and towards German Development Cooperation.

Success factors for creating and operating an Urban Development Agency are:

▲ Identifying relevant stakeholders and involving them
▲ Prioritizing social impact and public participation
▲ Following an integrated approach to urban development
▲ Mobilizing specialized and multidisciplinary knowledge
▲ Evaluating and monitoring its performance and communicating with citizens
▲ Reliable funding arrangements

Challenges facing the creation and operation an Urban Development Agency are:

- Rapid urbanisation
- Insufficient funding
- Inequality and vulnerability of communities
- Corruption and dominance of private interests
- Communities' mistrust of public entities
- Limited coordination with the city/state administration
- Partners with sectoral approaches to urban development
- Limited accountability and public participation

This study as a whole shows that Urban Development Agencies can be an effective institutional arrangement and an efficient instrument for local or state governments to manage the multiple challenges of urban development in cities worldwide. They can plan and/or implement projects, and can assist city administrations in strategic planning and in accessing additional funding for interventions. But they should not be considered a "model solution" for dealing with urban issues and development. Their success depends on enabling framework conditions, such as mandates that are appropriate to local needs, sufficient support and funding from the UDA's stakeholder(s), clarity about functions and sufficient capacities to build multidisciplinary technical teams. For German Development Cooperation, the success factors identified in this study can inform the development of criteria for assessing institutional solutions, and can help with the prioritisation of institutional support for existing or planned urban development agencies.

2. Background Analysis: Status of research and definition of Urban Development Agencies

The Background Analysis describes findings from secondary literature on "Urban Development Agencies" (UDAs). It is the starting point for the overall study of the potentials of Urban Development Agencies in the Global South. The analysis investigates existing knowledge and research, and sets out the basis for identifying patterns and categorising UDAs. It provides a preliminary overview of the various forms of urban development agencies and the conditions that shape, influence, or determine their effectiveness. As a result, a definition of "Urban Development Agencies" that can guide further research can be established. The analysis focuses on the various characteristics, work practices and institutional arrangements of urban development agencies, and their implementation contexts and legal frameworks.

While preliminary assumptions about the potential role of urban development agencies in spatial and economic contexts are to be drawn from the Background Analysis, in-depth case studies and evidence-based investigations have also been made and are reviewed in a later section of this document. This later section considers the opportunities and limitations of urban development agencies and their required orientation to public welfare, sustainability and good governance.

2.1 Urban Development Agencies: Context and Practices

Worldwide, cities are growing, especially in countries of the Global South. Major causes of this phenomenon are rural exodus, cross-border migration and high birth rates. Urban settlements are expanding, often informally, into the surrounding countryside, and the associated rapid spatial and structural transformation is invariably accompanied by economic, ecological, and social change. Establishing well-managed and sustainable urbanization processes is therefore necessary: but it also presents challenges.

Creating and operating an Urban Development Agencies (UDA) is one approach to tackling these challenges. Urban Development Agencies have a long and established track record in countries of the Global North, and have also been instituted in several developing and emerging countries.

However, while they share similarities, UDAs do not necessarily have the same operational characteristics or institutional arrangement. They change over time and they vary by type in different parts of the world. Depending on their form and context, UDAs provide different levels of service. Some have a key role in project development (planning, preparatory measures for construction, etc.), while others are also responsible for project implementation (construction, marketing, urban management etc.). Although they are setup within different legal frameworks, UDAs are usually founded by municipal or state bodies. Their projects can be fully publicly funded, or implemented through public-private partnerships or public-public-partnerships (inter-municipal or cross-level cooperations). In some cases, UDAs may use community-based organizational structures. UDAs are almost exclusively publicly owned, but they have the potential to source their funds from various national or international institutions and programmes.

In order to understand the rationale behind setting up an UDA, a brief review of the evolution of Urban Development Agencies is provided below: and the different expectations of UDAs in different contexts and at different times are also discussed.

2.2 The Emergence of Urban Development Agencies in the Global North

In countries of the Global North, 'modern' ideas about creating specialized bodies to support comprehensive, place-based urban development can be related to inner city degradation, increased suburbanization, and the need for social housing (see e.g. Armstrong and Taylor, 2000). Challenges included unbalanced economic activity within and between cities, vast brown field sites, and the need to provide public services such as water supply, sewage infrastructure, adequate transportation, and affordable housing.

While these challenges were similar for many cities in Europe and North America in the second half of the 20th century, the particular contexts in which UDAs were created, shaped their objectives, characteristics, work practices and institutional arrangements.

The following three examples illustrate differences in UDA rationales and objectives:

- United Kingdom: Deregulation and business-oriented urban regeneration
- United States: Community Development Organizations as

intermediaries between city administrations and other stakeholders, especially residents and communities.

- Germany: Innovative experimentation through "International Building Exhibitions"

United Kingdom: Deregulation and business-oriented urban regeneration: In the UK, UDAs evolved in the late 1970s and 1980s during the implementation of the Thatcher Government's neoliberal economic agenda, "with regeneration promoted through public-private-partnerships" (Danson & Lloyds, 2012, pp 82). The government deregulated administrative sectors and incentivized free market dynamics. Before then, the UK had developed a series of so-called Regional Development Agencies (RDAs) that focused on economic and local development. Their mandates to work with real estate developers and private sector actors were however limited (Danson & Lloyd, 2012, pp 82). The Thatcher government reduced the RDAs' role. Great importance was now given to the development of inner cities and other defined development areas. For this task, a predecessor of the UDA was created: the Urban Development Corporation (UDC). The new UDCs were intended to incentivise land and property development and promote a business-friendly environment (Danson & Lloyd, 2012, pp 82).

United States: Community Development Organizations as intermediary between the city administrations and other stakeholders, especially residents and communities: Starting in the 1960s, *Community Development Corporations (CDCs)* were gaining importance due to the decline of inner cities because of migration to the suburbans. The CDCs began to find a role between being political platforms and representatives of vulnerable community groups. Illustrative cases are the Bedford-Stuyvesant Restoration Corporation (BSRC) and the Harlem Urban Development Corporation (HUDC), which have been widely cited by academics (e.g., Johnson, 2004). The predominant focuses of CDCs are the provision of affordable housing, supporting local commercial projects, renovating community facilities and running community development programmes (Galster et al., 2005). By promoting urban development initiatives, CDCs aim to achieve a balance between raising revenue and providing communal benefit. CDCs operate, therefore, as a project-based "quasi-governmental" broker (Galster et al., 2005). As a result, they can improve homeownership within their communities, demonstrate market potential and coordinate investments. Their success, according to Galster et al. (2005), is due to their position between neighbourhoods (including local businesses, organisations, and citizen groups) and city administrations, banks, foundations, and corporations. As intermediaries, they strengthen citizen engagement and encourage inward local investment.

Germany: Innovative experimentation through "International Building Exhibitions": A unique form of UDA is the German International Building Exhibition (IBA). IBAs have been regularly carried out in Germany since the beginning of the 20th century. They are place and time based and promote experimentation

with the aim of producing "models of the city of the future" (Shay, 2012, pp 5). IBAs focus on urban designs that incorporate dimensions such as social participation or economic development, preferably in innovative ways. They are intended to provide impetus for social, cultural, and ecological transformation. Common to IBAs is that they: address a contemporary condition in a specific place; are commissioned for a set period of time; are driven by experimentation; are independent entities between public and private sectors (Shay, 2012, pp 16-18). IBAs are neither directly bound to local authorities, nor to other "clients". The results expected from IBAs fall into two categories: those that could be called 'soft', such as strategic visions, participation processes and other development instruments; and those that could be called 'hard', namely the buildings and built environments that constitute the building exhibitions themselves. Some of the more recent IBAs have focused on marginalized areas of their host cities with projects that not only changed the areas physically, but also transformed the communities' and the stakeholders' perception of the city. IBAs are a multi stakeholder partnerships. Like most UDAs, they are initiatives by high-level decision-makers and city administrations. Nevertheless, they can develop participation processes and the inclusion of marginalized groups, and, as other types of UDA, they often succeed in responding to the complexity and specificity of the conditions in their areas of operation.

2.3 The Context of Urban Development Agencies in the Global South

Rapid urbanisation is presenting challenges not only for cities in the Global North, but more pressingly for cities in the Global South (see the New Urban Agenda, UN-Habitat; and the OECD/UN-Habitat State of National Urban Policy report). The speed and complexity of urban growth in these regions, and the associated sprawl and often uncontrolled developments, pose significant challenges in terms of management at the city level. Often, local governments with weak capacities and a lack of enabling mandates and powers confront rapid urbanisation with considerable difficultly. And federal states and national governments also struggle to improve the living standards of inhabitants of rapid growing cities, and to respond with appropriate initiatives or directives. To tackle issues arising from rapid urbanisation, different schemes and models for urban development have been formulated, especially for metropolises. It is within this context and as a reaction to this condition that various forms of UDA have been developed in the Global South.

Social inequality is another contextual condition in which UDAs emerge and operate in the Global South. The World Social Report 2020 (United Nations) as well as the World Cities Report 2020 (UN-Habitat) highlight profound urban inequalities as a serious challenge to achieving SDGs. To quote

the UN's World Social Report 2020, "Cities are catalysts for economic growth, innovation, and employment. However, urban areas are more unequal than rural areas. In most cities and towns, areas characterized by high levels of wealth and modern infrastructure coexisting with pockets of severe deprivation, often side by side". In accordance, the Gini coefficient of income inequality is larger in cities than in rural areas in many countries. This disparity is a reality in many countries of the Global South and influences the success (or failure) of UDA projects.

Informality, usually the result of socio-economic disparities, is another aspect of the context in which UDAs emerge and operate. In 2016, one in four urban inhabitants worldwide, or over one billion people, lived in informal settlements (World Social Report 2020). Considering this reality in an urbanising world, effective urban governance and appropriate urban planning become increasingly urgent. Informality manifests itself not only in informal settlements – usually on city peripheries – but also in planned urban development projects, which are permeated by informal structures and uses. Ananya Roy, in her 2009 study of the Indian planning system, "Why India Cannot Plan Its Cities", has identified informality as a form of urbanisation in the Global South in which deregulation, ambiguity and exception are relevant features. The recognition of informality as an idiom of urbanisation presents new frontiers of development, but it also creates a challenge for governance, justice, and development (Roy, 2009). Informality in the Global South has been partly or wholly the dominant form of rapid urban growth in the early 21st century (Tonkiss, 2013). But the way in which cities, federal states and national governments deal with informality has shifted over time. Before the 1980s, the recommendations of scholars and planners tended towards large-scale informality eradication programmes. Since then, the need for infrastructure improvements and neighbourhood "legalisation" or "formalisation", among other measures, has been increasingly recognized (Fischer, 2014; Fernandes, 2001).

Centralisation of functions and resources at the national or federal state level is a further determinant of the context in which UDAs emerge and operate in the Global South. The importance of place-based solutions that recognize the particularities of different locations means that special emphasis should be put on the design of public policies (OECD, 2010). In the Global South, cities differ in their capacities to deal with urban development. Zoning, for example, is frequently an exclusive right of cities. Functions and competences in urban transport, green areas and waste management are often delegated to cities. However, such delegations are often not accompanied with the necessary resources. In many cases, even cities that can levy taxes (e.g. land taxes, commercial taxes) or can stipulate that private developers meet minimum quotas of social housing or

public space, depend mainly on national or state transfers, or international development cooperation support or loans. Further challenges arising from centralised forms of government often include unbalanced vertical and horizontal alignments and difficulties in coordination and human resource development at local levels.

While UDAs are not widespread, some cities, federal states and national governments have responded to these challenges with different types of Urban Development Agency. For example:

- **Development Authorities,** which have been established in formerly British colonized countries in Asia as part of their democratization and de-colonialization process. These authorities deal with, among other things, rapid unplanned urbanization. Their remit is to produce development and land-use plans and they are sometimes also responsible for implementing them. The mandates of Development Authorities set up by the state often overlap with the jurisdiction of city planning authorities (Ahmad et al, 2013).
- **Autonomous Municipal Bodies,** which are often set up to respond to inequality and informality. These types of UDA largely operate independently of city administrations, and are able to participate in private markets. However, they mainly depend on funding from city governments. Examples of this type can be found in Colombia, Ecuador, Brazil, and South Africa. Created by and linked to city administrations, they implement projects and initiatives set out in city development or land use plans, but with the leeway provided by their relative autonomy. Often, they function as private entities that cooperate with different outside actors to implement urban regeneration, infrastructure and other complex urban development projects. Sometimes, they have the ability to leverage public resources from national, regional and local authorities. Autonomous Municipal Bodies are one of the most frequently used UDAs internationally.
- **Intermunicipal Cooperation Schemes (IMCs), or Metropolitan Cooperation Schemes,** can be a response to centralized structures and related dependency of cities on centralized resources, transfers, and decision-making. IMCs are the result of voluntary associations between cities, and the need of cooperation between them. In the case of secondary and smaller cities, IMC provide opportunities to leverage resources and technical capacities to deliver services that municipalities could not provide for on their own. Moreover, cooperation between cities strengthens their capacity to negotiate with regional and national authorities. In the case of metropolitan areas, IMCs become instruments for the implementation and coordination of regional development projects.

3.   Definition of Urban Development Agencies

Having described the characteristics of UDAs and their implementation contexts in countries of the Global South, a definition was derived of what the Urban Development Agencies considered in this study consist of.

Mandates[1]: Urban Development Agencies are usually mandated by a public authority to plan, implement or steer urban development projects or specific phases of them. They can be mandated to deal with short, medium, and long-term investments. This may include negotiating adequate financial models for the investments, including private investments. While some urban development agencies have a sectoral focus (e.g. housing, transport, infrastructure), others aim to follow a more comprehensive integrated approach. UDAs operations are mostly placed-based, and work on specific projects within a city or manage developments in pre-defined areas of it (e.g. areas consisting of publicly owned land).

Rationale: Urban Development Agencies are typically created by city or state administrations. They are often established under the assumption that they can combine technical expertise and economic efficiency, and selflessly pursue the common good (as opposed to the self-interest of private developers). Typically, they are created when:

- local governments intend to concentrate capacities and resources in order to perform specialized tasks in large urban development projects (e.g. complex inter-sectoral or territorial settings demand agile teams, where knowledge, expertise and mandates are pooled for a specific purpose).
- the capacities and resources of a single local government is insufficient to ensure effective urban planning regulation and implementation.

Role and Function: Many UDAs function as intermediaries between the city/state administration, private developers, residents and other stakeholders and interest groups (horizontal collaboration). Sometimes, especially when state institutions or financing institutions at national level are involved, they also coordinate vertically between city and state authorities. In some cases, project planning and implementation functions might be transferred from the city or state government to the agency. By fulfilling intermediary functions, UDAs not only manage project planning and implementation, but they can also support the city or state in leveraging public and private funding, in developing strategies, and in promoting public participation and engagement.

Legal Status: In most cases, Urban Development Agencies are publicly owned entities, either owned by one public body or several public bodies (e.g. inter-municipal associations). In rare cases, the shareholders of an Urban Development Agency might include private actors. This can be the case, for example, in community-based urban development agencies. While they can legally remain public bodies, some UDAs are established under private law (e.g. as limited liability companies).

Terms: "Urban Development Agency" is considered an umbrella term for a range of institutions that deliver the services and perform the functions described above. And as described, these functions can vary by region or country, or according to the focuses of concern. Some alternative names for these institutions include: Urban Development Corporation, Urban Development Authority, District Urban Development Agency, Community Development Corporations, Urban Development Funds, Urban Development Institutes.

Which institutions will not be considered in this study: Entirely privately owned profit-oriented development companies. City or state planning or other administrative departments are also not considered as Urban Development Agencies. Because an Urban Development Agency should, at minimum, support the city in project implementation or strategy development, networks or research centres or other organizations that do not have this 'minimum' function, will therefore also not be considered.

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1. The degree of public welfare orientation, sustainability, and good governance (incl. participation) varies among UDAs.

4. Categorisation of UDA cases

UDA created by national or state authorities

Representative cases for in-depth analysis:
CHENNAI, INDIA

Example for cases in contexts where higher government bodies (state, national) engage in managing urban development in cities. Entails overlapping functions between state and cities. Strong government control over the UDA; high dependency on and close ties to national or state government.

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Other cases considered here:

- Cairo, Egypt
- Cochin District, Kerala, India

Main characteristics of UDAs according to category

Intended to enhance the efficient administration of urban development.

Created as technical agency to work closely with the planning units in the national ministries and state departments. Typically funded entirely by its main shareholder (e.g. by state transfers).

Often operates in large territories (metropolitan or state-wide). Functions as an umbrella organization to coordinate planning and, at times, development strategies in different municipalities and districts.

Mandates and scopes tend not to change over time. Focuses on technical planning processes and less on facilitating alliances.

Highly controlled and directly accountable to state departments or national ministries.

Its strengths are in the planning of projects, and in the formulation and updating of long-term strategies. Less experienced in the managing and implementation of projects.

Functions may overlap with local and district planning authorities.

Potentially slow administrative processes due to complex organizational structures.

Organisational structures: ownership, accountability

Publicly owned; operation is often regulated by public law.

It frequently has more than one office, and works through subsidiaries to execute its mandate in a wide territory.

Limited independence from its main shareholders, who can modify plans and decisions.

Possible variations

Can be under a state or district jurisdiction, depending on who the owner is.

In some cases, UDAs can improve governance and coordination in complex urban territories.

City-wide UDA with a holistic mandate

Created by Local Authorities

Representative cases for in-depth analysis:

MEDELLÍN, COLOMBIA

Example for Global South cases in which the intended objective of the UDA is to effectively manage urban development projects; founded and owned by the city.

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Other cases considered here:
› Bogota, Colombia   › Johannesburg, South Africa

LEIPZIG

Example for cases in which cities create UDAs to prepare and manage transformation projects effectively and efficiently, e.g. in East Germany after reunification

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Main characteristics of UDAs according to category

Aims at urban transformation through renovation, expansion, or rehabilitation of parts of the city.

Organizational structures can be simple, but are specialised with high technical knowledge.

Funds projects directly or through leveraged funding from different sources.

Usually started with funding entirely or largely by its public shareholder(s); often achieves financial sustainability through diversifying its funding sources.

Often serves as a facilitator for an integrated approach that calls for cross-departmental coordination in the city administration.

Establishes alliances and partnerships with different actors in a more flexible and effective way than the city or state administration.

Its core skills are in project management, enabling it to efficiently steer planning and implementation processes, and thus, attract investors and developers by minimizing delays or the risk of corruption, which are more frequent when contracts are made directly with cities and states.

Organisational structures: ownership, accountability

Publicly owned; operation is regulated by private law.

Typically led by an executive board or board of directors, with representatives of the main shareholder(s) in charge; but other stakeholders and groups of interest can have representation.

Often, but not always, is subject to the city's managerial authority. Whatever the case, this type of UDA relies on coordination with different city administration departments.

Relative independence from its shareholders is key to legitimacy and credibility in negotiations with other stakeholders.

Possible variations

Effectiveness depends, among other things, on UDA capacities to leverage funding and other resources from different sources (e.g. national budgets; local agencies such as transport, water or housing agencies; the private sector; international cooperation organizations; taxes) and through the generation of own revenues (e.g. trading of property and goods owned by the UDA; fees for consultancy or project management services).

Effectiveness also relies on the UDAs ability to facilitate projects involving different stakeholders and interest groups (e.g. the private sector, the academy, civil society), and different administrative departments or levels of government with funding capacities (e.g. metropolitan area authorities, state and national ministries)

UDA that expanded its mandate over time from a sectoral to an integrated mandate

Created by Local Authorities

Representative cases for in-depth analysis:
NELSON MANDELA BAY, SOUTH AFRICA

Example for cases in which the UDA was created with a limited mandate to deal with a specific project, or area, or sector, which later evolved to encompass a broader holistic approach.

📋 Go to Case Study

Other cases considered here:

- Cuenca, Ecuador
- Quito, Ecuador
- GreenCape, South Africa

Main characteristics of UDAs according to category

Mandates started as sectoral, or limited to a particular project. They later extended to incorporate an integrated multi-sector approach.

Scopes often broaden from a "trial period", limited to one phase of the development process (e.g. planning, or implementation, or facilitation) to the entire planning and implementation cycle.

Frequently, this type of UDA accumulates experience and expertise in the development of infrastructure and urban regeneration projects.

Evolution towards an integrated approach is based on success in developing sectoral projects (e.g. public green spaces, housing, historical district renovations). Interventions often start with an "anchor" or "lighthouse" project (e.g. the renovation of an historical building), the scope of which then evolves into general improvements of affected areas.

A characteristic task is coordinating the operations of different sectors and interest groups.

Potential for working with vulnerable groups through an integrated approach to tackle complex challenges (such as informality and inequality).

Organisational structures: ownership, accountability

Publicly owned; operation is regulated by private law.

Organizational structure might change with expanded mandates (e.g. originally accountable to the city housing department, it changes to be accountable directly to the office of the mayor). Usually accountable to, but relatively independent from the city administration.

Often, to ensure funding from different territorial levels and multiple actors, it coordinates its internal planning with strategies and plans from the local, regional, and national levels to ensure better funding from those territorial levels.

Possible variations

UDAs can maintain a sectoral mandate (e.g. for housing), even if other projects take an integrated approach (e.g. that considers the impact of a project's public open spaces, or a project's impact on transportation).

In other cases, mandates can be originally bound to a specific area, and then evolve with extended functions and expertise towards an integrated approach.

UDA with a special focus on public participation and social impact

Created by Local Authorities

Representative cases for in-depth analysis:
LVIV, UKRAINE

Example for cases in which the UDAs take a central role in public participation, awareness raising and social involvement during the development of local urban strategies and the implementation of urban development projects.

⬚ Go to Case Study

Other cases considered here:

◢ Harlem, NYC, USA

Main characteristics of UDAs according to category

Strong focus on strategy development, organisation and participation processes, including the involvement of the private sector and relevant political actors. This type of UDA does not necessarily implement construction or infrastructure projects.

Another focus is to raise awareness of the importance of certain projects and to increase stakeholders' sense of ownership. Corresponding functions are research, organizing national and international forums to engender knowledge transfer, and managing international projects.

Can be a coordination unit with an interdisciplinary perspective.

Its boundaries or jurisdiction might vary in size, but the focus is often on deprived or vulnerable areas of the city that require economic and social development and revitalisation.

Often considers urban development as an instrument for community and economic development.

Organisational structures: ownership, accountability

Publicly owned; operation is regulated by private law.

Often operates at city level as a full subsidiary like other sectoral agencies (e.g. housing or transport agencies).

Typically guided by an advisory board with representatives from the city administration and local political bodies (e.g. the city council).

Keeps relatively independent from the city administration, but is accountable to it.

Possible variations

Among the possible variations of this type of UDA are Community Development Corporations that are either owned or partially managed by community organisations or non-profit organizations.

UDA as a means for innovation and experimentation

Created by Multi-Stakeholder partnerships between state and local authorities

Representative cases for in-depth analysis:
IBA HAMBURG, GERMANY

Special type of UDA based on the concept and principles of the International Building Exhibitions (IBA) initiated and implemented in Germany, and currently being analysed for potentials in the context of African cities.

▤ Go to Case Study

Other cases considered here

▲ IBA Thüringen, Germany

Main characteristics of UDAs according to category

Special format focusing on experimentation and innovation (e.g. in urban design, building techniques, public participation methods).

Often focuses on neighbourhoods or large development sites, concentrating on social change that can be triggered by design.

Recent examples of IBAs apply holistic approaches (combining residential units, workplaces, social and educational facilities, green and open spaces, and technical and energy infrastructure).

Duration: 5-8 years, but some cases (e.g. IBA Hamburg) have become permanent.

Scope, project locations and boundaries are clearly defined.

Each IBA has a specific focus (e.g. urban knowledge, urban-rural linkages, regional development). Projects and results are presented to the public during events or exhibitions.

Organisational structures: ownership, accountability

Publicly owned by one or more shareholders who define the focus of the particular IBA. Funded by cities, states, national governments, the European Union, or a network of sponsors.

Often steered by a committee or board of trustees led by a supervisor or curator and a managing director.

All IBA projects are monitored by a council appointed by the German Federal Government, the IBA Expertenrat, which is responsible for securing, perpetuating, and further developing the criteria of the guiding manifesto, the IBA Memorandum.

Organisation is often flexible, agile and, to some extent, improvisational.

Possible variations

Each IBA varies according to goals and priorities defined by its shareholders.

Most IBAs are temporary, but some have evolved to become permanent.

5. Cases: ID Cards and In-depth Case Studies

ID Cards of 15 Urban Development Agencies are compiled to generate an overview of international practices and learning experiences.

The ID Cards are developed for Bogotá (Colombia), Cairo (Egypt), Chennai (India), Cochin (India), Cuenca (Ecuador), Harlem/New York City (USA), IBA Hamburg (Germany), IBA Thüringen (Germany), Johannesburg (South Africa), Leipzig (Germany), Lviv (Ukraine), Medellin (Colombia), Nelson Mandela Bay Municipality (South Africa), Quito (Ecuador), and Western Cape (South Africa).
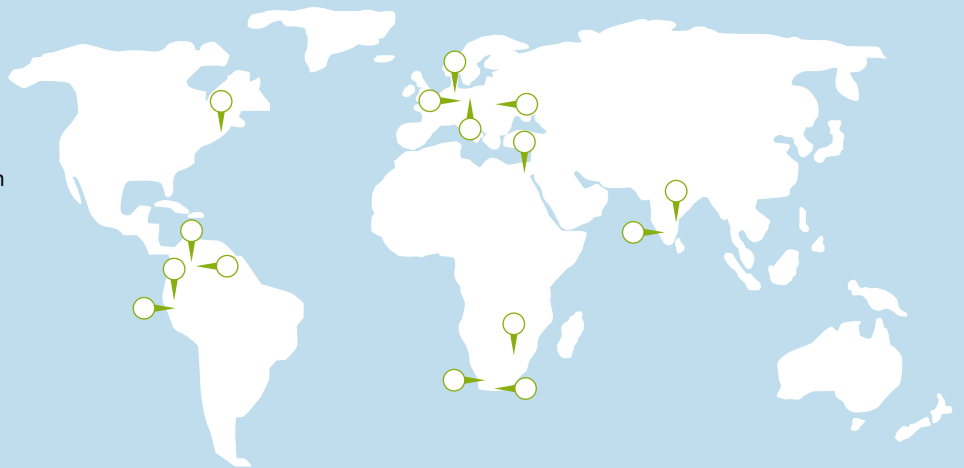
15 cases worldwide

NORTH AMERICA

Harlem NYC
🗂 ID Card

SOUTH AMERICA

Medellín, Colombia
🗂 ID Card   📋 Case Study

Bogotá, Colombia
🗂 ID Card

Quito, Ecuador
🗂 ID Card

Cuenca, Ecuador
🗂 ID Card

EUROPE

Hamburg, Germany
🗂 ID Card   📋 Case Study

Thüringen, Germany
🗂 ID Card

Leipzig, Germany
🗂 ID Card   📋 Case Study

Lviv, Ukraine
🗂 ID Card   📋 Case Study

AFRICA

Cairo, Egypt
🗂 ID Card

Johannesburg, South Africa
🗂 ID Card

Western Cape Province,
South Africa
🗂 ID Card

Nelson Mandela Bay,
South Africa
🗂 ID Card   📋 Case Study

ASIA

Cochin, India
🗂 ID Card

Chennai, India
🗂 ID Card   📋 Case Study

Categories

CATEGORY **1**	UDA created by national or state authorities	**CATEGORY** **2** City-wide UDA with a holistic mandate
CATEGORY **3**	UDA that expanded its mandate over time from sectoral to integrated mandate	**CATEGORY** **4** UDA with a special focus on public participation and social impact
CATEGORY **5**	UDA as a means for innovation and experimentation	

Icons

	Governance		Multidisciplinary approach		Evaluation & Monitoring
	Stakeholder and public participation		Impact recognition		Innovation in work impact or techical knowledge
	Documentation of lessons learnt		Integrated approach		Techincal expertise
	Relevance of information of data		Funding		Challenges or obstacles
	Transfer of knowledge		Key learnings / Summary of learning		

5.1   Bogotá, Colombia

FULL NAME

Empresa de Renovación y Desarrollo Urbano de Bogotá D.C. (Renovation and Urban Development Company of Bogota D.C)

LEGAL NATURE & SHAREHOLDER STRUCTURE

Commercial and industrial corporation of the city 100% owned by the City of Bogotá

TERRITORIAL LEVEL & LOCATION

City level

TIME IN OPERATION

Since 1999

ORGANISATIONAL SETTING

| Mayor of the City of Bogotá Habitat Department | → | In charge of projects on urban & rural integrated development/housing | → | Empresa de Renovación y Desarrollo Urbano de Bogotá D.C. |

Accountability

Accountable to: Habitat department of the city and office of the mayor.

Measures to assure accountability: Accountability leader; internal trainings; regular accountability reports; yearly public hearing (afterwards self-evaluation of the performance of the hearing); open data and information publication; application of "Open Government" the National government strategy for accountability.

Objective

To identify, promote, manage, lead, and execute integrated projects on development and renovation within Bogota.

Projects:

More than 70 projects executed so far, e.g.:

- Renovation of vulnerable district into a Creative Hub: "Voto Nacional"
- Renovation of "San Bernardo" inner city district for Social Housing.
- Development of local Film Centre and cultural Hub
- Integrated Transportation Hub "Estación metro 26"
- Development of Social Housing "Tres quebradas
- Renovation and upgrade of the Public "San Juan de Dios" University hospital

Scope, Functions & Mandate

Mandate & Functions:

To implement an integrated approach in the entire project cycle, manage investments and to organize stakeholder engagement and citizen involvement.

Functions:

Designing, promoting, and managing projects to transform the city's territory; as owner of municipal land, leading the process of making land available for urban development (e.g.: social housing, urban renovation), coordination with stakeholders, organizing public participation.

Locations/Boundaries:

Zones defined in the land-use-plan sector policies (e.g.: renovation zones, urbanisation zones, expansion zones, integrated development zones).

Scope & Timeframe:

During the whole urban development project process. The UDA has unlimited duration.

Financial Figures

Budget 2020
Total: 28,939,397

Investment: 19,422,785

Fix-costs 9,516,622
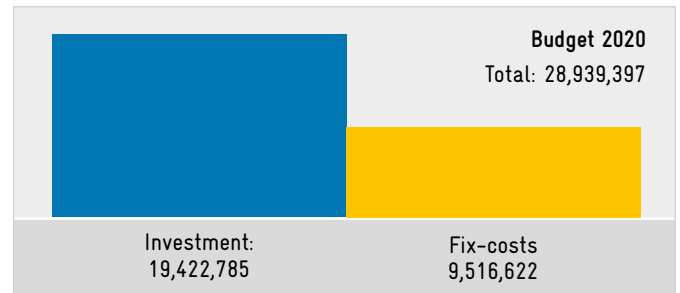
All figures in EUR, own conversion, Jan. 2021

Project funding typology

- Direct city transfers
- Leverage of local and national resources
- International development cooperation
- Leverage of public resources from different sectors of city administration

Strengths and Opportunities

- Applies integrated approaches.
- Involved in the entire project cycle of planning and implanting investments.
- Organizing the engagement of stakeholders and public participation

Weaknesses and Threats

- Assisting the city in developing plans and strategies is not part of their mandate

5.2 Medellín, Colombia

FULL NAME

Empresa de Desarrollo Urbano de Medellín (Urban Development Enterprise of Medellín)

LEGAL NATURE & SHAREHOLDER STRUCTURE

Regulated by private law, but its organization and administration are public.

100% owned by the City of Medellín

TERRITORIAL LEVEL & LOCATION

City level & Metropolitan Area

TIME IN OPERATION

1993 (created for the construction of a park), 1996 (turned into the city's property developer), 2002 (restructured to implement integrated urban development projects)

ORGANISATIONAL SETTING

Municipality of Medellín → Office of the Mayor → Urban Development Enterprise of Medellín

↓

Publicly owned by the city but with its own legal identity, administrative

Accountability

Accountable to: UDA responds directly to its Executive Board, in which the Mayor of Medellín takes part. The mayor also directly designates the Director of the agency.

Measures to assure accountability: annual report, publication of all relevant public information on website, events to make results public, biannual internal control performance evaluation, independent audits per project, management system for citizens requests, petitions and claims, publications.

Objective

To manage, to develop, to execute, to advise and to consult urban and real estate plans, programmes and projects.

Projects:

Development of a park (http://www.eru.gov.co/es/proyectos/cinemateca-de-bogota), sports hub and green areas close to a city market, Education Facilities (https://www.greencape.co.za/assets/Uploads/20180903-GreenCape-ASEZ-Annual-Report-FAWeb3.pdf), Health Facilities (http://www.edu.gov.co/maps/map/detailsmap/7124), River City Bike Lane (http://www.edu.gov.co/maps/map/detailsmap/7098), Integrated Urban Development project: Gastronomic Plaza (http://www.edu.gov.co/maps/map/detailsmap/7098)

All projects:
http://www.edu.gov.co/edu/portafolio-edu (in Spanish)

Scope, Functions & Mandate

Mandate & Functions:

1. **Urban operation:** formulation of planning tools, planning regulation management, real estate management and land management,
2. **Consultancy:** modelling, territorial planning, urban and architectural projects, and diagnosis and project formulation.
3. **Urban & architectural design:** facilities, infrastructure, housing and urbanism.
4. **Project implementation:** institutional facilities, service facilities, public space, infrastructure and housing.

Locations/Boundaries:

No public/published information on how project locations/boundaries are defined. In general, active on municipal land within the Metropolitan region.

Scope and timeframe

During the whole planning process and the UDA has an unlimited duration.

Financial Figures

Budget 2020
Total: 222,655

| Investment 192,823 | Commercial Operations 301 | Fix-costs 5,873 | Available income 23,658 |
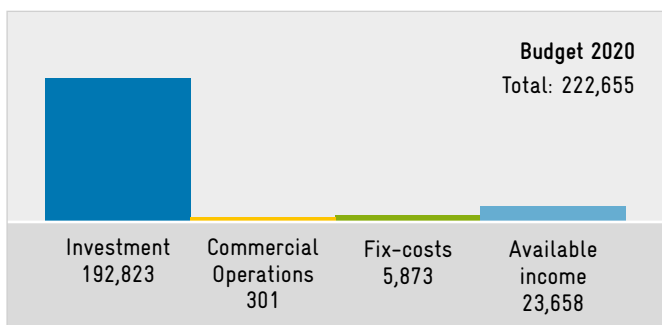
All figures in thousand EUR, own conversion, Jan. 2021

Project funding typology

- Direct city transfers
- Leveraging local and national resources
- Specific project-based alliances with the Valle de Aburrá Metropolitan Area
- Specific project-based alliances (contracts, agreements, MoU), such as with other publicly owned enterprises such as PPP Agency and Education Agency
- Reinvestment of its own revenues

Strengths and Opportunities

- Long experience in working through alliances with the municipality, the metropolitan area of the Aburrá Valley and public enterprises such as EPM (Medellín's Municipal Enterprises)
- High levels of innovation (Member of the North American "Project Management Institute" implements Building Information Modelling)
- Focus on sharing and transferring their knowledge and experience to other UDA and urban development actors in Colombia.
- Base their work on a physical, social and institutional transformation of the territory of the city or the metropolitan area to which Medellín belongs.
- High levels of transparency and accountability

Weaknesses and Threats

- Insecure or non-continuous funding due to the lack of coordination of the city's development plan and the land management plan (where most of the projects executed by the EDU are prioritized).
- Some partners, especially in the partner sector, have a sectorial approach to urban development, making more difficult or the EDU to engage them in urban projects with an integrated approach.

Medellín's Urban Development Enterprise (Empresa de Desarrollo Urbano)

POPULATION:
2,533,424 inhabitants

SIZE:
387 km²

POPULATION DENSITY:
6,546 / km²

INCOME PER CAPITA (2018):
6,000 EUR per year

Housing quantity deficit (2018): **2%**
(9.8% in Colombia as a whole)

Impact and success factors

Empresa de Desarrollo Urbano (EDU) stands out for successfully establishing partnerships with other stakeholders in urban development projects. EDU has a city-wide mandate and strives to implement its projects with an integrated approach to achieve social and environmental impacts (e.g. stimulating employment opportunities; mitigating risks of climate change in informal settlements).

EDU has implemented approximately 4,200 projects with a total value of approximately 937 Million EUR.

Success Factors:

- Integrated project methodologies prioritize social impact and urban transformation in marginalized communities.
- A multidisciplinary and highly specialized technical team allows EDU to implement a variety of projects and engage with most relevant stakeholders.
- EDU's mandate within the institutional arrangements of the city enables partnerships and the leveraging of funding.
- Long-term internal planning, self-evaluation and documentation fostering sustainability and efficiency.

The UDA in a nutshell

The EDU was founded by the City of Medellín to manage urban development projects in the city effectively. It is fully owned by the city. EDU considers public participation a necessity for urban transformation.

The projects EDU implements include integrated urban transformation, upgrading of informal and vulnerable neighbourhoods, educational facilities, transport infrastructure and public space design.

Its core skills are: its capacities to leverage funding; to facilitate complex decision-making processes; to align public and commercial interests; its specialized knowledge of legal frameworks; its competence in visualizing and communicating data to stakeholders and the public; and in the use of project modelling tools.

EDU's strategic partners are the local Public-Private-Partnership Agency, the Higher Education Agency of Medellín, the Valle de Aburrá Metropolitan Area authorities, the Social Institute of Habitat and Housing Medellín (ISVIMED), Medellín's Public Enterprises (EPM), the national government, the state government, private sector developers and urban planning experts.

A strength of the agency is its dynamic and place-based methods, which are grounded in a detailed analysis of the project area and the involvement of the community living in it.

EDU works to safeguard public welfare through data-based decision-making, promoting communities' ownership and involvement, and emphasizing the importance of decision-makers' accountability.

KEY FEATURES & LESSONS LEARNT

Financial transfers are vital, additional funding is possible

Most of EDU's resources are direct transfers from the city administration and profits from Medellín's Public Enterprises (EPM) – an agglomeration of city-owned companies. EPM is one of the largest public enterprise conglomerates in Colombia and generates considerable income for the city.

EDU aims, however, to reduce its dependence on transfers from the city in order to strengthen its independence and financial stability. It strives to generate new funds by providing project design and management advisory services and technical assistance to other municipalities. In addition, it seeks joint implementation projects with the private sector, especially in the field of corporate social responsibility. EDU also designs certain projects in ways that generate revenue (e.g. rentable commercial spaces or parking lots).

In some cases, funding of the EDU and its partners is supplemented by resources from the national or state governments. Furthermore, EDU can use land value capture mechanisms that charge property owners for zoning or regulation changes that benefit them (e.g. from rural to urban uses, or to increase the heights of buildings).

Regular performance evaluation improves standard procedures

EDU is subject to the requirements of Colombian Internal Control Standard legislation for publicly owned entities. Furthermore, EDU has its own internal evaluation and control unit, which, among other things, produces an internal control report every six months.

To improve standards and pursue best practice in project management, EDU aims to follow the recommendations of and acquire official certifications from the international Project Management Institute (PMI).

Deep data helps to balance public and private interests

A way to prevent private interests dominating over the public good is to ensure that decisions are based on deep area data and social information.

An EDU innovation is to focus on building information modelling, which is used to visualize project outcomes during decision-making and participation processes. Evidence-based information reduces the chance of private benefits prevailing over public benefits.

A collaborative organizational structure fosters good performance

EDU has learnt that a less bureaucratic and more collaborative internal organizational structure is key to reducing running costs and financial dependence on the city administration, while maintaining the technical and management capacities of its team.

EDU changed its vertical and hierarchical internal structure to a structure in which management is not based on top-down decision-making. Management is instead located in the middle of the decision-making process, and each unit can communicate directly with the decision-makers. Horizontal cooperation between units and managers considerably increases the effectiveness of the decision-making process.

Multidisciplinary work improves performance

EDU has also learnt that its multidisciplinary knowledge and mandate give it a better chance of implementing projects in an integrated way, as opposed to the sectorial approach taken by other actors.

KEY FEATURES & LESSONS LEARNT

A "social innovation approach" safeguards positive social transformation

EDU highlights its social innovation approach, which applies data and information technologies to safeguard the positive social transformation impacts of its urban development projects.

EDU's Centre of Urban Modelling is a laboratory for the development of digital solutions to the city's urban problems. It is also concerned with the introduction and testing of technology related to automatization and efficiency. The Centre uses building information modelling technology (a micro-scale planning methodology) to create 3D images of both the existing conditions and the proposed changes. These images are used in decision-making processes and to inform and involve the affected community. This technology gives the community an early visualisation of the transformations that might happen in their territory, encourages their feedback and improves their knowledge of and familiarity with the project. According to the EDU, this resulted in a 45% increase in the efficiency of the planning process in terms of time spent and agreements reached, and better quality housing solutions.

Furthermore, the EDU has created a "Team of Innovators" that combine staff from different internal units. The team fosters innovation by improving the creative atmosphere inside the EDU.

Knowledge transfer is fruitful: potential for more exchange exists

EDU has shared its experience with visualisation technologies with other Colombian cities (e.g. Bucaramanga). Its methods and experiences with public participation and social impact projects have been shared with countries such as Mexico and Paraguay.

Further potentials for knowledge transfer are components of EDU's strategy for raising funds for project implementation. Identifying potential partners in both the public and private sectors whenever resources are insufficient helps guarantee a project's financial viability.

Documenting the learning process

EDU's project management unit is in charge of the management of all projects. It is also responsible for documenting implementation processes and lessons learnt, as well as for knowledge transfer, standardization, statistics and the control of the entire projects cycle.

Major obstacles for effective operations

The funding necessary for the implementation of the city's land-use plan has by law to be defined in the city's development plan. Major obstacles, however, are a lack of coordination, and even potential conflicts, between land-use plans and development plans. The causes are a lack of a legal requirement for aligning these plans, no consistent allocation of budgets for projects designated in land-use plans, as well as the limited technical capacities of cities' planning units regarding land-use plans.

It is therefore difficult for the municipality to guarantee the required public funding for projects. In addition, communities' lack of understanding of planning instruments and their potential impacts, restricts communities' readiness to hold city administrations accountable.

Some of EDU's public and private partners have a sectoral or limited approach to project development. This makes it difficult for EDU to advocate or maintain an integrated approach. In addition, partners from the private sector typically pursue private interests. In the case of housing, for example, developers often provoke land price speculation, or encourage gentrification, both of which conflict with the EDU's public welfare orientation.

WEST UNIVERSITY CITADEL (CIUDADELA UNIVERSITARIA DE OCCIDENTE)

Type of project: education facilities

Construction area: public space 25,000 m² and built space 23,000 m²

Total investment: approx. 28 Million EUR

Current state: built; in operation since January 2021

Beneficiaries: 8,000 students

On the site of what once was the city's women's jail, this project, which was initiated by the city administration, was to be an "anchor" for the development of the west of Medellín. The aim was to create an education centre for 8,000 students. The project is one of the most important for the city administration and was completed in 2021.

Multi-sector approach

The project followed an approach which, aside from its focus on education, was concerned with the quality of public space, sustainable mobility (e.g. using bicycles and public transport) and employment opportunities, among other things. The project buildings contain classrooms and study areas, and various technology facilities. The project's spatial layout contributes to the city's goal of increasing the current 7m² of public space per person to 15m².

Benefit to the community

Implementation began in 2018 and the project was open for use in January 2021. According to the EDU, it has generated 1,133 new jobs, with 24% of the employees coming from the local community. The project includes 14 buildings, and various pedestrian paths and open areas. Public transport connections were improved as part of the project.

Partnerships

Once the project impacts were identified, the EDU found allies, such as the metropolitan area and land registry authorities, to mitigate the risks, increase the amount of housing and improve public transport connectivity.

Other partnerships were established, including with the Agency of Higher Education of Medellín, education institutions such as the Metropolitan Technological Institute (ITM), the Pascual Bravo University, and the Colegio Mayor de Antioquia University, as well as the National Learning Service of Colombia "SENA".

Recognition of impacts

Using Building Information Modelling (BIM) technology and artificial intelligence tools, the EDU forecasted the impact of the project on the demographics of the area, as well as on the environment, the local economy, mobility and security. The EDU could therefore draw conclusions on upcoming demands for service provision, housing and transportation.

Innovation in working methods

The EDU used building information modelling (BIM) technology to design and monitor the project. The technology was also essential in improving communication with decision makers and the community.

UNIDOS POR EL AGUA (TOGETHER FOR WATER)

Type of project: water and sewage service provision

Construction area: approx. 375 Ha

Total investment: approx. 50 Million EUR

Current state: completed

Beneficiaries: more than 40,500 marginalized families

Partnerships with public entities

The project was an initiative of the city administration and the result of a partnership between the EDU, Medellín's Public Enterprises (EPM) and the Social Institute of Housing and Habitat Medellín. It is part of EDU's neighbourhood upgrading programme. EDU's role was to modernize the water and sewage network and to implement corresponding urban development measures, including: the geological stabilization of whole neighbourhood areas at risk from landslides or flooding; the creation of job opportunities for local communities during the construction works; and the promotion of community awareness about the responsible use of water and the related health implications. These measures were implemented in 31 neighbourhoods, benefiting more than 40,500 families and 178,286 people.

Public participation

The first project phase included public participation programmes, which consisted of community meetings, workshops, field trips with children and teenagers, community events, and so on. The aim was to raise awareness of two important aspects of the project:

1. The responsible use and consumption of water to avoid unnecessary waste
2. The importance of legal access to water, and the installation of water meters in every household in exchange for regular high-quality water provision.

Risk prevention

Considering the high-risks of the location, and the prevalence of illegal water and sewage network connections, different mitigation measures and risk management procedures were included as parts of the new infrastructure works to prevent landslides and water leakage.

Innovative tools to improve communication

EDU used digital modelling tools to help formulate city plans. These tools were used to make models of informal settlements, which are often excluded from the city data. EDU's involvement in the analysis and formulation of the city plans, helped reinforce its focus on communication between the authorities and the community through digital modelling and the visualisation of the project.

URBAN RENOVATION OF SAN ANTONIO AREA

Type of project: urban renovation

Construction area: 17,061 m² (29,6% increase of public space in the area)

Total investment: to be defined

Current state: design phase

Beneficiaries: current users of the area, future residents and future commercial owners

Implementation of the city land-use plan

The project is in an area with need of renovation. The city commissioned EDU to design a detailed plan to fulfil goals set out in the city's land-use plan.

Integrated approach

The project includes interventions around the San Antonio Park, such as improving or creating: public space (12% increase proposed); green areas (8% increase proposed); housing (currently there is a 10,6% housing deficit); commercial areas; co-working spaces; and connectivity to transport networks. One forecasted impact is the improvement of the security in the area, which is nearby a district with high crime rates.

Methodological Innovation

EDU used Building Information Technology (BIM) to produce models and images that provide better visualisations of the existing area and the expected project results. This is used to improve communication between decision makers and the community.

EDU's headquarters as an anchor of the project

The existing white high-rise building visible in the images is occupied by the EDU and serves to draw attention to the potential of the area. EDU, with its own budget, has decided to invest in the area and motivate others to do the same.

Market potential

Based on lessons learnt from previous projects, EDU has decided to begin with the construction of a mix-used area that includes housing, commercial and co-working spaces. The area is thought to have market potential, which should attract others to invest in properties in the project area.

EDU as focal point for stakeholders

Currently, the main task of EDU is to negotiate with the city administration, stakeholders and private investors to secure the availability of land and the required funding. One of the most relevant actors is the City Council, which has the power to make city-owned property available to the project.

5.3 Quito, Ecuador

FULL NAME

Empresa Pública Metropolitana de Hábitat y Vivienda de Quito – EPMHV – (Public Metropolitan Housing and Habitat Enterprise of Quito)

LEGAL NATURE & SHAREHOLDER STRUCTURE

100% publicly owned by Quito Metropolitan Area

TERRITORIAL LEVEL & LOCATION

Metropolitan level

TIME IN OPERATION

No public information on founding year identified

ORGANISATIONAL SETTING

| Municipality of Quito | → | Department of Territory, Habitat and Housing | → | Public Metropolitan Housing and Habitat Enterprise of QuitoEnterprise of Medellín |

Accountability

Accountable to the Mayor of Quito, who delegates the urban development and housing functions to the Department of Territory, Habitant and Housing. Its creation was approved by the Metropolitan Council of Quito.

Measures to assure accountability: monthly publication of staff, projects, budget, offered services, existing contracts. Annual report published, including performance indicators, budget, and results of the evaluation of the Planning Council (citizen participatory tool) and compliance with recommendations from National Control and Transparency Agency. Website informs about the state, budget, and beneficiaries of each existing and past project of the UDA.

Objective

To promote the organized and sustainable development of the city through the generation of housing and "habitat solutions", guaranteeing access to decent housing and safe community spaces for the most vulnerable sectors of society, under inclusive management models and citizen participation.

Projects:

All information about the project can be found here: http://epmhv.quito.gob.ec/rendicion-de-cuentas-2019/

Housing projects: "Stay in your own house": provided more than 591 social housing units.

"My House…now": Development of architectural and engineering studies for housing to be immediately built on private land plots to prevent informal housing development.

"Let's Build Together": Social housing (1965 units) on land owned by the UDA and the municipality through Public-Private-Partnerships

Victoria del Sur (https://epmhv.quito.gob.ec/victoria-del-sur/) and **Ciudad Bicentenario** (https://epmhv.quito.gob.ec/ciudad-bicentenario/) Current housing projects.

Public space improvement:

"Let's do it": Improvement of deteriorated public space in vulnerable districts of Quito with a citizen participation focus

Scope, Functions & Mandate

Mandate & Functions:

Responsible for implementing policies of the Municipality of Quito in terms of habitat, urban renovation, housing improvement, new housing development, land offer, urbanisation, and housing offer to vulnerable and middle-income population.

Locations/Boundaries:

Urban and rural metropolitan area of Quito. Boundaries defined by the administrative act that created the UDA, issued by the Metropolitan Council of Quito. The specific locations of the projects implemented by the UDA are the result of the regulations of Quito's development land use plan and the Metropolitan Land Management Plan.

Scope and timeframe:

The UDA has an unlimited duration and its scope focuses on the implementation of urban development policies to promote the strategic association of different actors for the implementation of urban development projects and to manage an efficient and egalitarian use of Quito's land.

Financial Figures

Budget 2019
Total: 7,545,811

Investment
5,505,782

Fix-costs
2,040,028
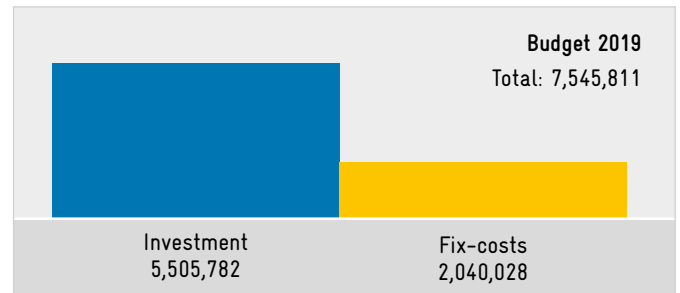
All figures in EUR, own conversion on January 15, 2020

Project funding typology

- Direct city transfers
- Leveraging local and national resources
- Public-Private-Partnerships (with private companies, local administrations of the metropolitan area, foundations, and schools)
- Create incentives to private developers.
- Reinvestment of revenues from the UDA own assets and properties.

Strengths and Opportunities

- Diversity and variety of project funding types and self-funding due to revenues of the company's projects
- Experience in cooperation and alliances with other public metropolitan enterprises such as water and sewage
- Transparent and frequent information available to the public

Weaknesses and Threats

- Based on the public information, the scope of the UDA does not include the formulation of development or land management plans
- Focus on provision of social and affordable housing and less an integrated urban development approach to their projects

5.4 Cuenca, Ecuador

FULL NAME

Empresa Pública Municipal de Urbanización y Vivienda de Cuenca (Municipal Public Enterprise of Urbanization and Housing of Cuenca)

LEGAL NATURE & SHAREHOLDER STRUCTURE

100% publicly owned by the City of Cuenca

TERRITORIAL LEVEL & LOCATION

City level (but it can also operate at a cantonal, provincial, regional or national level)

TIME IN OPERATION

Since 2001 (created with an administrative act by the "Cantonal" Council of Cuenca)

ORGANISATIONAL SETTING

| Cuenca Cantonal Council | → Created → | Municipal Public Enterprise of Urbanization and Housing of Cuenca | → Should coordinate with → | Municipality of Cuenca |

Accountability

Accountable to: Cantonal Council of Cuenca

Measures to assure accountability: Directorio (executive board formed by a representative of the city administration, the manager of the Public Services Municipal enterprise, the local planning secretary, a local council member & a representative of the citizens) and General Manager (responsible to ensure the implementation of internal control mechanisms, performance reports to the Directorio and the Cantonal Council). Internal auditor & external auditor (third firm, changes each four years, obligation created by the Executive Board): The external auditor receives quarterly reports. Furthermore: publications on website, management system for citizens requests, petitions and claims.

Objective

To procure and to facilitate access to housing and land for housing, mainly for the vulnerable population, ensuring a dignified life and adequate development of the community through the urbanization of land and offering housing as well as related services that may be considered as collective interest.

Projects:

Casa del Sombrero (http://www.emuvi.gob.ec/content/casa-del-sombrero)**:** Housing project in the historical centre to increase the housing stock in the otherwise commercial area.

Recupera tu casa (http://www.emuvi.gob.ec/content/recupera-tu-casa): Renovation of protected houses, executed in alliance with other actors

Miraflores (http://www.emuvi.gob.ec/content/proyecto-miraflores-0): Mixed-use development

Los Capulíes (http://www.emuvi.gob.ec/content/urbanizaci%C3%B3n-los-capul%C3%ADes): Affordable housing development

Vista al Río (http://www.emuvi.gob.ec/content/proyecto-vista-al-r%C3%ADo): Housing development. The UDA is responsible for the selling and commercial phase of the project; managed by a fund owned by the city of Quito

Scope, Functions & Mandate

Mandate & Functions:

Formulation and implementation of plans, programmes and projects to provide access for citizens to urbanized land and housing; to cooperate and achieve agreements with public, private, national and international institutions to solve the housing deficit in the city; to technically advice social and sector organizations to acquire land to construct housing for its members; to investigate and use new technologies adequate for social housing provision; to create funds for loans to acquire land and construct social housing

Locations/Boundaries:

Zones defined in the land-use-plan and housing sector policies by the Municipality (e.g.: expansion, urbanization zones). Based to its legal framework it can operate also at a cantonal, provincial, regional or national level depending on the specificity of each project)

Scope and timeframe:

During the whole urban development project process. The UDA has unlimited duration.

Financial Figures

Budget 2020
12,434,517

Investment
11,986,064

Fix-Costs
448,453
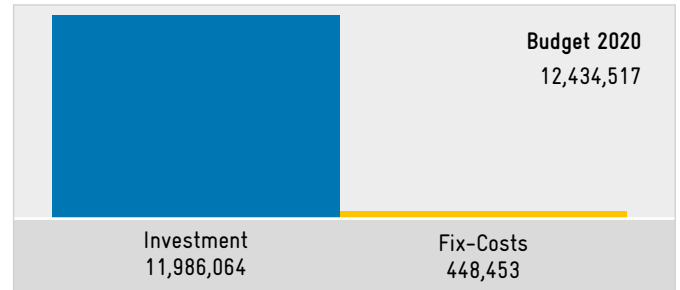
All figures in EUR, own conversion, Jan. 21

Project funding typology

- Funds raised with selected fines (e.g.: fees, taxes)
- Earnings from the UDA's consultancy services
- Revenue from its own properties and goods
- Direct transfers from the national and local level
- Revenues from developing or managing projects

Strengths and Opportunities

- Specific regulations that allow the UDA to associate with private or other public actors.
- The UDA can create subsidiary and affiliated companies to implement specific projects or operate in specific locations.

Weaknesses and Threats

Based on the public information available online, no weaknesses could be reliably identified.

5.5 Leipzig, Germany

FULL NAME

LESG Gesellschaft der Stadt Leipzig zur Erschließung, Entwicklung und Sanierung von Baugebieten mbH (Company of the City of Leipzig for Development and Rehabilitation of Construction Areas)

LEGAL NATURE & SHAREHOLDER STRUCTURE

Public company under private law (Limited liability company), the City of Leipzig is a 100% shareholder

TERRITORIAL LEVEL & LOCATION

City Level

TIME IN OPERATION

Founded in 1993, active since 1997.

ORGANISATIONAL SETTING

Accountability

Supervisory board: Decision making body, meets every 4 to 6 weeks and receives reports from the projects and confirms the reports. Not all LESG project must be confirmed. Consisting of local politicians (5 persons) and executive employees of the city (3 persons), Chairman is Mayor for Urban Development and Construction. For projects over 260,000€, the supervisory board must be informed.

Advisory board: Representatives of Engineering Chamber, Chamber of Architects, Chamber of Commerce and Industry. Being informed once a year and provides opinions. The advisory board is an honorary/advisory body that meets twice a year and must approve all LESG projects. LESG is controlled by the audit office of the City of Leipzig.

Shareholders' meeting: Chaired by the Lord Mayor of Leipzig and other high level administrative staff members. Controls the chairmen of LESG; LESG must act in accordance with the Corporate Governance Code of the City of Leipzig.

Objective

- To purchase, manage ownership, develop, sale, exchange of land.
- To provide of other services in the field of general and special urban planning law in relation to construction and development services
- To provide real estate services for the City of Leipzig and its affiliated companies.

Projects:

https://www.lesg-leipzig.de/projekte/

- The first big task was the settlement of the BMW plant, afterwards many urban redevelopment measures (e.g. building demolition, district development, urban redevelopment, development of the Lindenau harbour)
- Construction of day-care centres and special needs school
- Construction of city history museum (LESG as investor)
- Control of the renovation of the portico of Hall 12 at the old Leipzig trade fair

Scope, Functions & Mandate

Mandate & Functions:

To apply integrated approaches in a cross-departmental planning approach for development projects of the city. Involved in the entire project cycle of planning and implementing investments, organizing the engagement of stakeholders and public participation.

Locations/Boundaries:

Primarily within the boundaries/ jurisdiction of the City of Leipzig.

Scope and timeframe:

Usually during the entire planning and construction process, duration is project-related, the UDA itself has an unlimited duration.

Financial Figures

All figures in EUR

Budget 2019

| Annual Result 997,000 | Personnel 1,394,000 | Material 4,921,000 | Turnover 11,127,000 |
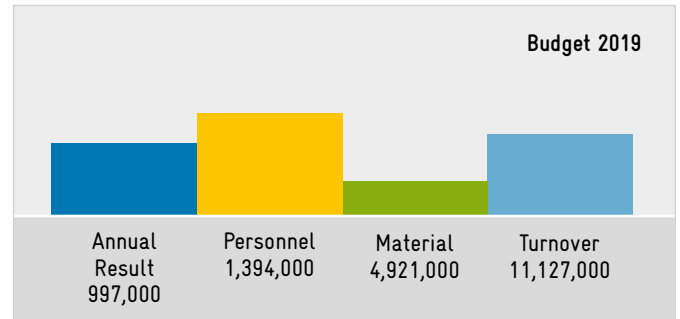
Information on the project funding typology could not be obtained online.

Strengths and Opportunities

- Applies integrated approaches and Follows a cross-departmental approach: "quick intervention force"
- Scope of action includes the entire project cycle and its functions allows it to focus in the engagement of stakeholders and the public
- Broad specialist knowledge: architects, town planners, civil engineers, business engineer, real estate managers
- Active internal and external network (city administration: "we know who we need to speak to")

Weaknesses and Threats

- Restricted boundaries to territory of the municipality and its affiliated companies

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LESG GmbH
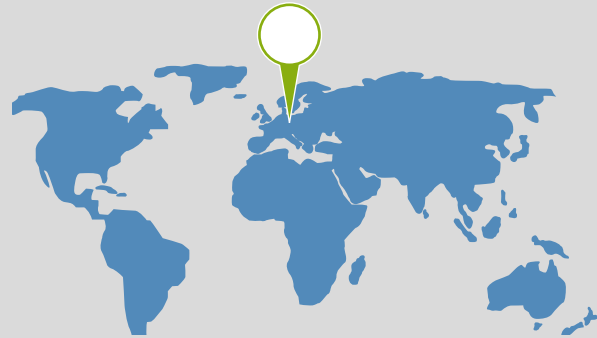
POPULATION (2020):
605,407 inhabitants

SIZE:
197.8 km²

POPULATION DENSITY:
2,033/km²

GDP PER CAPITA (2018):
36,761 EUR

Average age of population:
42 years

Impact and success factors

LESG, a City of Leipzig owned company for the development and rehabilitation of built areas, was created by the city to prepare and manage transformational projects effectively and efficiently. It has a city-wide mandate for urban redevelopment measures, and helps the city administration by planning and implementing complex development projects. Its primary impact is in the agile and speedy implementation of strategic projects under development pressure, e.g. increasing the number of day-care centres, housing developments and sales of plots, and neighbourhood and mixed-use developments.

Success Factors:

- Its mandate and capacity enables it to steer complex processes, e.g. through direct involvement with heads of city administration departments in consultative groups, thus minimising formal hierarchies of communication between departments
- The large cross-disciplinary knowledge of a relatively small number of staff supports direct, quick, uncomplicated professional exchange
- Efficiency in decision-making and implementation of measures

The UDA in a nutshell

LESG was founded in 1998 by the City of Leipzig as a fully owned subsidiary company. It exercises its mandate through different work models: as an investor representing the city in front of developers, and as a trustee of the city with responsibilities for its overall development.

It implements projects for the public good on behalf of the city administration and its public agencies. And it provides support services, such as project management and consultation, to urban construction and development projects.

The projects it is commissioned to carry out are related to the current challenges of integrated urban development and cover a broad range: from the development of entire areas and single sites, to the construction of public buildings and facilities.

LESG develops, implements and supervises projects such as the building of day-care centres and schools, and the urban development of neighbourhoods, and it offers advisory and feasibility services, marketing of real estate in affordable residential areas, and facility management of properties rented to the city.

LESG is mandated to apply integrated approaches in its work, and can be involved in the whole planning cycle, including the engagement of stakeholders and public participation.

Moreover, it can relieve the City of Leipzig financially by leasing assets and buildings to the city so that the city itself does not have to make the capital investments directly.

KEY FEATURES & LESSONS LEARNT

Financing of the LESG depends on the city and funding programmes

Financing of projects is provided from the city budget and additional funding programmes. Annual basic financing (GER: Grundvertrag) is provided by the city council. LESG receives its commissions from units of the city administration or from other city owned public companies (e.g. for public service delivery).

Commissions with a value of above 260,000 Euro require the approval of the LESG's supervisory board. A commission of more than 2 million Euro requires an approval by the shareholder – the Lord Mayor. While most projects are financed from the city budget, often in combination with state and national funding programmes, some projects are developed on the initiative of the LESG itself and funded with its own liquidity, funding programmes and through loans.

Governance: LESG can take on different roles with an agile team

LESG currently has around 19 employees with a wide range of specialized expertise. It is led by a managing director and is accountable to a supervisory board, which is chaired by the Deputy Mayor responsible for Urban Development and Construction.

The different roles LESG can take are:

1. As an investor and developer itself: LESG plans, finances and constructs a building and then leases it to the City of Leipzig for an agreed period. After the agreed period has expired, the building can handed over to the city. (e.g. the Museum of City History). Another option is that the building remains the property of LESG. In this case, the LESG is responsible for everything from the initial idea to implementation to leasing and for continuity.

2. As a representative of the city: When authorized by the city, LESG can carry out all its functions on behalf of the city administration. This includes aspects such as funding acquisition, support and supervision of planning, preparation and supervision of design competitions, tendering and awarding of contracts, construction management, site supervision, time and cost controlling, billing and documentation.

3. As a trustee of the city: LESG takes on the planning and implementation of overall urban development measures. This role is legally authorized and applies to individual and overall measures as well as public relations and citizen participation.

The LESG has its own procurement regulations, which are similar to those of the city, and it also has its own department for evaluating tenders and awarding contracts.

Targeted, project-based stakeholder involvement and participation

Public participation is project-specific. It can range from providing information to organizing a public festival.

Information on construction projects is generally given in the district council of the respective area.

In the case of larger projects that have a major impact in their area (e.g. a new day-care centre), public events are held to disseminate and discuss information. LESG usually knows the future beneficiaries of these types of project, and their participation is part of the planning process. Regular information on the project progress is provided on the LESG website and in press releases.

Potential for knowledge transfer

LESG has developed extensive expertise in planning, coordinating and steering complex mixed-use development projects with profound impacts in the respective neighbourhoods.

Furthermore, the different roles the LESG takes as a company – investor, city representative, trustee – have potentials for knowledge transfer and additional value for UDAs.

LINDENAU HARBOUR

Type of project: urban redevelopment of a city quarter

Construction area: 4 hectares

Current state: in progress and attracting new investments

Impact: new city quarter with 500 residential units; renovated canals are navigable

LESG together with the City of Leipzig is redeveloping the area of Lindenau Harbour. This is the city's first large-scale multi-storey residential development since the reunification of Germany in 1990. The project involved the design of a city quarter of 4 hectares with direct connections to navigable canals, which are characteristic assets of the area. The aim is to offer around 500 residential units for sale or rent, a day-care centre and selected residential areas for owner-occupiers and for businesses.

LESG as a driver of development – Lindenau Harbour

Karl Heine, an industrial pioneer in Leipzig, began building a canal in Plagwitz in 1856 to connect two rivers, the Weisse Elster and the Saale, in order to make them accessible to the industrial factories that were springing up in the area. The canal was only partially completed. The Lindenau Harbour part of the canal was originally designed as an industrial port, but has lay fallow for decades.

In 2010, the Leipzig City Council decided to develop the area. The aim was to develop a lively, multifunctional city quarter which, right from the start, would combine heritage protection, diverse uses through new buildings in residential and commercial areas, as well as closeness to nature and sustainability.

Integrated approach applied to all initiatives

LESG was commissioned because the project contained a large number of cross-sectoral tasks, and the LESG had vast experience with such work as opposed to the city department responsible for the property.

The development of the Lindenau Harbour city quarter was an integral part of the growing city of Leipzig's Urban Planning Concept. The most important criteria for the development of the area included architectural quality, mixed-use development, sustainability and energy efficiency. Attention was also given to embedding the development into the local context and surrounding landscape.

Public welfare as main goal

As part of the development of the entire site, individual plots were put to tender in a so-called "concept tender process", which is a known German planning instrument. Compared to other tender procedures, such as direct award or award to a highest bidder, the concept tender process integrates concept related objectives when awarding contracts.

The City of Leipzig awarded sites in an investor selection process. Awards were not made to the highest bidder, but to proposals that fitted the project's underlying urban concepts in combination with price and quality. As a result, a mixture of owner occupied, rental or cooperative housing, primarily for middle and above income families has emerged and is still being developed in the area.

Triggering investment by other public actors

The city-owned housing company LWB is planning to build 18 new rent-controlled apartments and a child day-care centre with 100 places in the Lindenau Harbour area.

EMPLOYMENT PROMOTION WITHIN THE FRAMEWORK OF URBAN MEASURES

Type of project: urban rehabilitation and development

Construction area: 145 construction projects of different sizes

Total investment: 110 million EUR over 12 years

Current state: completed

Impact: unemployed people found temporary or long-term employment; a large number of urban rehabilitation projects carried out

In partnership with other actors, LESG initiated a programme for placing unemployed people in companies engaged in the implementation of urban development projects in the city of Leipzig.

The basic aim of the initiative was to bring temporary jobs into the labour-market, which might eventually lead to permanent employment. Most participants had suffered long-term unemployment as a consequence of the decline of industries in Saxony and other east German states after reunification.

The people employed through this programme were mainly engaged in manual or other construction-related activities in projects under LESG responsibility.

Short and long-term impact on economic development

Over a period of twelve years, around 145 construction projects with a total volume of 110 million euros were implemented with the help of this programme, which was used almost exclusively by small and medium-sized enterprises from the Leipzig region.

Because of the programme and the capacities it could provide, additional public contracts could be awarded. At the same time, long-term unemployed people could find at least temporarily employment with the respective enterprises.

Around a third of the long-term unemployed involved in the programme found permanent employment no later than six months after the end of the temporary employment.

Cooperation with stakeholders

The LESG determined which services and activities were required for each project. Placements were then made through local employment offices or job centres. The LESG was in charge of administering the use of the labour force within the projects, of controlling the execution of construction work, and payroll accounting.

Financial setting of the programme

As an incentive for the companies to participate in the programme, a wage subsidy was available to supplement the costs of the extra employees. To ensure the quality of their work, they were guided by experienced employees of the respective companies .

Challenges faced in the process

This job creation programme was not without controversy because it was supposedly too expensive and supposedly near ineffective as a bridge from unemployment to the primary labour market. Nevertheless, good impacts can be seen today in the unemployment reduction data, and in the large scale urban development projects that could not have been effectively carried out without this programme.

LEIPZIG CHILD DAY-CARE CENTRES

Type of project: development of social infrastructure

Construction area: 13 day-care centres of different sizes

Total investment: 48 million EUR

Current state: partially finished, partially under construction

Impact: 5,000 day-care places

Since mid-2013, children in the Federal Republic of Germany who have reached the age of one have a legal right to a place in a day-care centre.

Leipzig is one of the fastest growing cities in Germany in terms of population, and the demand for day-care places in the city has been increasing for some years.

The city's available places cannot accommodate the demand, and the need for places is increasing. In order to meet this and future needs, new day-care centres are being built on communal land in the city.

Alliance with public and private actors

LESG is in charge of the planning and construction of 13 day-care centres on behalf of the City of Leipzig. The decision to build them was made by the Leipzig City Council in 2016.

Of the 5,000 day-care places created, around 2,000 were produced by LESG; others were provided through the

Office of Building Management of the City of Leipzig; and yet others by private providers, who receive institutional funding for their activities.

Financial figures

The Leipzig day-care centres are set up on land owned by the city. The total investment for these day-care centres is around 48 million EUR, a relatively small amount of which is from the city budget. The larger remaining amounts are provided by the day-care centre operators.

In 2019, after a ten-month construction period, the first Leipzig day-care centre was handed over. Seven Leipzig day-care centres were built under the management of LESG by the end of 2020.

LESG thus helps the city ensure that citizens' current and future entitlement to day-care can be quickly met.

5.6   Hamburg, Germany

FULL NAME

IBA Hamburg GmbH (Eng.: International Building Exhibition Hamburg)

LEGAL NATURE & SHAREHOLDER STRUCTURE

Public company acting under private law (Limited liability company), full subsidiary of the City (100%)

TERRITORIAL LEVEL & LOCATION

City level ("city-state" level)[2]

TIME IN OPERATION

Since 2014 as urban development company. **2006 – 2013** to implement IBA Hamburg with continuation.

ORGANISATIONAL SETTING

| City of Hamburg | → | Full subsidiary of the Free and Hanseatic City of Hamburg | → | IBA Hamburg GmbH |

Accountability

Accountable to the company's Supervisory Board, consisting of 6 members representing different units of the Hamburg Senate Administration. In the framework of the commissioned projects, accountability to the commissioning party "State Ministry for Urban Development and the Environment".

Measures to assure accountability: supervisory board, annual reporting, publications, press work, participation formats

Objective

From 2006–2013, urban, economic and infrastructural upgrading of the largest Hamburg district Wilhelmsburg.

Since 2014, acting as an urban development company, developing new, liveable and lively neighbourhoods, offering space to live and work for a broad cross-section of society.

Projects:

10 project areas throughout the city, approx. 440 hectares of surface area, approx. 17,700 housing units created, approx. 100 hectares of leafy and open space areas. Project areas include the second largest urban development areas of the city, different kind of housing areas, commercial spaces and social infrastructure.

All projects can be found here: https://www.iba-hamburg.de/en/projects/project-areas

2. Hamburg is a so called „city state", i.e., one of three federal states that consist of only one city or, in the case of Bremen, two cities. City states are Berlin, Hamburg and Bremen. These city-states are thus federal states and municipalities at the same time.

Scope, Functions & Mandate

Mandate & Functions:

From 2006-2013, it was commissioned with the development, execution and implementation of the International Building Exhibition IBA Hamburg.

Since 2014, commissioned by Hamburg State Ministry for Urban Development and the Environment with the planning, development, marketing, and realization of holistic neighbourhoods (incl. residential units, workplaces, social and educational facilities, green and open spaces, technical and energy infrastructure).

Locations/Boundaries:

The commissioned 10 project areas are in ownership of the city. The project areas are defined by the city in a land use plan (Ger: Bebauungsplan)

Scope and timeframe:

Entire project development tasks from initial feasibility study to when stable neighbourhoods have formed. Tasks include initiating and controlling competitions, functional planning, supporting the acquisition of construction rights, development and design of public open spaces, marketing and quality controls. Accompanied by open and continuous communication and demand-related involvement of citizens and, later, of residents.

Financial figures

Budget 2019

| Material Costs 18,733,000 | Staff 2,532,000 | Surplus 373,00 | Other Operating Expenses 395,000 |
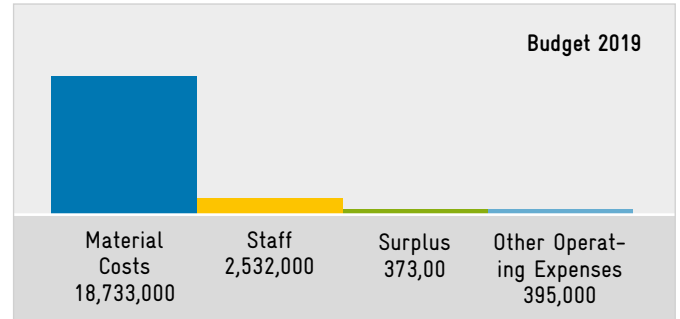
All figures in EUR

Revenues from contracts with the City of Hamburg in 2018: 17.258.000 EUR

Revenues from contracts with the City of Hamburg in 2019: 22.140.000 EUR

In the period from 2006 to 2014, a total of around of around 89.500.000 euros was granted to IBA Hamburg GmbH for the organisation of the International Building Exhibition Hamburg 2013, of which around 19.500.000 euros was allocated for operational measures and around 70.000.000 euros for investment measures. Different projects during the International Building Exhibition were (co-) funded through other sources like European, federal and state (urban) development programmes as well as IBA partners (e.g. private or state owned enterprises).

Strengths and Opportunities

- Involved in the entire project cycle of planning and implanting investments Organizing the engagement of stakeholders and public participation.
- Public events/dialogue formats held to build among the population and residents: "Living means staying!" And "upgrading without displacement" are still among the fundamental maxims of the IBA Hamburg.

Weaknesses and Threats

Upgrading of neglected and partially poor neighbourhoods raises concerns of displacement during a gentrification process.
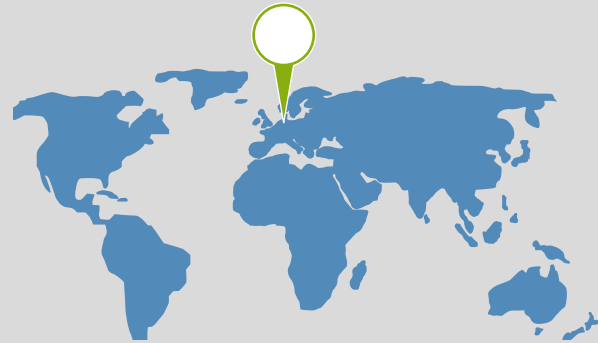
IBA Hamburg GmbH

POPULATION (2019):
1,899,160 inhabitants

SIZE:
755,22 km²

POPULATION DENSITY:
2,515/km²

GDP PER CAPITA:
67,300 EUR

Federal state status

Impact and success factors

In this case study, a distinction is made between "IBA", the International Building Exhibition in Hamburg from 2006 - 2013, and IBA Hamburg GmbH, a fully owned company of the City of Hamburg, which was commissioned with the development, execution and implementation of the International Building Exhibition, and which, since 2014, acting as an urban development company, developing new districts in Hamburg.

The International Building Exhibition (IBA) in Hamburg (2006-2013) is based on the principles of a format that has provided a platform for experiments and innovations in architecture and urban design in Germany for over 100 years. The Building Exhibition focused on the spatial, social, and cultural development of the Wilhelmsburg islands in the River Elbe - an area characterised by spatial isolation, sensitivity to climatic conditions and challenging socio-economic conditions. Besides showing several innovative architectural approaches (e.g. "active" buildings using construction methods and materials to generate energy), the IBA and its partners aimed, in their 70 projects, to improve local conditions through housing, living environments and so-called "educational landscapes". Today, IBA Hamburg GmbH is involved in projects that include some 17,700 housing units, approximately 100 hectares of green open spaces, commercial spaces and social infrastructure.

Success Factors:

- Enabling experimental work served as its springboard for holistic neighbourhood development;
- All of the nearly 140 partners committed to a common vision known as the "IBA Convention";
- Acquiring and pooling of various funding that is available from different levels of government (EU, national, state);
- Excellence criteria for the selection of projects, special funding modes and the absence of market pressure during exhibition time;
- Participation of the scientific community and support through different exchange formats.

The UDA in a nutshell

As heir to the Building Exhibition projects, IBA Hamburg GmbH has been managing the next stages of the neighbourhood development in Wilhelmsburg since 2014, and has also extended its reach into other parts of the city.

IBA Hamburg GmbH is commissioned by the Hamburg Senate with the task of planning, developing, marketing and realizing holistic neighbourhoods. Its projects are distributed across 10 areas owned by the city and that are defined in the city's land use plan. IBA Hamburg is involved in the entire planning cycle,

which includes continuous engagement and demand-related communication with citizens, and, later, with the inhabitants of the projects.

The UDA's strengths inherited from the temporary IBA include the special focus on experimentation and innovation, and the capacity to develop large sites and trigger urban and social transformations within and from them. Also inherited from the exhibition times are the culturally sensitive approach to dealing with the housing and tenancy stock (see project "Weltquartier"), as well as the concept of educational landscapes that link various school and extracurricular activities to offer young people with transition-to-work experiences or new media skills and qualifications.

Another aspect of note is IBA Hamburg's active involvement in public events and dialogue forums, which are fundamental to its work. Some of its known maxims are "Living Means Staying!" and "Upgrading Without Displacement".

IBA Hamburg's governance structure includes a Participation Council (24 citizens and 8 politicians without voting rights), which brings direct local experience into decision-making processes.

Because its work focuses on neglected areas of the city, the UDA faces challenges when upgrading neighbourhoods as it might increase the risk of displacement and gentrification.

The UDA is publicly owned by the City of Hamburg, but as a limited liability company it operates under private law.

KEY FEATURES & LESSONS LEARNT

Implementing the Building Exhibition projects through co-financing

During the implementation period of the International Building Exhibition in Hamburg, numerous projects were co-financed by various investors. IBA Hamburg GmbH assisted its investors in both planning and technical terms and in their interaction with the authorities. Among the investors are private and municipal housing associations, private project developers, energy suppliers, non-profit organizations and others. Further funds are drawn from municipal, federal and EU funding programmes (e.g. the German Federal Urban Development Support Programme, the European Social Fund).

Structural monitoring for performance evaluation

To evaluate the effects of IBA activities, structural monitoring was used during the period 2010-2013. In addition to a small-scale analysis of statistical data, the monitoring included surveys of residents (questionnaires) and interviews with experts. Performance indicators for the developments on the Wilhelmsburg islands were compared with those for Hamburg as a whole, and with Billstedt, a Hamburg district being developed with classical instruments (and the Urban Development Support Programme). Indicators included, for example, changes in residential and commercial rents, tenant satisfaction, the number of school leavers, and so on. The results of the evaluation are documented in a detailed final report.

Major obstacles for the UDA's effective operation

IBA Hamburg GmbH operates in a deprived neighbourhood with a predominantly young migrant population, many brownfield sites and threats from climate change. The complexity of the problems requires a change of perspective and an astute understanding of linkages between the relevant issues. Spatial and time limitations are necessary for the "exceptions" that the IBA creates during its implementation phases in order to accelerate the transformation process. The challenge lies in the transition to normal operations because political consensus is needed to maintain the IBA's ambitious concept in the long term. The IBA is, in this regard, not able to provide clear evidence of benefits because the positive social and economic effects only become visible much later, when accurate monitoring of causal relationships is

KEY FEATURES & LESSONS LEARNT

no longer feasible. Political consensus regarding continuation is also necessary to preserve personnel capacities built up during the initial IBA period.

Development processes in districts with below city-average rent levels also raise questions about displacement and gentrification. Challenges are therefore not only about the acceptance of both temporary measures and long-term development, but also about maintaining a balance between the expectations of the residents and economic efficiency, e.g. by finding innovative cost reducing solutions (see project "Weltquartier").

Stakeholder involvement and public participation

Civil society engagement in Wilhelmsburg has been acknowledged as a highlight of IBA Hamburg. In addition to the participation of stakeholders, investors and partners in various committees, citizens' involvements include with the Participation Council, an ongoing partner of IBA Hamburg, as well as with numerous other participation projects.

Since 2014, IBA Hamburg has made participation an integral part of project development and the planning process. It uses different formats depending on the project or its phase: these range from information events, surveys, public presentations, ideas workshops and project dialogues, to workshops on the design of, for example, courtyards or playgrounds. IBA distinguishes between citizen participation, residents' participation, stakeholder participation and other participations (e.g. of schoolchildren or youth).

Participation measures in several of the IBA Hamburg projects are carried out in cooperation with the "Perspectives!" initiative of the Wilhelmsburg Community Centre Foundation.

Innovative approaches

IBA Hamburg GmbH's current activities focus on holistic neighbourhood development, bringing an integrated approach into the planning process. Through ideas workshops and experiences from the initial IBA period, IBA Hamburg is encouraging the development of "lively

environments" that go beyond built infrastructures and sectoral problem solving, and combine housing, public space, mobility and other public goods.

Potential for knowledge transfer

Through the joint implementation of model projects, new experiences, technologies and approaches can be transferred to partners, ministries and city departments. Lessons learnt in the local context, can be used to address global problems and can inform project development in other cities. With this in mind, IBA Hamburg offers its expertise by publishing a series of books, white papers and so on, and promotes knowledge and experience exchange at professional events (IBA Forums, IBA Laboratories, IBA Lounges, etc.).

Various components contribute to learning experience and the transfer of the IBA format. The following are procedures common to all IBAs. They are advised by an IBA expert group that is supported by the Federal government. They meet with the IBA network for exchange between organizers; attend IBA congresses; and abide by the German Federal Interior Ministry's "Memorandum on the Future of International Building Exhibitions". A competence centre of the Federal Institute for Research on Building, Urban Affairs and Spatial Development (BBSR) carries out ongoing research on IBAs.

An interesting project funding practice

Among IBAs' methods to ensure high quality standards is so-called "top-level financing" ("Spitzenfinanzierung"), in which state or federal subsidies provide funding for the best possible project outcomes by reducing communal contributions to the absolute minimum.

Documentation of the learning process

IBA Hamburg has been documenting project processes and development in detailed ways during implementing the exhibition (IBA final report, reports on participation processes, competition documents, project-specific data etc.).

KEY FEATURES & LESSONS LEARNT

Key lessons learnt

The format of an International Building Exhibition creates extraordinary situations for planning, and hence opportunities to test new development practices that are not often available in normal planning processes. Time limits, special forms of organisation, competitions, events and strict quality criteria, enable innovations and integrative processes involving a wide range of relevant actors.

IBAs' methods of ensuring the highest quality standards are among their strengths. Besides the possibility of top-level funding to incentivize outstanding project quality, each IBA project must also comply with the goals set up by IBA Conventions and meet their excellence crite-

ria. In the project selection process, preference is given to integrated projects, which address several issues at the same time. Furthermore, quality assurance contracts with project partners are entered into to resolve conflicts and ensure that thematic concepts are followed appropriately.

Additionally, the need for wide participation arises when comprehensive transformation processes take place in sensitive social and cultural settings. This leads IBAs to ally themselves with local civil society actors, and to facilitate dialogue with citizens at all stages of the planning processes (see project 2: Spreehafenviertel).

WELTQUARTIER – GLOBAL NEIGHBOURHOOD

Type of project: modernisation, reconstruction, and expansion with new buildings

Construction period: 2009 – 2015

Apartments: 820 publicly rent subsidized apartments, of which 770 are converted or new-built: approximately 2,000 residents

Commercial units: 46, 40 of which are in the "World Commercial Park"

Investment Volume: more than 100 Mio. EUR

Public welfare and public participation

The "Weltquartier" Global Neighbourhood aims primarily at improving the living conditions of the multicultural population of a rundown former workers' housing estate. The project deals with how to modernise the housing according to climate protection standards without causing rent increases that displace residents ("Living Means Staying"), and also with culturally sensitive design and open space planning. In an area with residents from over 30 nationalities, it was important to retain the existing residents while modernising the neighbourhood in order to stabilise the area and secure its social and cultural infrastructure and resources. At the core of the process was a participatory approach that needed to reach people from different cultures. Multilingual discussions on the concept of homeland were used to find out the interests and needs of the residents; models with movable walls made it possible to develop a culturally sensitive floor plans.

Social impact and consideration of all relevant interests

An urban planning ideas and realisation competition for the redesign of the Weltquartier area was launched in 2008. One of the tasks of the competition was to develop the area in a way that strengthened its intercultural character. The plans were developed and realized in cooperation with SAGA GWG, the municipal company that owns the housing. To adapt the floor plans to the needs of residents, large loggias were added and kitchens with dining areas were incorporated. It was possible to keep the rent increases very low (€ 0.13-0.16/sqm), because the modernisation costs were compensated for

by energy cost savings. The low rents are secured in the long term thanks to significant savings in ancillary rental costs and 30 year rent controls, all to safeguard an international neighbourhood that is seen as an asset to the city.

In addition to housing, the project in Weltquartier included open space planning, the redesign of Weimarer Platz, and the creation of commercial space within the "World Commercial Park" redevelopment, which is integrated into the neighbourhood. As part of the redesign of Weimarer Platz, a pavilion for neighbourhood use was built, an idea that originated during the open space planning workshop in 2007. The pavilion contains a café and a community space for local organisations for social and cultural activities, which were found through a call for applications.

Funding sources

The project was sponsored by the Hamburg state-funded Framework Programme for Integrated Neighbourhood Development (RISE). Additional funds from the European Social Fund (ESF) and the European Regional Development Fund (ERDF) were used for the construction of the World Commercial Park. The housing component of the project (including Weimarer Platz) received around 5,8 million euros in funding from the Federal Interior Ministry's "Stadtumbau West" programme, around 35 million euros in housing subsidies from the Hamburg Investment and Development Bank (IFB Hamburg) and up to 600,000 euros in "excellence funding" from IBA Hamburg. Private sponsors contributed to the design of Weimarer Platz.

OBERBILLWERDER:
PILOT "ACTIVE CITY" DISTRICT WITH A FOCUS ON SPORT, HEALTH AND EXERCISE

Type of project: holistic neighbourhood development

Construction area: 124 ha, of which 28 ha are green areas and public spaces

Number of residential units: around 7,000

Current state: Masterplan adopted by the Hamburg Senate in February 2019; Development Plan Procedure (2019–2022) by the Bergedorf District Authority; regulatory planning in four steps (2019–2030)

IBA Hamburg GmbH is involved In Oberbillwerder in the planning of the second-largest urban development project in Hamburg. In September 2016, the Hamburg Senate commissioned IBA Hamburg to draw up a masterplan for the Oberbillwerder area. This also included a cost and financing plan and intensive citizen participation. The Competitive Dialogue format, which is used only for projects of outstanding importance, was adopted in this case, and involved competing planning offices. After a planning process lasting 2 years, the jury-selected winning design was transformed into a masterplan by IBA Hamburg in consultation with the State Ministry of Urban Development and Housing, the Bergedorf District Authority and experts.

Governance

At the start of 2018, the Hamburg Senate instituted a new development company, IBA Projektentwicklungs GmbH & Co. KG (IPEG), as a subsidiary of IBA Hamburg GmbH, to carry out the realization of the Oberbillwerder development project. Its task is to manage the content, organisation, design, marketing and financing of the project in coordination with the city authorities and the District of Bergedorf. Unlike with other neighbourhood development projects of IBA Hamburg, the responsibility for main areas in Oberbillwerder were transferred to IPEG, which enables those areas to enter the open market.

In April 2019, the Oberbillwerder Masterplan received the German Association for Sustainable Construction (DGNB) Platinum Award.

Innovation

Oberbillwerder is being developed as a model "Active City" district. In addition to the sports areas and facilities in the "Green Loop", an open public space connection element, and a four hectare activity park in the east, other open spaces are to be designed to encourage play, sport and exercise in everyday life. In the Active City model, extensive use of sports facilities plays an important role, not least in the advantages of multiple usage (by schools during the day, by sports clubs and private individuals in the evenings and at weekends; all supplemented by exercise areas on roofs). Restrictions on the intensity of use are avoided by using noise reduction techniques: the design does this by utilizing building typologies with elongated floor plans and hard building edges. The concept of the Active City is enriched by playgrounds, sports fields and small-scale exercise areas close to residential buildings to bring physical exercise into residents' everyday lives (intergenerational, but especially for senior citizens).

Holistic approach

The new district is planned as a low traffic neighbourhood. Mobility hubs will offer car sharing services and public transport access points, and be district centre places. Furthermore, smart solutions for rainwater management (retention areas as part of a water infrastructure complex that includes public open space areas) and energy supply (local solar energy systems, combined heat and power systems (CHPs), power-to-gas systems, etc.) characterise the new district.

SPREEHAFENVIERTEL

Type of project: holistic neighbourhood development

Construction area: 20 ha, of which 3 ha are green areas and public spaces

GFA (gross floor area) commercial, trade and services: 31,000 m²

Number of residential units: around 1,100

Current state: Development Plan Procedure by the Hamburg–Mitte District Authority

Integrated approach

The Spreehafenviertel is being developed in a waterside area characterised by trees, and commercial and sports uses. In developing this urban quarter, IBA Hamburg GmbH is relying on different housing typologies (perimeter block developments, multi-family houses, row townhouses), land offers for joint building ventures, flexible floor plans and the obligatory Hamburg "one-third mix" (one third subsidized housing, one third free housing, one third owner occupied dwellings) to address different target groups. Commercial uses, public open spaces, green areas, cycle paths, kindergartens, playgrounds and the like are all integral parts of the project.

Public participation at the core

The Spreehafenviertel project is representative of the extensive participation processes used by IBA Hamburg GmbH in the development of projects in Wilhelmsburg. During an urban and open space planning workshop, citizens were, for example, involved in finding ways to preserve as many of the district's important existing trees as possible, and the traffic and mobility routing was adapted accordingly. The public participation processes In this project were carried out in collaboration with the "Perspectives!" initiative of the Wilhelmsburg Community Centre Foundation and its cooperation partners, the Wilhelmsburg District Development Advisory Council and the Federal Association for Housing and Urban Development (vhw). Public participation, which took place during various project stages, consisted of the following components:

Core activities:

A kick-off event providing information on the project and its intentions. Online participation opportunities using an interactive map of the planning area. Local residents' development of criteria for new neighbourhoods in the area. Informational and participatory events. Participatory workshops on urban and open space planning, and, in this case, on the theme, "What do we need in our neighbourhood", which spelt out citizens' requirements: these requirements were compiled and edited by a group of citizens, and handed over to competing planning teams as part of a competition brief.

Planning competition:

Exploratory visit to the area. Workshops with competing planning teams and experts (in two of these workshops the planning teams worked on draft proposals together with residents). Final presentation of proposals and citizens' vote for preferences. The results of the vote were included in the competition jury's evaluations.

Challenge:

Since the jury chose a different design to that favoured by the citizens, an additional workshop was held and the winning design was subsequently adjusted to meet the requirements arising from the workshop.

The above processes exemplify the spectrum of opportunities for citizen participation in project development and implementation. The use of cooperative and participatory methods in urban design competitions plays an important role in this.

5.7 Lviv, Ukraine

FULL NAME

Municipal institution City Institute (Lviv)

LEGAL NATURE & SHAREHOLDER STRUCTURE

Public institute acting under private law, owned by the City of Lviv

TERRITORIAL LEVEL & LOCATION

City level (focus 90% of all activities)
National level (around ca. 10%)

TIME IN OPERATION

Since 2009 (1st City Institute in Ukraine)

ORGANISATIONAL SETTING

| City of Lviv | → | Subsidiary under private law, not subject to managerial authority and not in the organizational structure of the city | → | Municipal Institution City Institute |

Accountability

Accountable to Supervisory Committee consisting of 12 members (mayor, representatives of all political parties in City Council, representative of universities, business community, NGO´s); Supervisory Committee assigns director, defines number of staff and salaries, agrees to the work plan, and controls its realization; controlling finances and approving financial plans.

Measures to assure accountability: annual reporting to supervisory committee and public event for interested public + publication, web site, annual planning with Key Performance Indicators.

Objective

City Institute is Lviv's center of strategic planning: developing the city's strategies, research, organizing (national/international) forums, managing international projects.

Selected Projects: http://city-institute.org/projects/

- Comprehensive development strategy of Lviv until 2025; Sustainable Urban Mobility Plan for Lviv until 2030; Green City Action Plan 2030; Strategy "Lviv is the friendly city to children and youth"
- Program for recovery from COVID - "Lviv tomorrow"
- Sustainable energy Positive & zero cARbon CommunitieS (SPARCS)
- City Makers (Urbanistic school); Urban Workshop - annual citizen engagement festival

- National: All-Ukrainian Local Self Governance Forum; All-Ukrainian Condominiums Forum
- Youth Wellbeing Index (research)
- Funding of restoration of windows and doors within UNESCO-world heritage
- National: All-Ukrainian Local Self Governance Forum; All-Ukrainian Condominiums Forum
- Youth Wellbeing Index (research)
- Funding of restoration of windows and doors within UNESCO-world heritage

Scope, Functions & Mandate

Mandate & Functions:

Developing the city's strategies, conducting research, organizing (national/international) forums, managing international projects, organizing public participation, bringing together and coordinating main stakeholders. All topics of urban development are dealt with (topics are suggested to the Supervisory Committee or given by the Supervisory Committee).

Locations/Boundaries:

After amalgamation, since 2021 on bigger territory (City level); national: organizing thematic national forums and trainings (10-15% of all activities)

Scope and timeframe:

During the whole planning process for elaboration of strategies, international projects etc.

Financial Figures/Information[3]

Funding Sources 2020

Municipal Funds
209,000

International funds
79,000
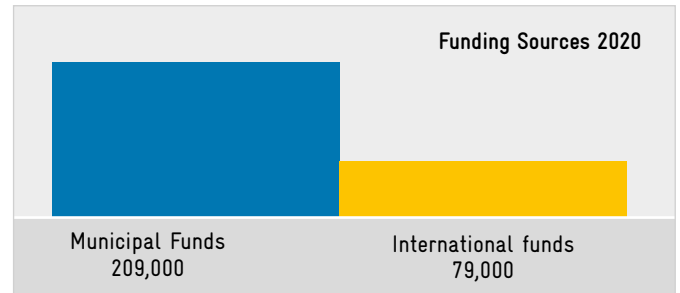
All figures in EUR, conversation from Jan. 01, 2021

The City Institute Lviv receives direct commissions from City of Lviv general fund (around 60% of budget) for salaries, running costs etc. and other funds (fund acquisition from international projects and donors - around 40% of budget) for projects.

The city covers fixed cost almost by 100%; International grants cover ca. 70% of project cost.

Share of commercial sponsors: < 3%

Strengths and Opportunities

- Pioneer for many other City Institutes in the country to carry innovations into city administration and city society especially from international good experience/projects.
- Compare with the city administration, the UDA has managed to easily participate in international projects, has own accounting and is not subject to difficult budgetary regulations.
- Acting interdisciplinary, access to international experience
- Bridge between city hall and civil society

Weaknesses and Threats

- Acceptance of the departments depends very much on the persons involved (we only can convince them, not force them; we cannot implement without our department colleagues)
- Strongly dependent on the mayor

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3. Note from CEO: 2020 is not typical share. An average for last 10 years is 50%/50%. In the recent 2-3 years there is a tendency 60% - City budget, 40% - International donors and grants. City covers fixed costs of nearly 100%. International grants cover 70% of project costs. Only once in 10 years, there was some co-financing from national source. UDA is also attracting commercial sponsors also, but their share in general budget is less than 3%.

City Institute Lviv
(Instytut Mista Lviv)
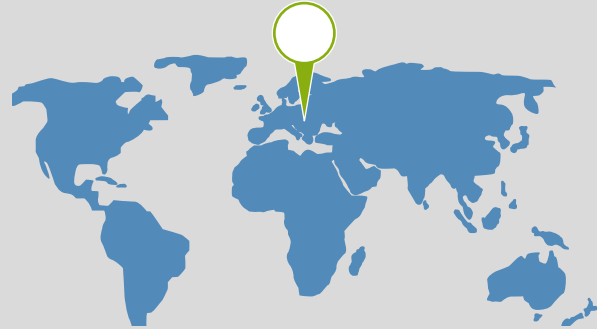
POPULATION (2021):
753,800 inhabitants

SIZE:
148.95 km²

POPULATION DENSITY:
4,844/km²

GDP PER CAPITA:
8,668.33 USD

Lviv Metropolitan Area:
1,148,000 inhabitants

Impact and success factors

The City Institute is the centre of strategic planning in Lviv. It is primarily focused on public participation, awareness raising and strengthening the positive social impacts of development policies and measures. The City Institute does not implement construction or infrastructure projects, but rather serves as a coordinator, facilitator and moderator of urban development processes. It combines analytical capacities with strategy development and communication skills, and brings an interdisciplinary approach into projects.

Success Factors:

- Its mandate as an enabler of the integrated urban development of the city
- The participation of all relevant stakeholders as a common objective in all CI related projects.
- It is not limited to urban planning. Its mandate includes strategic planning and development in a variety of thematic areas: urban planning, local economy, education, culture, democracy, media literacy
- Freedom to develop and implement project ideas, even if funding cannot always be secured from the city budget
- Strong fundraising skills

The UDA in a nutshell

The City Institute (CI) was founded by the City of Lviv in 2009 as its main strategic planning agency. Its mission is to "bring residents, business people and the administration together to address key issues of strategic development of the city".

The City Institute carries out research, organizes national and international forums for knowledge exchange and manages projects in Lviv on behalf of the city, and national and international agencies. Its strengths include project management skills (enabling working cooperations with international partners), strategic planning skills (on a range of different strategic functions and aims) and a policy of involving all relevant stakeholders in projects and processes. The Institute has the flexibility to take on different roles and, for example, to act as a promoter to kick-start projects, or as an advocate to have them realised in an integrated, participatory and effective manner. It uses innovative techniques, such as "tactical urbanism", to visualize and support the best possible project outcome.

The City Institute in Lviv was the first agency of its kind in Ukraine, and an example for many other cities in the country of how to bring innovation into city administrations for the benefit of the community.

„Ideas are now more valuable than funding, even if not all of them can be realised"
O. Kobzarev, Head of the City Institute, Lviv Interview on 23.04.2021

KEY FEATURES & LESSONS LEARNT

Governance: Cooperation with public administration and political institutions

In its activities, the City Institute relies on many project-related partnerships, for example, with city administrative units (the Department of Heritage Protection, the Department of Urbanism and Urban Planning), with municipal enterprises ("Road for All" and "Lvivavtodor", both involved in mobility), and with international agencies (Door and Window Programme, the public urban workshop "Maisternia Mista").

Decision making mechanisms

The CI is characterised by its proactive attitude: many innovative project ideas originate within the CI, which then approaches potential allies in the city administration for implementation. An example of a project arising from this is the teaching of entrepreneurship in schools, which is aimed at fostering a creative city (project partners: the City Department of Education and various local secondary schools). In some cases, other institutions approach CI directly with project proposals, as in the case of the "Network of Informal Education" project, which is transforming libraries into cultural and educational centres that offer adult education (partner: DVV International, sponsor: the German Federal Ministry for Economic Cooperation and Development, BMZ): the CI also engaged the City Department of Culture in this project.

The City Institute's Supervisory Committee approves the institute's annual action plan (including targeted outcomes and a list of events and projects), and an estimate of pro-rata funding needed for the agreed number of projects. The pro-rata funding is from the city budget, and is agreed to by the City Council. Realisation of the projects then depends on whether the CI can cover the remaining costs by attracting third-party funds. Approximately 30 % of the projects are however realised outside the CI action plan and do not require approval by the Supervisory Committee because no funds from the city budget are required for them (e.g. "Disinformation Duck" online courses for media and political literacy, sponsored by the Kyiv office of the Hanns-Seidel Foundation). In these cases, the committee is informed, but takes no action.

Performance, monitoring & evaluation

The institution uses activity-based key performance indicators (KPIs) for monitoring and evaluating strategies, studies, projects and events. Nevertheless, the CI has no influence on the implementation of the strategy-based projects, as its roles are limited to those of facilitator and moderator.

Public Welfare and participation

A number of projects are directly oriented to public benefit, and address issues of inclusion and accessibility. Examples are: the handbook on accessible pedestrian infrastructure, "Street for All"; young people's entrepreneurship exchange, "Lviv Open for Young Social Entrepreneurs"; the webinar series, "How to Start a Social Enterprise"; the equal opportunities "Pixlab" design school for youth; and for strengthening civil society, the NGO Community Action Ukrainian Style (CACTUS).

Potential for innovation

The innovative power of the CI lies in the advantage that, because of its functions and role, it does not fall into the routine of bureaucratic processing, but functions as an impetus for project ideas and development. It remains constantly in motion, transforming itself by tackling new issues and topics.

Pitching ideas to relevant stakeholders to arouse their interest and win them over, contributes to the development of the CI's innovatory powers.

Funding Sources

As a subsidiary of the City of Lviv, the City Institute receives funding from the city budget. For additional project funding, it turns to various international sources (GIZ, EU, partner municipalities and organisations), as well as private sponsors.

KEY FEATURES & LESSONS LEARNT

Major obstacles for the UDA's effective operation

As a non-profit municipal institution, the CI is dependent on funding from the city budget. The political composition of the city council plays a decisive role in the approval of funding, because depending on the political situation, there is often a lack of understanding or support for certain topics and projects (e.g. no funds for analytical studies were approved for 2021; there is a lack of understanding for "soft" measures such as the urban workshop, Maisternia Mista). For the implementation of a range of projects, CI is even more dependent on external funding. These conditions put the non-profit CI in a fragile position where there is no certainty as to whether targeted funding is accepted, or, as in 2020, entire funding calls are cancelled due to the pandemic.

There are no control mechanisms in place to monitor the construction and implementation of the projects, so there is no guarantee that important conceptual principles will be followed after the project has been handed over to the partners. There is a risk that the trust of citizens may decrease if they see that plans described to them, and in which they may even have participated, are not implemented in the form they were intended.

Increasing numbers of citizen enquiries, and the associated increase in bureaucratic activity needed to respond to them, pose a potential threat to capacities that would otherwise serve innovative, creative and effective work.

The high expectations of the public in terms of short-term results, and the still existing distrust of authorities and municipal projects, are further challenges that UDAs have to face in the Ukrainian context. The Lviv City Institute tries to mitigate these challenges through public information and participation measures.

Potential for knowledge transfer

The Lviv City Institute has exchanged learning experiences with various administrative departments of the cities of Leipzig, Freiburg and Lublin at the city level, as well as with the Institute of Urban and Regional development in Krakow at the state level, and is in a good position to offer strategic and project based knowledge to peer institutions.

As attempts to form an association of organisations in the field of urban development have so far been unsuccessful, and the existing expert networks (e.g. Regionet) offers too few exchange opportunities, there is no institutionalised possibility for knowledge transfer with similar UDAs. At the same time, CI, with its 10 years of project experience, is being approached by urban development agencies from other Ukrainian cities that are setting up or have just begun operating UDAs.

On the project level, the CI enables knowledge transfer through documentation (e.g. the "Street for All" handbook on participation) or by vocational training for professionals in the field of urban development (so-called "City-Makers Courses").

Working principles

The City Institute always makes a clear distinction between the commissioning party and the beneficiary (end user) of a project, engaging the latter at early project stages to engender a sense of ownership and avoid their potential rejection of the final product.

The CI's experience as a partner of the GIZ (German Agency for International Cooperation) in collaborative projects can be used as an successful example of adopting and further developing new project approaches.

The internal learning process

The CI uses its annual end-of-year meetings to conduct assessments of its successes and failures, its needs for further training (e.g. in project management or design thinking), and other internally relevant issues.

HISTORICALLY SENSITIVE RENOVATION

Type of project: renovation of historical doors, windows and balconies

Implementation period: 2010 – 2017 (first phase); current phase, 2017 and ongoing

Budget: 17 million UAH (~ 540,000 EUR, 2017)

Project partners: the German Agency for International Cooperation (GIZ) project "Municipal Development and Rehabilitation of the Old City of Lviv"; the Lviv City Department of Heritage Protection

Role in the project: project administration

The Old Town of Lviv has been a UNESCO World Heritage Site since 1998. As part of a programme for the renovation of historical building elements (doors, gates, windows, balconies etc.), a co-funding procedure was tested and established at the municipal level for the first time in Ukraine. This procedure now serves as a model for other Ukrainian cities. It supports owners in the renovation of their buildings in accordance with preservation order.

Governance

The jointly run programme was based on an intergovernmental agreement between the Ukrainian Ministry of Regional Development, Building & Housing and Communal Services and the German Federal Ministry for Economic Cooperation and Development (BMZ).

The function of the City Institute was to promote and administer the programme, and to coordinate the efforts of all the parties involved. GIZ managed the restoration work, as well as the logistics and accounting, and the Department of Heritage Protection took an active part in controlling the restorations. Since 2017, a municipal company, the "Heritage Office", which is subordinate to the Heritage Protection Department, has taken over the coordination and management of the programme.

Public Welfare and stakeholder participation

The programme has made important contributions to the preservation of Lviv's architectural heritage, to maintaining the value of the buildings for their owners,

and to securing their long-term residential functions. Citizens' involvement in the processes of urban renewal is essential to the success of rehabilitation measures and their sustainability. This programme therefore encouraged and incentivized residents to take part actively in the urban renewal process.

Integrated approaches

The project was implemented in an interdisciplinary and integrated cooperation between municipal authorities (City Institute, Heritage Protection Department), private owners and the international agency, GIZ. The contracts were concluded between City Institute and the building owners and co-signed by GIZ.

Project funding

The doors and windows component of the programme was funded through a co-financing arrangement, with the GIZ project contributing 70% and the building owners' the remaining 30%. The balcony renovation measures were also financed jointly with the respective owners, with the owner having to contribute a small lump sum. The remaining costs were covered in equal parts by the City of Lviv and the GIZ project. The City Institute was responsible for the processing of all the contracts with the craftsmen and payment procedures.

For the current ongoing phase of the programme, the city budget has allocated of 5 million UAH (151,000 EUR) for each of the years 2020 and 2021.

MAISTERNIA MISTA – THE URBAN WORKSHOP

Type of project: public workshop and festival with a focus on urban development, culture, participation and sustainability

Implementation period: annually 2012 – current

Budget (2019): 300,000 UAH (~ 11,000 EUR) per annual Urban Workshop

Project partners: GIZ "Municipal Development and Rehabilitation of the Old City of Lviv" until 2017; GIZ "Integrated Urban Development in Ukraine" from 2018; Lviv city administration departments; and civil society initiatives

Role in the project: coordination since 2015

Maisternia Mista, the Urban Workshop, mounts a series of events on urban development, sustainability, mobility, culture, participation and urban awareness for 2-3 weeks annually. The first Urban Workshop in 2012 focused on urban rehabilitation and restoration issues and was located in the central market square. Subsequent Urban Workshops have taken place in different prominent locations in the city, and have been concerned with different urban issues. But all Urban Workshops have been about communication (between citizens and authorities; civil society initiatives and the public; NGOs and stakeholders; and so on), and provided a platform for communal organizations, local initiatives and the like, covering a broad range of topics and interests related to urban life in general and Lviv in particular.

Governance

The main organizers of the current series of Urban Workshops (from 2017) are the City Institute, Lviv City Council and the GIZ project, "Integrated Urban Development in Ukraine", which was instituted within the framework of an intergovernmental agreement between Ukraine and Germany.

In 2019 and 2020, several NGOs served as co-organizers and helped the Urban Workshop locate in different neighbourhoods. A call for applications was used to select the involved NGOs.

Public Welfare and stakeholder participation

Maisternia Mista serves Ukraine-wide as an example of successful interaction between city administrations and citizens. In the last few years, the project team has been

considering the idea of leaving a permanent reminder at the host location after the event (e.g. an open-air stage for public events).

Integrated approaches

The Urban Workshop brings sectoral development actors together in a common weeks-long series of events, thus promoting interdisciplinary exchange. The eighth Urban Workshop (2020) was specifically held under the motto "Integrated Urban Development". The programme of events at the Urban Workshops from 2014 on, was already concerned with this concept, and dealt with topics of inclusiveness, cooperation, urban planning and ecology, responsible governance, active civil society, transport and mobility, and other topics that are relevant to every micro-community in the city.

Project funding

In the early years (2012- 2017) the project was wholly funded by the GIZ, whereas after 2017, a co-financing arrangement was established, with 55% of the funding coming from city budget, and the remaining 45% from the GIZ project "Integrated Urban Development in Ukraine". Participating NGO's, civil initiatives and public institutions can use a mechanism for awarding micro grants for the realisation of their events at the Maisternia Mista.

In some cases, business enterprises support the project by providing services free of charge.

STREET FOR ALL

Type of project: redesign of a street taking aspects of intermodality, accessibility and participation into account

Area: 1.05 km long street section

Period: 2015–2018 (currently construction works are being implemented)

Budget: 80,000 EUR (8,000 EUR from the Lviv City Council)

Project partners: Lviv City Administration, Leipzig City Administration

Role in the project: project coordination

Current street renewal practices in the city were examined and put to the test within the framework of the project "Street for All". Street renewal had, until then, always been treated as if it was simply road repair, and the results were usually not satisfactory for those involved and affected. The project therefore aimed to facilitate communication between residents, business people and the city authorities by testing a new participatory project management mechanism for street renewal. To do this, a street was chosen where a variety of interests coincided (e.g. those of residents, small businesses, the church, educational and cultural institutions). Practical examples from the partner city, Leipzig, which were explored during an earlier expert study tour, were strongly influential.

Governance

The work of the project was based on a memorandum of understanding on cooperation between the City of Lviv and the City of Leipzig, Germany.

Public Welfare and stakeholder participation

The previous standard procedures for street renewal (basically just road repair) were changed so that a new public space and (so far missing) bicycle lanes could be introduced, priority given to public transport and surfaces changed to reduce noise pollution. Implementation was preceded by a year of research and a participation

processes, which are then followed by detailed planning. A variety of participation formats were used, including on-site meetings, street walks, public presentations of draft planning solutions, and workshops.

A manual was developed to support the sectoral administration departments and municipal enterprises that had no experience with participation processes. So far, the manual has been used by the project partners, the Lviv City Department of Housing and Communal Services, and the municipal enterprise "Lvivavtodor", which works in the field of transport and mobility.

Integrated approaches

Road renewal measures had previously followed a sectoral approach and only served car drivers' interests. Based on a comprehensive analysis of the user structure in the model area, and an identification of their needs, a requirements profile was drawn up and an innovative (for Ukraine) holistic approach that considered the street as an urban space was adopted.

Project funding

The project was funded by the German non-profit organization, Engagement Global GmbH, and the funding programme "Sustainable Municipal Development through Partnership Projects (Nakopa)" on behalf of the German Federal Ministry for Economic Cooperation and Development (BMZ).

5.8 Harlem/New York City, United States of America

FULL NAME

Harlem Community Development Corporation (HCDC)

LEGAL NATURE & SHAREHOLDER STRUCTURE

Regulated by New York Business Corporation Law; 100% owned by the New York State Urban Development Corporation

TERRITORIAL LEVEL & LOCATION

City level – Neighbourhood level operation

TIME IN OPERATION

1971–1995: Harlem Urban Development Corporation (HUDC) Since 1995 as Harlem Community Development Corperation

ORGANISATIONAL SETTING

New York State → New York State Urban Development Corporation → Created a SUBSIDIARY for the city area of Harlem → Harlem Community Development Corporation

↓

Through Urban Development Corporation Act in 1995

Accountability

Accountable to New York State Development Corporation. Lead by a Voluntary (no salary) Board of Directors that include community members, New York City Council members, New York State Senators, Assembly Members, United States Representatives, Council Members, New York City administration representatives, New York State representatives.

Measures to assure accountability: annual report, publication of all relevant public information on web site, events to share results, biannual internal control performance evaluation, independent audits per project, management system for citizens requests, petitions and claims, publications.

Objective

To plan and facilitate a wide range of community revitalization initiatives, strengthening upper Manhattan and its economically and culturally vibrant communities.

Projects:

All information about projects can be found here: https://esd.ny.gov/harlem-community-development-corporation

Victoria Theatre: Redevelopment of a mixed use protected building.

Business Services:

THINK Initiative: Provides tools for local entrepreneurs.

NYS MWBE Certification: Provides support to local businesses seeking NYS MWBE certification

Community Development

CERSP Grant Program: Provides financial assistance for initiatives and events that advance HCDC's mission.

Weatherization Assistance Program: Reduces energy usage costs for low-income families.

Home Buyer Financial Literacy Program: Provides one-on-one pre-purchase counselling to first-time home buyers.

Scope, Functions & Mandate

Mandate & Functions:

To facilitate the development of a range of economic and community development programmes, projects, initiatives in partnership with other private and public entities. Community revitalisation through urban and commercial development projects, business services and community development projects.

Locations/Boundaries:

Based on the Urban Development Corporation Act it operates only in a defined area of New York City: from 96th street to 178th street; greater Harlem community, including Central Harlem, El Barrio/East Harlem, Washington Heights and West Harlem

Scope and timeframe:

During the implementation of community and urban development projects and strategies, it works as facilitator and helps to leverage private investments. It has an unlimited duration.

Financial Figures

No published information on finances could be obtained.

Project funding typology

- Direct city transfers
- Acquire properties for their renovation. The renovation can be founded by the New York City Industrial Development Agency, the Department of Housing of the city, or any other source of the current list.
- Public resources (contribution from universities, local development corporations, local stakeholders and other state agencies).

Strengths and Opportunities

- Innovative: urban development as tool for community development
- Constitution act includes partners from non-public sectors.
- Role of facilitator during the implementation of urban development projects

Weaknesses and Threats

- Its focus is community development, but representatives of the community are a minority in the Board of Directors, who are mainly representatives of the public sector.
- Urban development projects are limited to housing development or urban renovation

5.9   Nelson Mandela Bay Municipality, South Africa

FULL NAME

Mandela Bay
Development
Agency

**LEGAL NATURE &
SHAREHOLDER STRUCTURE**

100% publicly owned by
the Municipality of Nelson
Mandela Bay (NMBM)

**TERRITORIAL LEVEL
& LOCATION**

Metropolitan level: consists of Port Elizabeth
(renamed Gqeberha in 2021), Uitenhage and
Despatch, with their surrounding agricultural areas.

TIME IN OPERATION

Since 2003. In 2007,
extension of its
mandate

ORGANISATIONAL SETTING

```
Nelson Mandela          Executive Mayor
Bay Metropolitan
Municipality            Coty Manager          Contractual          Mandela Bay          MBDA Management
                                              accountability       Development          Operational aspects
                        NMB Metropolitan                           Agency
                        Council              Election of                                MBDA Board
                                             the board                                  Strategic direction
```

Accountability

Accountable to: Nelson Mandela Bay Municipality

Measures to assure accountability: Evaluation based on
defined Key performance indicator. Annual Reports (published
on the UDA's website)

Objective & Projects

To pioneer and implement "people- centred" catalytic pro-
grammes; to create spaces and places that inspire and trans-
form Nelson Mandela Bay; To develop and promote a creative
culture in Nelson Mandela Bay.

Projects:

Examples of projects under the following categories can be
found here: http://www.emuvi.gob.ec/content/los-capulíes
https://www.mbda.co.za/

Urban renewal, Facilities-area management, Innovation/
research, socio-economic programmes, Nelson Mandela Bay
Station.

Scope, Functions & Mandate

Mandate & Functions:

Supporting the municipality and the Industrial Development Corporation in urban regeneration through project management with a view of promoting economic and tourism development.

Locations/Boundaries:

Started with the CBD and expanded to townships according to its creation act of 2003. In 2007, extended to new areas for urban renovation defined by the municipality. More recently the Integrated Development Plan and the 5-year Strategic Plan (2018-2022) of the UDA of the NMB Municipality, included other specific areas according to the new defined targeted areas for the UDA.

Scope and timeframe:

Unlimited duration, involved during the whole cycle of urban development project implementation.

Financial Figures

Budget 2018/2019
Total: 10,013,458

Fix-costs
5,645,422

Investment
4,368,036
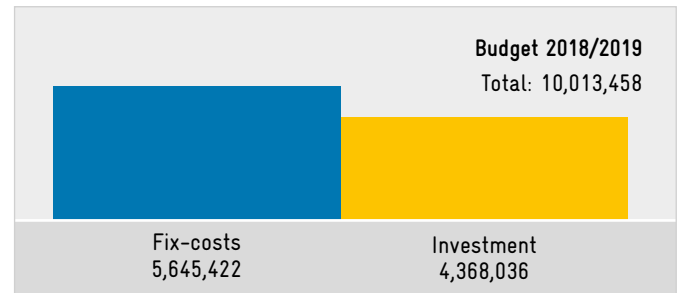
All figures in EUR, own conversion, July 2018

Project funding typology

- Grant funding from Nelson Mandela Bay Municipality to undertake certain infrastructure development projects.
- For the SPUU programme: funding by the German KfW bank
- Subscriptions & Membership fees

Strengths and Opportunities

- Responsible for strategic planning.
- Conducting public events.
- Special element to integrated approach: security and peace-keeping through urban planning.

Weaknesses and Threats

Based on the public information available online, no weaknesses could be reliably identified.

Mandela Bay Development Agency
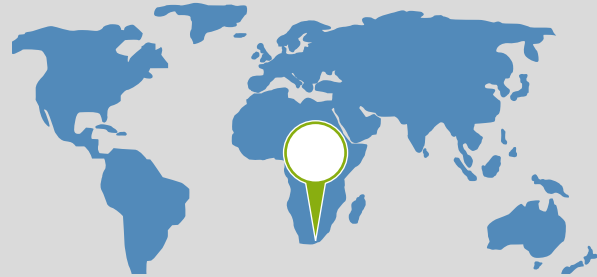
POPULATION (2016):
1,271,776 inhabitants,
with a median age of 26 years

SIZE:
1,959 km²

POPULATION DENSITY:
590 inhabitants per km²

INCOME PER CAPITA (2020):
1,688 EUR average per year

Major seaport and automotive
manufacturing centre

Impact and success factors

Mandela Bay Development Agency (MBDA) has successfully extended its sectoral mandate and adopted an integrated approach. This was a result of experiences in earlier projects in Gqeberha (formerly Port Elizabeth, and part of Nelson Mandela Bay Municipality), as well as of trends towards suburbanization and the city administration's acknowledgement of marginalized areas within the city.

Since 2016, MBDA, as an entity of the Nelson Mandela Bay Municipality, has been implementing projects across the entire metropolitan area. It has developed a portfolio that includes construction, facility and area management, psycho-social and socio-economic programmes, research and knowledge creation.

Success Factors:

- Widening its approach from a focus on physical interventions to a focus on holistic measures that consider social context and promote safety and peace through urban development
- Identifying the potential of places and spaces as "encounter and engagement points" for the community
- Identifying and engaging with local, national and international partners
- Self-evaluating and monitoring to ensure accountability and to gain institutional strength by rectifying previous flaws.

The UDA in a nutshell

MBDA's mandate evolved to include an integrated multi-sector approach. It is now involved in the entire planning and implementation cycle. Besides construction, MBDA has accumulated experience in facility management and area management (spatial planning, security, cleaning).

MBDA is publicly owned but it is regulated by private law. Its organizational structure has been optimized to increase its efficiency and reduce running costs without affecting the quality of the work atmosphere. Changes in the legal framework have enabled the city council to appoint the MBDA board, as opposed to the previous arrangement in which appointments were made directly by the Mayor.

Larger MBDA projects often start with an "anchor" or "lighthouse" pilot measure, e.g. in the renovation of historical urban areas. Throughout the implementation phase, the interventions extend their scope to general improvement of affected areas.

MBDA is particularly successful in coordinating different units of the municipal administration, interest groups and the affected community to facilitate and effectively enhance the implementation of projects.

A focus in many MBDA projects is working with marginalized communities in the metropolitan area. The project locations are often defined by informality and inequality. In those cases, MBDA has privileged public participation and inclusion during project planning and implementation to enhance ownership and the subsequent maintenance of the interventions.

KEY FEATURES & LESSONS LEARNT

Public funding as main source

MBDA is 100% owned and largely funded by the Nelson Mandela Bay Municipality.

Additional funding partners at national level are the Industrial Development Corporation and the National Treasury of South Africa.

International organizations and banks, such as the German investment and development bank, KFW, fund selected projects.

Private companies have contributed funding and expertise to certain projects (e.g. the Baakens River pedestrian Bridge project in Nelson Mandela Bay).

In order to achieve the goals laid out in the municipality's budgets, the grants made to the MBDA were cut by 688,991 EUR, for 2021, 746,407 EUR for 2022 and 803,823 for 2023. This will of course affect the number and scope of the projects that the agency will be able to undertake within the municipality.

Accountability and performance measurement as key for improvement

The legal framework regulating the MBDA operations requires accountability measures and performance reports. These include key performance indicators as defined by the MBDA board and the shareholders, as well as annual reports, quarterly finance reports, and general reports, all of which are published on the MBDA website.

In addition, the performance of the CEO, managers and personnel of the MBDA are individually assessed every quarter.

Each MBDA project is monitored internally using a "project dashboard". The dashboard helps not only to evaluate a project's performance, but also serves to document it. This leads to a process of self-improvement.

Mechanisms to safeguard public welfare

Political instability and weak governance have historically characterized the municipality. Within this context, attempts have been made to steer MBDA work towards less welfare-focused developments (e.g., privileging projects in particular neighborhoods or developing projects that were not previously included in the plans and budgets).

To mitigate these challenges, it is necessary to foster close and strong relationships with municipal decision-makers. Additionally, a clear mandate to work exclusively on the basis of municipal plans and regulations prevents external interests being privileged. Frequent audits and evaluations by national and local authorities provide control and also protect the agency from illicit interference.

Innovative approaches

MBDA builds flexible and multidisciplinary teams by supplementing their technical planning staff with artists and psychologists. At the same time, the organizational structure became less hierarchical, allowing for easy collaboration across different units.

A result of the composition of the multidisciplinary team is growing expertise at the intersection of mental health and urban development.

Large assets managed by MBDA, such as the Mandela Bay 2010 World Cup Soccer Stadium and the Science and Technology Centre, are now also used as locations for participation events to promote social engagement and communal cohesion. In addition, the MBDA implements efficient and sustainable energy, water and waste management systems in both facilities.

MBDA has experimented with the use of innovative compostable building materials in the construction of projects such as the Baakens River pedestrian bridge.

MBDA aims to increase the community's ownership by contracting local small and medium enterprises whenever possible.

INNOVATION AND KNOWLEDGE TRANSFER

Knowledge exchange

The MBDA is seeking and engaging in knowledge exchange between South African urban development agencies. This exchange is currently on an informal, collegial basis. A current topic of knowledge transfer is the relationship between mental health and urban development.

The MBDA, appropriately, has expertise in projects focused on mental health and promoting safety and peace through urban development.

Experience in managing city properties and using them as social contact points for the community, is unique in South Africa, and holds considerable learning potential.

Additionally, MBDA experience in the implementation of urban development and upgrading projects with high social impacts in vulnerable city quarters, and in areas with high levels of informality and inequality can be effectively transferred to other municipalities facing similar challenges.

Documenting the learning process

MBDA's annual reports provide comparisons of performance over a number of years. The most relevant tool in this is a set of key performance indicators. The indicators are regularly revised and adjusted to ensure that they are specific, measurable, achievable, relevant and time-bound.

The documentation of the learning process and the evaluation and monitoring of projects are very relevant for the MBDA because they show how efficient the agency is in implementing its mandate of "urban regeneration through project management with a view to promoting economic and tourism development". After taking into consideration the documentation and evaluation tools

of the agency, together with aspects already mentioned, such as suburbanization trends and the necessity of renovating areas outside of the central business district, the municipality expanded the mandate of MBDA from a sectoral one to one incorporating an integrated approach.

The agency's executive board plays a mayor role as an intermediary between the municipality, as the primary shareholder, and the MBDA. The board consults regularly with shareholder representatives through formal communication channels such as board meetings, but also informally when required, to ensure clarity and accountability.

In addition, the board has the responsibility to establish a clear relationship between the strategic objectives of the MBDA and its everyday operations. Ultimately, is up to the board to maintain oversight of the agency's operations and to ensure compliance with the mandate given to it by the municipality.

Major obstacles for effective operations

South Africa's spatial structure is strongly influenced by the Colonial period and the subsequent inequality caused by apartheid. Neglected areas in need of renovation and development can be found almost everywhere in different parts of Nelson Mandela Bay. In addition, communities face economic and social challenges which persist whilst attempts are made to bring about peace, security and integration. This is recognized by the MBDA as the principal reason for engendering positive social impacts through urban development.

The MBDA has seen its role as beyond that of an actor responsible solely for the physical transformation of the city. The MBDA has used each of its projects to catalyze social integration.

NELSON MANDELA BAY STADIUM

Type of project: Management and maintenance of sports facilities

Total investment: 864,365 EUR

Current state: In operation

In 2016, the MBDA accepted the responsibility of managing the municipality's largest physical asset: the Nelson Mandela Bay Stadium. The agency's tasks were to oversee the stadium's operations, to optimize its economic viability in the region, to establish a sports museum, and to increase its use and engage the community. In addition, the stadium is used by the MBDA as a focal point for community engagement.

The MBDA developed a strategy aimed to turn the stadium into a centre-point for events, community interaction and innovation. After an agreed period of time, the municipality was to retake control of the stadium, and define a long-term strategy to realise its full potential.

In the meantime, the MBDA follows its policy of equitable employment, and in the case of the stadium, the workforce consists of 48% males and 52% females.

Thinking beyond the stadium itself

The MBDA managed to secure investment for the renovation and maintenance of the stadium itself. The agency's concerns, however, were not just with the stadium, but also with the surrounding areas. This included developing a water sport facility at the North End Lake, which abuts the stadium.

Cooperation with public and private actors

The team in charge of the management of the Stadium has collaborated with other actors, such as the Municipal Marketing and Communications Department, the NMB Science Centre and the Mandela Bay Composites Cluster, to attract tourists, events, exhibitions and conferences to the stadium and its facilities. Together with the Waste Trade Company, the MBDA initiated the Green Hub Community project to update the stadium's water purification system. After fulfilling that function, the hub aims to become a platform for raising the community's awareness of sustainable environmental practice and conservation.

Funding scheme and sources

Most of the maintenance and management work of the stadium is funded by the municipality. At the same time, the MBDA is constantly looking for private and local partners to fund different non-sports events (concerts, rallies, celebrations, exhibitions, etc.). The agency is also licensed to receive revenue from the sale of drinks and snacks in the stadium.

Among the events hosted by the stadium, the MBDA considers not only those that provide additional funding, but also those that have a positive social impact and lead to community integration: an example is the Wheelchair Wednesday event organised by the Association for the Physically Disabled. Another innovative funding source is the renting of parts of the stadium for work spaces and offices, whicvh produces a continuous revenue stream in addition to that generated by the events hosted in the Stadium.

INTEGRATED DEVELOPMENT IN NEW BRIGHTON

Type of project: Urban renovation and development, and economic development

Total investment: 12,850 EUR (renovation) and 9,490 EUR (business plan formulation) fully funded by the municipality

Current state: under construction

The area of New Brighton was established in 1902 and has a rich political, sports, and cultural (e.g. theatre and jazz) history. For these reasons it is considered one of the six main areas for MBDA projects and initiatives. The agency is responsible for several infrastructure projects, public space improvements, psycho-social interventions, the promotion of art and culture, and urban designs. In addition, the MBDA has formulated an economic development plan for the area. The plan was the result of extensive public consultation and was completed in September 2020.

Public Participation

Participants in the planning of the project included local councillors, local businesses, tourism-related stakeholders, youth representatives, art forums and residents. All the construction work is being carried out by local enterprises, which thus contributes to the economic development of the area, and to creating ownership and engagement.

The positive social impacts that the MBDA aims to achieve in New Brighton through physical urban renovation is complemented with cultural activities. An example is the installation of murals along a tourist route in the townships of the municipality. The murals enable the local communities to tell their own stories, remember the past, express themselves and connect with other communities along the tourist route.

Cooperation with public and private actors

Developing integrated initiatives in the New Brighton involves working together with actors such as those from the city's cultural and heritage sector in order to include aspects related to that or other relevant sectors in the plan for the area.

Challenges faced in the process

Shortly after the beginning of the project, the Covid-19 pandemic started, affecting the financial stability of the local contractors and entrepreneurs participating in the project. This has slowed down the construction work and required additional financial support, and flexibility from the agency.

The pandemic also presented a challenge to public participation and the engagement of stakeholders. In order to continue the process, the MBDA used virtual meetings, online surveys and other digital communication techniques.

Integrated development

The integrated development of New Brighton includes different interventions that have multiple effects. A street upgrading such as that of Singaphi Street, with a budget of 2,572,611 EUR (January 2019), was the foundation for further developments including a cultural precinct development which acts as a community meeting point and responds to the cultural and musical history of the area. In addition, a swimming pool, the first in New Brighton township, has been completed as a social infrastructure asset to promote sport and recreation.

BAAKENS PARKWAY, HOUSING PROJECT & BAAKENS BRIDGE

Type of project: Urban renovation and development

Total investment:
893,177 EUR (Parkway) 576,243 (Bridge) EUR

Current state: the bridge was completed and the housing and parkway are under construction (anticipated completion – December 2021)

The MBDA facilitates the implementation of different initiatives in the Baakens River Precinct. The area suffered from unjust removals and relocations during apartheid in the early 1970s.

The municipality and the MBDA plan to develop high density, low-rise housing in the area, and, in addition, economic opportunities are to be created. With these developments, the MBDA aims to transform the south bank of the Baakens River into a post apartheid neighbourhood that acknowledges the injustices of the 1970's while providing opportunity for mixed-use. The first phase of the project includes upgrading public open space to allow for a variety of outdoor activities. In the second phase, affordable housing is to be constructed in an area close to the inner city. Commercial areas, business facilities and creative spaces will complement the project.

Cooperation with public actors

The MBDA is cooperating with public actors such as the environmental and heritage protection authorities that are responsible for evaluating the project and providing advice on protected areas and authorization.

Funding scheme and sources

In addition to the budget originally allocated by the city, municipal resources destined for a different project in the area, which was cancelled, were assigned to this project.

Public participation

During the conceptualization of the project, a draft framework plan resulted from an extensive public participation process.

During the first phase of the project , in which the framework plan was being prepared, the agency identified the main stakeholders and defined actions and processes for their engagement.

Challenges faced in the process

To ensure that representatives of local community groups are included, efforts have been made to reach agreement with them. This has sometimes resulted in initial time lines being extended.

Another cause of unexpected delays is the involvement of actors with private interests. The MBDA often mitigated this risk by steering the process and using communication strategies. The viability of the land necessary for the project and any building permission limitations were investigated during the conceptualization phase. If there were problems in those respects, the MBDA explored alternative building methods and models and, when possible, applied for re-zoning.

Innovation through alliances

By creating an alliance with a private sector company that produces composite materials, the MBDA had the country's first composite and steel pedestrian bridge built over the Baakens River. The bridge connects a parking area with a public open space, and is a pedestrian link between the north and south banks of the river. The composite materials used in the bridge are sustainable, strong and versatile. The project employed eight small and medium sized local enterprises in its construction.

5.10 Johannesburg, South Africa

FULL NAME

Johannesburg Development Agency (JDA)

LEGAL NATURE & SHAREHOLDER STRUCTURE

100% owned by the City of Johannesburg

TERRITORIAL LEVEL & LOCATION

City level

TIME IN OPERATION

Since 2001

ORGANISATIONAL SETTING

City of Johannesburg

Department of Development Planning of the City – Contractual Obligations

Mayoral Committee for Development Planning – Political oversight

Economic Development Mayoral Cluster Committee – Integration for economic development and spatial transformation

Johannesburg Development Agency (JDA)
Independent but accountable to the city

can reintegrate the JDA into its administrative structure at any time

Accountability

Accountable to: In addition to the structure shown in the diagram, within the UDA: the management is accountable to the Board of Directors for strategic and operational matters and the Board of Directors, in turn, have limited autonomy in decision-making. This is because the City of Johannesburg funds 2/3 of the UDA.

Measures to assure accountability:
Performance Reports: Annual report, Impact assessment, Quarterly report to the city; 5-year general assessment of the economic, social sustainability indicators.
Meetings and workshops: meetings with the executive mayor, workshops with the Sustainable Human Settlements and Economic Growth clusters and the Department of Development Planning.

Objective

The Johannesburg Development Agency aims to transform Joburg through growing competitive business environments, improving public spaces and promoting access to jobs.

Projects:

600+ projects (https://www.jda.org.za/flagship-projects) implemented, under the categories of:

Health facilities: Claremont Renewal Clinic CLAREMONT B Ward

Inner city renovation: Hillbrow Tower Precinct

Urban Regeneration: Park Station Regeneration

Transport infrastructure: Jabulani Transit Oriented Development

Traffic related projects and studies: Impact Assessment, Stormwater Masterplan, Empire Transit Oriented Development corridor

Scope, Functions & Mandate

Mandate & Functions:

As an area-based development agency, the UDA is more than "just" a project management agency or an economic development agency. Supports the City in the implementation of different strategies and plans such as the National Development Plan, the cities Integrated Development Plan, the District Development Model, the Gauteng 2055 vision[4], the Johannesburg Growth and Development Strategy 2040 (https://joburg.org.za/documents_/Documents/Joburg%20GDS%202040/Joburg%202040%20GDS_March%202019.pdf) and the Johannesburg's Sustainable Development Framework.

Functions:

To deliver sustainable social and economic infrastructure projects efficiently, effectively, and economically; support growth and development of strategic economic nodes into high-quality, investor-friendly, and sustainable urban environments; promote economic empowerment and transformation by structuring & procurement of JDA developers.

Locations/Boundaries:

Has shifted its focus from "triple bottom line outcomes" (economic, social, and environmental) in the inner city and marginalised areas to an emphasis on resilient, sustainable, and liveable urban areas in identified transit nodes and corridors. As an "Area-based-development-mandate", it operates in neighbourhoods within Alexandra and Soweto Townships, inner city Johannesburg.

Scope and timeframe:

During the implementation urban development project process. The UDA has an unlimited duration.

Financial Figures

Budget 2020/2021

Investment
51,358,955

Fix-costs
9,992,380
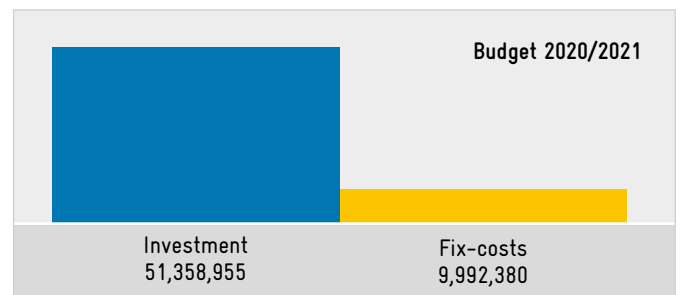
All figures in EUR, own conversion, July 2020

Project funding typology

- "Development Fees" (7,5% charge for implementing a project on behalf of the government)
- Cooperation with provincial and local government departments (e.g., Dept. of Health in improving clinics)
- Public funds, namely the City of Johannesburg and national and provincial sources
- No formal PPP agreements but cooperation with private sector (long-term lease to private investors)
- City Improvement District Partnerships with Industrial Development Corporation

Strengths and Opportunities

- Large number of executed projects, sometimes due to the agency's prioritisation of innovation and creativity in their Integrated Development Plan that was translated into

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4. A city-region vision commissioned by the Gauteng province. Vision 2055 aims to provide direction for planning in the province "and places the city-region on a rapid growth trajectory through the introduction of significant game-changing development interventions" according to the firm commissioned with the vision: http://urban-econ.com/projects/#toggle-id-1

concrete innovation for climate action (e.g.: Corridors of Freedom, Ebony Park Eco-Clinic,) or smart city actions for public participation.

- Internal planning considers strategies and plans from the local, regional, and national level, ensuring better funding from those territorial levels, prioritizing similar areas, considering the national and provincial priorities when defining its priority programmes (e.g.: the Integrated Urban Development Framework of South Africa
- Agency has a specific public participation toolkit.
- Public Art Programme in partnership with the Department of Community Development.

Weaknesses and Threats

- High dependency on the city budget.
- The JDA owns no assets - projects are always handed over to the beneficiaries. This has been a point of concern in some cases, as the assets are not properly maintained (due to a lack of funding).
- Sometimes the JDA steps on other departments' toes when project scopes overlap with certain departments' mandates.
- No close relation with the Local Economic Development Agency, therefore opportunities of synergies for cofounding or integrated development initiatives might be lost

5.11 Cairo, Egypt

FULL NAME

New Urban Communities
Authorities (NUCA)

**LEGAL NATURE &
SHAREHOLDER STRUCTURE**

100% publicly owned by the
Government of Egypt

**TERRITORIAL LEVEL
& LOCATION**

City level + Greater Cairo urban area
for "New Town Developments"

TIME IN OPERATION

Since 1979

ORGANISATIONAL SETTING

Created by the Ministry of Reconstruction (later renamed the Ministry of Housing, Utilities
and Urban Communities).

No further information on the organisational structure within the government/ministry
could be found.

Accountability

Accountable to: Ministry of Reconstruction (later renamed the Ministry of Housing, Utilities and Urban Communities)

No further information on accountability and respective measures could be found.

Objective

To create new centres for achieving community stability and economic prosperity by redistributing inhabitants far from the Nile valley; Developing new attraction areas beyond the existing cities and villages; Extending the Urban Axis to the desert and remote areas to decrease the urban extension on the agricultural lands and planning the new cities; Assuring the availability of housing units for the low-income households, aiming to raise the standard of living.

Projects:

Housing units: total goal of 2,908,000 units

- Affordable housing in 25 New Towns (75m2-90m2): Final goal of 416,000 units. 270,000 completed, 172,000 being constructed, 85,000 being constructed in association with the armed forces and 64,000 being supported.
- Sakan Misr: Housing units (115m2- 124m2): Out of a goal of 68,000 units in 13 New Towns, 5,208 have been completed, and 1,944 have been supported.
- Housing units built in association with private sector: 1,992.

Public information from NUCA does not specify what type of support is being provided in its projects.

Scope, Functions & Mandate

Mandate & Functions:

Economic Authority for state land. The law allows for the allocation of government-owned land for the establishment of new cities/towns under presidential decrees.

Locations/Boundaries:

Operates on land owned by the Ministry of Reconstruction of Egypt. The land selected for the development of new towns is defined by presidential decrees.

Scope and timeframe:

During the implementation process; the UDA has an unlimited duration.

- Average Housing (Dar Misr): 1.091 buildings built with 26,184 housing units in 1st phase, and 704 buildings with 16,896 residential units completed in 2nd phase.
- Service and Utilities Infrastructure: 3,400 service buildings
- Drinking Water & Sanitation: 37 drinking water production plants, water networks in new cities (16,034 kms), 34 sewage treatment plants, 10,144km of sewage networks in new towns.
- Electricity: 44 transformer stations and electricity networks in new towns (66,941 kms)
- 10,645 kms of roads and an investment of 3,204,003,600 Euros (own conversion exchange rate January 2021) of investment in 5,429 factories.

Financial Figures

Investments in NUCA

Housing Sector
15,171,759,900

Utilities
7,530,814,800

Services Sector
1,610,000,100

Agriculture and perfor-
mance development
152,084,700

Other than private
sector investments
20,977,200,000
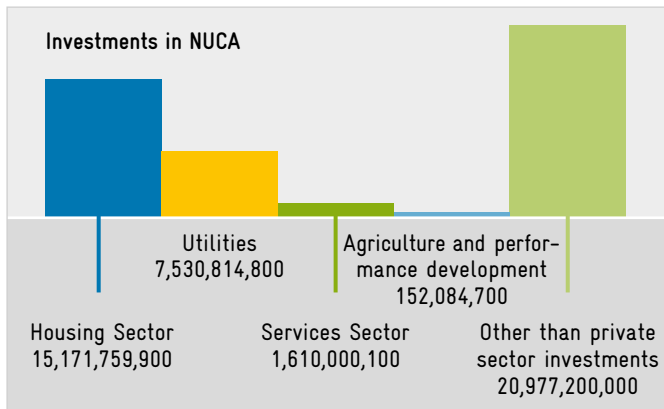
All figures in EUR, own conversion, Jan. 21

Project funding typology

- "Free housing" model: public-private-partnership
- NUCA offers subsidized land to real estate investors to implement projects for mixed uses with the condition to include low- and middle-income units that afterwards will be assigned to eligible people who will receive a loan to be repaid in 40 years.
- NUCA is legally allowed to trade lands within the allocated zones and retain the revenues for further projects

Strengths and Opportunities

- Alliances with private actors for the development of housing projects
- Alliances with the National Army for the construction of housing units that, according to the agency has allowed a shorter implementation period of the projects.

Weaknesses and Threats

- NUCA is a mean of the presidential decree system, which is very authoritarian. These could threaten the guarantee of their work in achieving the public welfare, due to the lack of democratic principles of the Government as shareholder.
- Population sizes of NUCA's new towns have rarely reached their targets (e.g.: Sadat City; New Beni Suef), turning them into empty areas that do not solve the housing demand problems of the city.
- Limited transparency in the public information about accountability measures and finances of the UDA
- No mention of citizen participation in their projects
- Since 1993, large-scale real-estate developers started leading the implementation of the projects, shifting the focus from low-income beneficiaries to middle- and higher-income groups.
- The focus of NUCA's mandate has been New Towns and leaving behind the upgrade of Cairo's built environment (both buildings and facilities)

5.12 Thüringen, Germany

FULL NAME

Internationale Bauausstellung Thüringen GmbH (Eng.: International Building Exhibition Thüringen)

LEGAL NATURE & SHAREHOLDER STRUCTURE

Public company acting under private law (Limited liability company), full subsidiary of the Free State of Thuringia (100%)

TERRITORIAL LEVEL & LOCATION

State level/Regional level

TIME IN OPERATION

2012 – 2023 implementation of IBA Thüringen; (2009–2012 preparatory phase prior to the establishment of IBA Thüringen GmbH)

ORGANISATIONAL SETTING

| Free State of Thuringia | → | Full subsidiary of the Free State of Thuringia | → | IBA Thüringen GmbH |

Accountability

Accountable to the company's Supervisory Board, consisting of 9 members representing different ministries of the Free State of Thuringia as well as representatives of the Chamber of Architects and Chamber of Engineers in Thuringia.

Measures to assure accountability: supervisory board, publications (e.g. IBA Magazine), interim progress documentation 2015 & 2019, press work, participation formats

Objective

With its rural character and the focus on urban-rural linkages (STADTLAND (=CityCountry) as the central theme) IBA Thüringen aims to stimulate a transformation process in the region and to rethink Thuringia as a place of progress and an experimental laboratory for the future. By developing and supporting common good-oriented and resource-efficient model projects it addresses qualities beyond the consumption-oriented lifestyle without losing sight of "building culture". Furthermore, the IBA aims to create regional value and raise international awareness of Thuringia.

Projects:

Currently around 32 projects/project candidates in 3 thematic fields (BUILD Modern Province | DEVELOP Collective Responsibility | REUSE Vacant Properties) which includes activation and conversion of the vacant buildings (e. g. Open Factory Apolda, Eiermannbau), supporting new forms of cooperation between administration, civil society and business (e. g. Erfurt, Collective lab; Seltenrain Region, Landengel - Outpatient clinic

and health kiosks) and experimental projects for city and countryside (e. g. Weimar, StadtLand School; Nordhausen, Mobility Concept)

All projects: http://www.iba-thueringen.de/en/projekte

Scope, Functions & Mandate

Mandate & Functions:

From 2009-2023, it is commissioned with the development and implementation of the International Building Exhibition IBA Thüringen. The IBA office takes on representative, steering and communicative functions as well as administration. It is responsible for the coordination of project work and the acquisition of additional funding. It concretises the IBA programme and takes over the monitoring and further development of IBA projects, as well as networking with the necessary partners or know-how experts.

Locations/Boundaries:

IBA Thüringen operates in a decentralized way, on the whole territory of the Free State of Thuringia and implements projects in its villages, small and medium-sized towns and rural districts (approx. 40 locations).

Scope and timeframe:

The project duration is limited by the implementation period of the International Building Exhibition (2012-2023). The projects are accompanied by open and continuous communication and demand-related involvement of citizens and other relevant actors.

Financial Figures

Budget 2017
Total Budget: 1,396,327,71

Other operating expenses 685,406

Staff 710,921
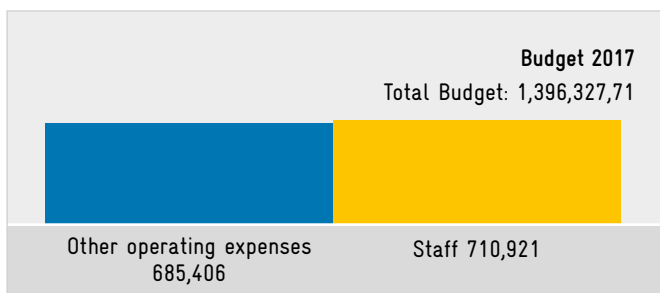
All figures in EUR

Financing of UDA's operation is mainly provided by budget funds of the Free State of Thuringia. However, different projects are funded through other sources like Urban Development Support Programme (the majority not via the UDA, but directly to the implementers) which is not included in the numbers on the left.

Annual planned funding to IBA Thüringen GmbH on the basis of the financing agreement: 1.500.000 EUR.

The agreement amending the financing agreement 2016 to 2023 stipulates that 300.000 EUR per year are to be used exclusively for project work. Further funding to support programme, outreach and project work was accessed from other funding sources (exact funding sources unknown; for 2015: 153.651,44 EUR).

Strengths and Opportunities

- The decentralised approach and cooperation with several municipalities and civil society makes it more likely that some of them will adopt the practices tested by the IBA.
- Time-limited format with financial and administrative tools enables to test innovative approaches in living labs.
- Focus on resource-efficient projects to adapt the development of the Free State to the (projected) limitation of the financial resources and declining revenues.
- Extraordinary high involvement of civil society organisations for exploring "How little is enough?" and translating the motto into projects.

Weaknesses and Threats

- Due to spatial dispersion of the projects, effects are less visible.
- The consolidation of the tested approaches is highly dependent on political support and funding sources.

5.13 Chennai, India

FULL NAME

Chennai Metropolitan Development Authority

LEGAL NATURE & SHAREHOLDER STRUCTURE

Tamil Nadu State Government is the sole shareholder/owner of the Chennai Metropolitan Development Authority

TERRITORIAL LEVEL & LOCATION

Metropolitan level

TIME IN OPERATION

Constituted "ad-hoc" in 1972, legally in 1974 and still in operation

ORGANISATIONAL SETTING

Tamil Nadu State
Minister-in-charge of Town & Country Planning

Country Planning Board

Chennai Metropolitan Development Authority

State and local authorities; other sectorial boards

Accountability

Accountable to "Minister-in-charge" of Town and Country Planning and the Country Planning Board. The Minister in charge is the chairman of the board. However, the Country Planning Board exists in the Act but has not be formed (de-facto does not exist). The Government can modify or entirely revoke the plans. Shall fully consult and collaborate with the Chennai Metropolitan Water Supply and Sewerage Board regarding provision of water supply or sewerage services.

Measures to assure accountability: Representatives of local authorities of Chennai Metropolitan Area are permanent members of the UDA; Every local planning authority prepares an annual statement of accounts to the UDA, that as a state institution, supports the governance of the multiple local planning authorities; Government appointed auditors; Annual report to Government.

Objective & Projects

To provide people-friendly administration in the process of ensuring better quality of life in Chennai Metropolitan Area through environmentally sustainable, economically progressive, technologically innovative management policies and programs.

Projects:

◢ Plan formulation; e.g. Second Master Plan (http://www. cmdachennai.gov.in/masterplan2.html) for Chennai Metropolitan Area and Detailed Development Plans (http://www.cmdachennai.gov.in/citizen.html), including respective Public Consultation (http://www.emuvi.gob.ec/content/los-capulíes).

◢ Land use regulation: Reclassification of Land Use Zones (http://www.cmdachennai.gov.in/reclassification_notification.html).

- Transport Infrastructure: Koyambedu Wholesale Market Complex (http://www.cmdachennai.gov.in/koyambedu_wholesale_market.html).
- Sustainable energy generation: Bio-methanation Plant (http://www.cmdachennai.gov.in/bio-methanation.html)

Scope, Functions & Mandate

Mandate & Functions

Consulting the state in formulating and (occasionally) implementing development strategies for Chennai Metropolitan Area; Decision-making on including areas into the jurisdiction of the UDA; Decision-making on areas for new town development; Securing the lay-out and development of new towns; Counselling and consultancy to the citizens for obtaining Planning Permissions.

Locations/Boundaries:

According to the UDA constitution act, the areas are defined by the state government based on population of the area, industrial and commercial development goals, previous designation of the area as the site of a new town.

Scope and timeframe:

Unlimited duration for functioning. Focus on the formulation of plans and occasionally its implementation

Fixed Figures

Detailed financial information is not available online.

Project funding typology

- 100% direct state transfers.
- State Government constituted a "State Town and Country Planning and Development Fund" to strengthen town and country planning functions. This Fund is the funding source of the UDA according to the legal act.

Strength and Opportunities

- Currently implementing a digital planning process
- Continuous operation for decades has allowed constant update of plans.
- Wide mandate that includes functions during the whole urban development process

Weaknesses and Threats

- Its mandate focuses on formulating and updating plans – not on implementation.
- State has the autonomy over planning, not the city.
- While operation has been continuous, the revision and update of plans in not frequent.
- Weak capacities in project design have delayed the execution of relevant projects

Chennai Metropolitan Development Authority

POPULATION:
Census 2011: 4,646,732 inhabitants
2020 estimate: ~11 million

SIZE:
1,189 km²

POPULATION DENSITY:
26,705/km²

INCOME PER CAPITA (2020):
2,676 EUR (nominal)

18,6% of the city's population
live in informal settlements

Impact and success factors

The Chennai Metropolitan Development Authority (CMDA) is an example of an urban development agency (UDA) that was created by the state administration to improve the efficiency of the management and governance of urban development in large territories. CMDA has influenced Chennai's development through, for example, regulating the property rights of nearly 4,440 land plots, building several bus terminals, and expanding the Mass Rapid Transport System. Moreover, it has invested in digitizing planning and construction permission applications to increase efficiency.

Success Factors:

- Its effectiveness derives from the technical work it carries out in close collaboration with the state administration's planning units.
- CMDA's mandate to coordinate the planning and implementation of urban development projects enables the state administration to apply its policies on, e.g. construction permits, emission guidelines, and regulating and legalizing informally developed sites.

The UDA in a nutshell

Constituted on an ad-hoc or provisional basis in 1972, and legally recognized by the Tamil Nadu State Government in 1974, CMDA is accountable to the state Minister-in-charge of Town and Country Planning and the Town and Country Planning Board.

CMDA's projects and initiatives include the formulation of plans such as the Second Master Plan for the Chennai Metropolitan Area and Detailed Development Plans for specific districts in the metropolitan area. The UDA can also be responsible for the public consultations required for the approval of these plans. A distinctive feature of this UDA is that it can issue land use regulations, such as the reclassification of land use zones. The CMDA's scope sometimes includes steering the implementation of transport and energy generating projects.

CMDA has established several alliances, for example, with the Ministry of Non-Conventional Energy Sources of the Government of India and the Central Leather Research Institute for the construction of a bio-methanation plant (see projects).

An intended CMDA focus is to speed up decision-making processes in urban development by improving the governance of the metropolitan area. This improvement is meant to be achieved through encouraging public consultation and accountability, limiting the response time for citizens' inquiries, and giving them easy access to information.

KEY FEATURES & LESSONS LEARNT

Funding sources

CMDA is primarily funded by the Tamil Nadu State Government, but it also generates revenue through development charges, e.g. for issuing planning permissions. Tamil Nadu State created the State Town and Country Planning and Development Fund partially as a tool to fund the agency.

International funding is obtained for the development of master plans and other development projects. For example, CMDA coordinates improvements in the traffic and transportation sector within Chennai Metropolitan Area. These improvements are a component of the Tamil Nadu Urban Development Programme funded by the World Bank with an outlay of 150 million US dollars (approx. 125 million EUR). Further international funding comes from the Japanese International Cooperation Agency (JICA) and the International Bank for Reconstruction and Development (IBRD): these funds are channelled through the state fund for urban development projects.

Sharing Funding with local authorities

CMDA provides financial assistance to local bodies and other departments for development projects in the Chennai Metropolitan Area. CMDA shares 75% of its development and open space reservation charges with local bodies engaged with infrastructure development projects.

Performance, monitoring & evaluation

CMDA is accountable to the State Town and Country Planning Board, constituted by the Town and Country Planning Act of 1971. The Board consists of representatives of both the state and the local planning authorities. It is chaired by the Minister-in-charge of Town and Country Planning of Tamil Nadu. Other members are the Minister-in-charge of Local Administration, as well as representatives of different state departments, such as those for industry, finance and transport. The board also includes representatives of the slum clearance board, the housing board, and the pollution control board. In addition, local planning bodies have four representatives on the board.

For the board, CMDA prepares reports with updates on plans and projects. The state government has the power to require modifications to any type of plan developed by the agency.

Five years after the approval of a master plan, the state government can direct CMDA to consult with the local authorities under its jurisdiction about the required modifications to the plan.

Governance: Cooperation with public administration and political institutions

CMDA promotes multi-stakeholder partnerships to achieve its objectives. It partners with other state departments and local urban bodies to implement its plans. It also establishes partnerships with educational and research institutions to build the capacities of its staff, e.g. with the Indo-German Centre for Sustainability of IIT Madras. Architecture and Planning Schools are partnered for feasibility studies. In addition, CMDA works in partnership with international agencies such as the World Bank and the Asian Development Bank, e.g. when developing master plans. It also partners with NGOs and civil society organizations for public consultations.

CMDA cooperates with the private sector for technical support and consultancy assignments. It facilitates dialogues with private stakeholders such as the Confederation of Real Estate Developer's Associations of India to assess developments in the real estate sector.

KEY FEATURES & LESSONS LEARNT

Governance: Support to state administrations in implementing pilots

State policy decisions are the bases of CMDA planning processes. The agency takes the lead in piloting selected policies of the state. The "Land Pooling and Transfer of Development Rights Legislations" of Tamil Nadu, for example, were first piloted in Chennai city and then extended to the entire state.

Potential for innovation

In recent times, digital governance has been the priority of CMDA, and the planning approval process has been completely digitized. Some of these digitized processes are being applied to planning permissions, property permissions, regularizations of construction, allowance for or completion of additional storeys to existing buildings, regularizations of unapproved constructions, certifying completions of construction, reclassifications of land use, and others.

Public welfare

Like other government bodies, CMDA is bound by the Tamil Nadu Tender Transparency Act 1998 for the procurement of services and by the Right to Information Act 2005 to make information available in the public domain. Other mechanisms to prevent the influence of private interests are public consultations on development projects, court-appointed monitoring committees and the Citizen's Charter requirement to inform the public on the roles and responsibilities of CMDA.

Potential for knowledge transfer

CMDA has experience in working with the Tamil Nadu Government as well as with local planning authorities which in turn report to CMDA from their smaller jurisdictions.

The representation of relevant stakeholders from the state government on the Town and Country Planning Board potentially promotes coordination between state departments during the implementation of urban development projects.

Major obstacles for effective operation

- The rapid urbanization of the metropolitan area of Chennai
- Frequent changes in the top management of CMDA
- Despite representation of state departments in the Town and Country Planning Board, coordination between departments in the implementation of projects is still lacking

BIOMETHANATION PLANT

Type of project: Sustainable Energy generation

Construction area: 4,694m²

Investment: 5.5 crore rupees (approx. 620,000 EUR in 2020)

Current state: functioning since 2006

Impact: produces 2,600 kWh of electricity per day; has reduced greenhouse gas emissions; daily waste being disposed on the local dumpsite has been reduced by 30 metric tons.

Koyambedu Wholesale Market Complex is 1.2 km² in size, has around 3,200 shops and receives around 100,000 visitors and 700 delivery trucks a day. It generates a revenue of approximately 4 crore rupees (approx. 450,000 EUR) annually through the collection of entry fees. It is one of the biggest perishable goods markets in Asia and produces about 150 metric tons of waste per day.

Prior to adequate waste disposal provision, the entire market's waste was deposited on a dumpsite that emits odours and gases such as methane and carbon dioxide, which threatens the environment and the health of the population.

In 2006, on the suggestion of CMDA, the state built a biomethanation plant to process part of the waste produced by the market.

Managing cooperation

CMDA was responsible for allocating the land for the project and for overseeing and steering its technical implementation.

For the implementation, CMDA cooperated with the Market Management Committee, the Ministry of Non-Conventional Energy Sources (MNES) and representatives of the market traders.

The Market Management Committee is responsible for the maintenance of the market and ensuring security. A member of CMDA is chairman of the Market Management Committee. Other members are market trader representatives.

Collaboration for funding leverage and implementation

On the initiative of the CMDA, 75% of the construction costs for the plant were funded by the national Ministry of Non-Conventional Energy Sources under the the United Nations Development Programme's Global Environment Facility. The remaining 25% was funded by the Market Management Committee.

The ministry assigned the Central Leather Research Institute (CLRI) to identify the most suitable technology to make the biomethanation plant able to produce energy and fertilizer from vegetable waste.

Innovative technology for waste management

With a capacity of 30 metric tons of waste per day, the plant design was based on a unique technology patented by the CLRI. It includes the piloting of a "Biogas Induced Mixing Arrangements Digester" that uses no moving parts and can control sediments while handling high solid concentrations.

Through this pilot project, CMDA could:

- evaluate the feasibility of biomethanation of vegetable, fruit and plant waste
- strengthen institutional capacities to develop the technology, to use it in other situations, and to improve project management and implementation.

BIOMETHANATION PLANT

Technical experience: sustainable energy production

The plant requires 30 metric tons of waste a day for energy production. A contractor collects the waste in the market.

The collected waste is separated and transported to the plant. After being processed, biogas is generated and used as fuel in the plant's engine to produce electricity. The average biogas production of the plant is 2,500m³ per day, with a methane content of 65%.

After in-house consumption of part of the produced electricity, the rest is exported to the Tamil Nadu Electricity Board Grid. With the revenue, CMDA pays for the operating costs of the plant. The plant generates an average of 2,600 kWh of electricity per day.

The plant has reduced greenhouse gas (GHG) emissions by 8,308 tons of CO_2 equivalents per year. The value of emission reduction credits is between 5 to 15 US dollars per ton of CO_2 equivalents.

According to the Indian National Institute of Urban Affairs, aside from earnings from the energy produced, the revenue generated by credits, calculated at the minimum rate of 5 US dollar per ton of CO_2 equivalents, is around 1,661,600 rupees per annum (approx. 18,700 EUR).

While this considerable reduction of GHG emissions is being achieved, the disposal of waste in the local dumpsite is being reduced by 30 metric tons per day.

Lessons learnt and challenges

The plant stopped operating between 2008 and 2011 because of machine failure and the unavailability of required parts. Other failures interrupted operations until 2014.

Capacities to operate and maintain the plant have been insufficient due to limited technical expertise and training. Consequently, revenues could not be reliably generated.

Another challenge has been the transportation of waste from the market to the plant, as it has been more economically profitable to dispose of the waste in the landfill.

Currently, the operation of the plant has been outsourced to a private contractor who has invested 1 crore rupees (approx. 112,000 EUR) in restoring the facility. Plans foresee an increase in the capacity of the plant from 30 metric tons to 60.

There is a high potential of transferring the technology to other medium-sized cities with wholesale markets. However, as long as the technology remains expensive, national and international funding is essential.

5.14 Cochin, India

FULL NAME

Greater Cochin Development Authority, Kerala State, India

LEGAL NATURE & SHAREHOLDER STRUCTURE

Kerala State Government is the sole shareholder/owner of UDA

TERRITORIAL LEVEL & LOCATION

Metropolitan level

TIME IN OPERATION

Constituted in 1976. Ceased to operate in 1984 and re-established in 2015

ORGANISATIONAL SETTING

No information on structure within the state found (e.g. what are higher governmental bodies in charge of the UDA)

Accountability

Accountable to the Governor of Kerala

General Council: Policy making body defining the "lines for improvement and development" of the UDA; reviews the Executive Committee.

Executive Committee: Carries out the tasks of the UDA according to the Town Planning Act.

Chairman: Manages the UDA

Measures to assure accountability: various

Audit reports done by: Internal Audit in the UDA, Kerala State Audit Department. Website with public information.

Objective & Projects

To mastermind and coordinate the Integrated Development of Cochin Region (acc. to website).

Projects:

Find here a list of the past and ongoing projects: http://gcda.kerala.gov.in/links. Examples of project types are:

- Plan preparation or revision - Central City Kochi Plan, Zoning regulation of structure, Master Plan for Kochi city region
- Informal settlement improvement – Udaya Colony, Karithala Colony.
- Sectoral: Housing (http://www.edu.gov.co/maps/map/detailsmap/7084) - Gandhi Nagar; Commerce (http://gcda.kerala.gov.in/housing-sector) - Cochin Marine Drive Development Scheme; Roads (http://gcda.kerala.gov.in/road-development-projects) - Mattancherry Bridge,

Cheenavala Bridge; Energy (http://gcda.kerala.gov.in/gcda-switching-over-to-solar-energy) - Power Station; Rehabilitation for housing (http://gcda.kerala.gov.in/rehabilitation-schemes) - Kaloor; Marine Drive (http://gcda.kerala.gov.in/housing-sector)- extension of marine drive walk; Recreational facilities (http://gcda.kerala.gov.in/recreational-facilities) – Jawaharlal Nehru International Stadium

Scope, Functions & Mandate

Mandate & Functions:

To guide urban development through long-term, short-term, and action-area-oriented detailed development plans; Preparation and implementation of General and Detailed Town Planning Schemes in consultation with the Town Planning Department, to co-ordinate the activities of the various agencies; to monitor and implement the plans and proposals through public participation.

Under the 74th Amendment to the Town Planning Act (which year?), some functions (mainly planning) of the District UDA were transferred to local authorities.

Locations/Boundaries:

Cochin City, 6 surrounding municipalities and 25 panchayats[5]

Scope and timeframe:

Unlimited duration; Before the Town and Country Planning Act of 2016 its focus on formulation, coordination, and monitoring. After the act, the focus turned into implementation, promotion of development according to existing plans, and again coordination and monitoring of actors in the process.

Financial Figures

General Budget Estimate 2017/2018

Income 23,400,000 — Costs 18,980,000
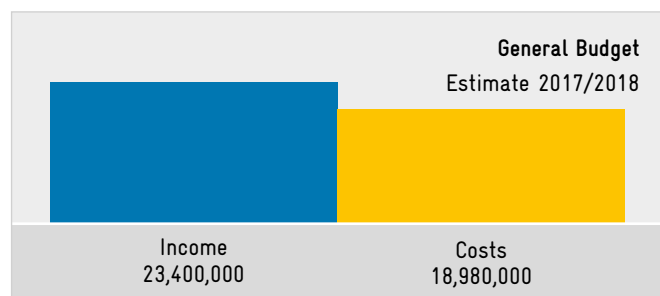
All figures in EUR, own conversion; Jan. 2018

Project funding typology

- Fund created by Kerala state.
- Assets (Rents and leases from buildings, vehicles, and infrastructure) owned by the UDA.
- Interests on deposits and rents
- Fees imposed by development regulations for transfer of land/buildings, administrative fees)

Strength and Opportunities

- Good experience in public participation
- Its boundaries are metropolitan and include several municipalities, allowing for a regional approach and intermunicipal cooperation.
- Implemented Public-Private-Partnerships for project implementation.
- 23 detailed town planning schemes have been developed by the UDA and approved by the government

Weaknesses and Threats

- Limited expertise in spatial planning, in part because those functions were transferred to the local planning authorities.
- Potentially overlapping of functions with the cities and municipalities because of the changes of mandate and jurisdiction (as explained before due to the new Town and Country Planning Act of 2016).
- Its plans and schemes require approval by the state government.

5. Adjudicating and licensing agency in the self-government of an Indian caste.

5.15 Western Cape, South Africa

FULL NAME

GreenCape

LEGAL NATURE & SHAREHOLDER STRUCTURE

Non–Profit–Organisation owned by the Western Cape Government and the City of Cape Town

TERRITORIAL LEVEL & LOCATION

Province of Western Cape, South Africa

TIME IN OPERATION

Created in 2010 by the Western Cape Provincial Government

ORGANISATIONAL STRUCTURE WITHIN THE CITY/STATE

Western Cape Province Department of Economic Development and Tourism → Created through the 2010 Trade Sector Development Programme → Green Cape Sector Development Agency → Independent but connected to Provincial Government

Accountability

Accountable to a Joint Ministerial Advisory Board (20 members of business, academia, and civil society). Advisory Board defines the UDA's governance structure and provides strategical advice.

Board of Directors (3 members of industry, academia and civil society and an observer from the Western Cape Government's Trade and Sector Division) in charge of general oversight, financial management, policy, strategic direction, and new funding opportunities.

Measures to assure accountability: Website with public information about the UDA (no more information about accountability found online)

Objective & Projects

The objective it to promote the adoption of economically viable green economy solutions from the Western Cape.

Past and ongoing projects (http://www.edu.gov.co/maps/map/detailsmap/7084)

Examples:

- Project management: Atlantis- Special Economic Zone (https://www.greencape.co.za/assets/Atlantis-SEZ-content/Atlantis-Brochure-Short-version.pdf)(SEZ) for green technology
- Annual Market Intelligence reports (https://www.green-cape.co.za/market-intelligence/)
- Green Finance Database Tool (https://www.greencape.co.za/content/focusarea/green-finance-databases) (with GIZ)

- Development of the Waste Programme for the province
- Integrated waste management decision support tool
- Smart electricity: Municipal tariff modelling (Stellenbosch)
- South African Renewable Energy Technology Centre
- GreenAgri Portal (https://www.greenagri.org.za/): information platform smart-agro production and sustainable farming
- Peer-exchange and knowledge transfer (Mauritius, Namibia, Mozambique, and Tanzania)

Scope, Functions & Mandate

Mandate & Functions:

Started as a small start-up with a focus on renewable energy. After positive impact, expanded with the following functions:

- helping potential investors understand the local market, connect with the right people, and encounter fewer barriers to doing business.
- providing policy and regulatory advocacy and support
- facilitating access to funding
- facilitating market access
- establishing skills development partnerships
- networking and information-sharing events
- sharing expert knowledge through publication

Locations/Boundaries:

Province of Western Cape *(ambition for upscaling, but no public information on reach-out boundaries)*

Scope and timeframe:

Permanent duration. Scope covers facilitating and coordinating resources and stakeholders. Does not develop or implement the projects.

Financial Figures

No public information on financial figures identified.

Project funding typology

Grant funding from international development agencies (14%) and local grant funding (2%) supplement the budget. Initially (2010), 100% funding (43,143 EUR through the Provincial Western Cape's Trade and Sector Development Programme (2016: 38,5% of their total budget). All figures in EUR, own conversion; Nov. 2010   In 2013, resources from interdepartmentally managed Green Economy Funds increased the budget of the UDA.

Since 2014, National Government contributes funding for the so called "Atlantis project" (2016: 38,5% of the UDA's total budget).

Since 2015, City of Cape Town contributes funding for the energy security and waste division (2016: 7% of the UDA's total budget).

Strength and Opportunities

- Focus on renewable energy gave the UDA a good reputation and visible impact and a stable and secure financial and non-financial support from provincial and national government.
- Independent from the government but strongly aligned with it and strong links with industry, business, and academia and across all fields of green economy.
- Engages with community-based organizations

Weaknesses and Threats

- Refers to itself and known as a "sector development agency", thereby potentially not very responsive to a holistic/integrated project approach.

6. Conclusion: success factors, recommendations and challenges

As diverse as the cities considered in this study are, so are their UDAs, especially in their different contexts and operational focuses. However, the challenges that cities try to overcome by creating UDAs are similar, as are the achievements that UDAs help bring about and the potentials they reveal. In this chapter, conclusions are drawn on how UDAs can provide institutional solutions in the planning and implementation of urban development projects. It considers UDAs from a governance perspective and as instruments for urban development. As such, UDAs can potentially have a transformative impact in terms of efficiency, financial viability, transparency, and participation. In all, it is hoped that the results of this study will provide a better understanding of the common challenges and achievements of urban development agencies.

The recommendations outlined below are based on the study's findings, particularly those from the 15 pre-selected categorized UDAs and the 6 in-depth case studies. They aim at providing guidance on the extent to which UDAs, as institutional instruments, are suitable for the planning, funding, and implementation of urban development projects.

This chapter is organized as follows: Firstly, success factors, prerequisites and organizational settings for UDAs are identified. These are followed in each case by recommendations for partner city/states and German Development Cooperation. The next section is concerned with challenges and corresponding mitigation approaches. The chapter closes with brief concluding remarks.

6.1 Success factors and recommendations

The following descriptions of success factors are based on research or information provided by UDAs or the results of interviews: they do not claim to be complete. A general prerequisite, which can also be regarded as a success factor, is the existence (or the setting up) of legal frameworks that enable cities or state bodies to establish Urban Development Agencies.

I. Identifying relevant stakeholders and involving them

Eleven of the 15 pre-selected and categorized UDAs pinpointed the importance of involving relevant stakeholder in crucial parts of their projects and initiatives. While UDAs' scopes of action and mandate might vary, and some have a quite limited role in shaping urban development, a thorough identification of stakeholders from the outset, and their appropriate involvement in planning and implementation processes have contributed to the development of plans, regulations and strategies yielding concrete results. Additionally, the involvement of relevant stakeholders has, in many cases, helped UDAs to continue with their initiatives, or hand them on to partners, the city or other beneficiaries.

One of the most important benefits of engaging stakeholders is to improve urban governance. UDAs can take on tasks for which the city or state administrations lack capacities, resources, or organizational structures. UDAs have less bureaucratic decision-making procedures, interdisciplinary technical knowledge, project management skills, and, in some cases, a private legal framework for investments. In this context, UDAs often facilitate negotiations with stakeholders and are in charge of the project-related communication between city or state administrations and third parties.

Identifying and involving relevant stakeholders is seen as a major success factor in Bogota, Cairo, Chennai, Cochin, Cuenca, Harlem, IBA Hamburg, Lviv, Medellín, Nelson Mandela Bay Municipality, Quito.

RECOMMENDATIONS:

Cities/States

The type and role of stakeholders vary from project to project. There is no final 'list' of actors that UDAs should consider. Nevertheless, frequently involved stakeholders that should be considered during UDAs' operations are:

- Private sector actors, such as real estate developers, infrastructure developers, chambers of commerce and local business people.
- Public actors such as other project-related agencies owned by the city or the state, city or state councils and administrative departments; and, if relevant, national sectoral entities (e.g. government ministries of transport, planning, environmental, etc.).
- Civil society: civil society organizations, social entrepreneurs, youth and children's organizations, ethnic groups, LGBTQ+ organizations, representatives of people with special needs, universities, and research institutes.
- Other relevant actors: e.g. international organizations, development cooperation partners, philanthropists, etc.

German Development Cooperation

Capacity development and advisory services should focus on:

- Individual competences (in steering, cooperation, participation methods etc.)
- Institutional capacities (for broad involvement mechanisms etc.)
- Frameworks (adequate legal frameworks and mandates to allow for broad involvement, cooperation and participatory decision-making

II. Prioritizing social impact and public participation

Eight of the pre-selected UDAs give special priority to the social impacts of their initiatives. Consequently, they invest time and resources in understanding the communities' needs and demands. Focusing on the social impact of projects is often accompanied by special attention to public participation.

Prioritizing social impact and public participation was identified as a success factor in Cochin, Harlem, IBA Hamburg, IBA Thüringen, Leipzig, Lviv, Medellín, Nelson Mandela Bay Municipality, and Western Cape (GreenCape).

RECOMMENDATIONS:

Cities/States

To identify the potential social impact of their work, UDAs should thoroughly analyse project sites and affected communities. Establishing trustworthy communications with the community and fulfilling commitments are crucial in this regard. Successful public participation often goes beyond the legal minimum requirements. Investing resources in public participation allows UDAs to build trust and execute their role as intermediaries between city/ state administrations and communities.

German Development Cooperation

Capacity Development with a focus on public participation methods and formats should follow the fundamental principles of Agenda 2030, such as "leave no one behind". To learn from each other and mitigate potential administration 'fear' regarding public participation, setting up peer-learning networks and exchanges of good practice among fellow UDAs are promising starting points.

III. Following an integrated approach to urban development

Seven out of the 15 pre-selected UDAs highlight the benefits of approaching urban development in a holistic and integrated way. By considering interdependencies across sectors, an integrated approach fosters an understanding common to administrations and communities of how best to manage urbanisation and successfully achieve spatial transformation. Often, an integrated approach is the result of years of operational experience and the extension of a UDA's mandate. It is important to note that UDAs of themselves do not guarantee cross-sectoral collaboration. The original aim of many UDAs was to work independently and hence more efficiently, rather than to increase sectoral integration.

An integrated approach to urban development is pointed to as a success factor in Bogota, Chennai, IBA Hamburg, Leipzig, Lviv, and Nelson Mandela Bay Municipality.

RECOMMENDATIONS:

Cities/States

An integrated approach considers urban development as a tool for improving the quality of life of communities and not as a goal in itself. Important aspects of this approach are interdisciplinary action and steering the interests of different sectors towards a common vision of development. UDAs should approach their tasks in an integrated way so that wider impacts and broader stakeholder interests in projects and initiatives can be considered in advance. Integrated approaches also prompt UDAs to establish alliances and coordinate with other actors who can contribute specialized knowledge and, at times, additional resources.

German Development Cooperation

Encourage the sharing of good practices and peer exchange on integrated urban development. Frameworks such as the New Leipzig Charter can serve as references in advising cities and governments on how to foster integrated urban development at the local level, and in setting up appropriate national funding/support programmes for cities. Linking funding to requirements for integrated approaches encourages cities and UDAs to develop and implement urban strategies in an integrated manner.

IV. Mobilizing specialized and multidisciplinary knowledge

Five of the 15 pre-selected UDAs highlight one of their biggest assets as their specific technical knowledge, something that many local governments do not otherwise have access to. Furthermore, the UDA's ability to build multidisciplinary teams, e.g. with planners, economists, architects, psychologists and social workers, was pointed to as major benefit. Multidisciplinary teams enhance the potential for agile project management and collaborative and less hierarchical organizational structures. A skilled and multidisciplinary team with an enabling atmosphere (leadership, resources, freedom to act) is also a prerequisite for innovation.

Mobilizing multidisciplinary and specialized technical knowledge was identified as a success factor in Western Cape (Green-Cape Agency), Leipzig, Lviv, Medellín, and Nelson Mandela Bay Municipality.

RECOMMENDATIONS:

Cities/States

- UDAs that create multidisciplinary technical teams can potentially react better to changing framework conditions, find targeted and placed-based solutions for different projects, and increase their collaborative capabilities both internally as well as with external actors. Mobilizing multidisciplinary teamwork can also impact local, national, or global urban agendas as many require a faceted, holistic approach to development. UDA expertise can therefore also improve local government capacities.
- In terms of operational frameworks, relevant insights were identified in UDAs in Medellín and Nelson Mandela Bay Municipality. In both cases, the UDAs improved their operational framework by developing less hierarchical organizational structures. In the UDA in Medellín, different units have clear roles that are steered by a Project Management Unit. Different units participate in decision-making processes, depending on the working methodology, which can vary. In the case of Nelson Mandela Bay Municipality's UDA, the organizational setting, technical team, and specialized units reflect the goal of achieving peace and security through urban development, e.g. by involving psychologists and social scientists.

German Development Cooperation

- A potentially effective way of improving the capacities of UDAs and the competencies of their staff is learning through peer-to-peer networks and platforms, and exchanges of experience. Most of the UDAs contacted in this study stated that they have not yet explored these

potentials, but voiced their strong interest in them. Concrete actions to promote peer-learning include: identifying topics of common interest and shared challenges; designating a UDA with a good performance record to steer the exchanges; outsourcing documentation and follow-up processes to relieve UDAs of the extra work; and promoting missions and field visits between UDAs' technical and decision-making staff.

V. Evaluating and monitoring UDA performance and communicating with citizens

Most of the 15 pre-selected UDAs self-evaluate their performance. They mainly do so by answering to national or local regulations that apply to any publicly funded enterprise. Some of the 6 UDAs that were studied in-depth emphasized the importance of self-evaluation and a clear set of performance indicators that can be reported to their shareholders. When monitoring and evaluation is not done internally, it is carried out jointly by the UDA, its shareholders (the city or state) and, if applicable, external funders (financing programmes, donors, etc). Some, on their own initiative, share specific information with citizens (e.g. by publishing performance reports on websites or newsletters). In most cases, providing citizens with information is not part of the evaluation process.

Some of the direct benefits of evaluating and monitoring UDA performance are:

- The ability to frequently update a UDA's regulations and legal frameworks, allowing it to adapt to circumstances and challenges.
- The early identification of potential "red-flags" or risks that can then be mitigated, such as the domination of private-sector interests over public welfare, or corruption among decision-makers,
- The Identification of operational bottlenecks and technical, institutional, or financial weaknesses.
- Transparent documentation of successful projects, allowing for future funding.

All 15 pre-selected UDAs apply some type of evaluation and monitoring arrangements and tools.

RECOMMENDATIONS:

Cities/States
- An important aspect that should be considered when defining UDA evaluation and monitoring mechanisms is their frequency. Some evaluations are done sporadically, e.g. every four years or after the end of a financial period. Others are done more frequently, e.g. every 3 or 4 months or at specific project implementation progress

points. The form and frequency of evaluations should correspond to the efficient use of resources and can vary between UDAs.

- Often, evaluations are carried out internally, but they can also be done externally: a clear preference cannot be concluded from this study. To achieve good transparency, it is advisable to carry out external evaluations at certain intervals.
- Evaluating, documenting and publishing the results of its work through performance indicators can improve the overall performance of a UDA and helps increase feelings of communal ownership.

German Development Cooperation

- Capacity development for adequate monitoring and evaluation mechanisms should be supported, as should targeted advise on creating and using performance indicators and setting up performance monitoring systems.

VI. Reliable funding arrangements

All the UDAs considered in this study depend on city or state funding. Some have, however, found additional alternative sources that have allowed them to decrease their dependence on public funding and enabled them to fund particular projects. Most UDAs have the potential to blend and pool funding from different sources, and/or assist municipalities to also do so.

RECOMMENDATIONS:

Cities/States

- UDAs need to be given the mandate to access funding outside city or state budgets, and to have or acquire appropriate expertise in applying for national or international funding.
- All the UDAs considered in this study mainly depend on their shareholders for funding. Acquiring additional funds can provide some independence ("add-on"), but should not be the main source. A UDA will not be successful without adequate funding from the shareholders.
- Using alternative funding sources might risk prioritizing the interests of those sources rather than the development objectives of the city. Adequate control mechanisms (e.g. a supervisory board, the city council) should be in place.

German Development Cooperation

- Capacity development for UDAs should be supported in project preparation to:

- meet international financing standards.
- show realistic financing structures.
- have positive impacts, e.g. on the environment, on socio-economic co-benefits.

Advising cities and states and UDAs on establishing project control structures, which work both for planned or current project implementations and in the preparation of future projects.

6.2 Challenges and recommendations for mitigation

This study has identified challenges UDAs frequently face during their operations. Some of these challenges are external and the UDA can do little to overcome them. Others are internal, and are caused or influenced by the UDA's organizational structure, working methods or internal decision-making processes. Challenges are also particular to the city or state where the UDA operates. The following sections provide German Development Cooperation and its partners with an overview of the major challenges facing UDAs.

External Challenges

I. Rapid urbanisation

Rapid urbanisation is a challenge that cities currently face in different regions of the world, especially in the Global South. Urbanisation can, among other things, bring about a need for the densification of central areas, improvements of public open space, expansion of urban transportation networks, and, where necessary, the legalisation or upgrading of informal neighbourhoods. Urbanisation influences the UDAs' role in managing the development of their respective cities. UDAs are often created to relieve city administrations from the pressure of implementing projects fast enough to cope with rapid urbanization. City officials expect UDAs to work in more agile ways than administrative departments, and to be quicker in responding to demands, in taking decisions, acquiring funding, and implementing projects. However, the role of UDAs is limited to their mandates. Therefore, sufficient resources, capacities and an adequate institutional arrangement in the respective city are required to support the UDA. This can be achieved through cooperation with allies and partners thus to complement its expertise.

Cities/States

Develop clear strategic guidelines on how to react to urbanisation while considering the common good (e.g. use of public space, approaches to informal settlements etc.)

German Development Cooperation

Advise partners (cities and national governments) on response strategies to urbanisation in line with the New Urban Agenda and Agenda 2030 and its fundamental principles, such as "Leave No One Behind" (LNOB). The entry point, however, should be the city administration and not the UDA alone.

II. Insufficient funding

UDAs often face funding-related challenges either because cities or states fail to provide adequate funds or because UDAs lack the capacities or the legal frameworks required to raise funds from alternative sources. Typically, UDA funds come from city or state budgets. National budgets are not major sources of funding (yet). Several approaches and tools for obtaining additional resources are being used by UDAs around the world (e.g. in Bogota, Chennai, Johannesburg, Lviv, Medellín, and Nelson Mandela Bay Municipality):

- **Tax collection** (related to land values, infrastructure projects, land use etc.)
- **Administrative fees** (for land use modifications, construction licences, project management etc.)
- **Provision of consultancy services** to its own shareholders or other cities and municipalities (developing project concepts in line with national government requirements, designing public participation methodologies, sharing the use of geographical information technologies)
- **Widening the portfolio of project types,** so UDAs can access funding from more sectors or city units.
- **Public-Private-Partnerships**
- **Alliances/partnerships** with other local or state agencies (e.g. public transport agency, public services agency, education agency etc.).

RECOMMENDATIONS FOR MITIGATION:

Cities/States

Ensure sufficient funding streams for the UDA (both for human resources and implementation of projects)

German Development Cooperation

Advise partners (cities and national governments) in setting up sound funding frameworks for urban development.

Examples are the German National Funding Programmes for Urban Development. Most UDAs worldwide rely on funding from their cities. In order to incentivize working for the common good, funding programmes should set up appropriate criteria.

III. Inequality and vulnerability of communities

Often, projects are located in areas in need of renewal, upgrade, or development. Typically, communities in these areas face socio-economic challenges such as unemployment, and poor access to education and social security. In addition, communities in the Global South might occupy land informally, often because of unplanned urban growth. This can result in informal settlements being located in areas with high risks of landslides or flooding, or areas with little or no access to public services or city transport systems. These conditions can lead to above average crime rates, weak economic development, public health crises and natural or man-made disasters, which in turn make these communities even more vulnerable.

UDAs often have the mandate to develop projects and initiatives that improve the living conditions of citizens and promote their economic development. The conditions in these deprived areas present a challenge both in the relationship between UDAs and the community, and with the physical implementation of projects. UDAs may face the mistrust of the population, and their reluctance to take part in public participation processes. In addition, UDAs face technical challenges in keeping to construction standards and physical access to projects in areas that are not formally planned. Moreover, upgrading and renewing these areas can lead to the displacement of its original inhabitants because of increasing living costs and property values.

The UDAs included in this study are knowledgeable and innovative in this respect. The UDA in Medellín, for example, designed special solutions to connect the city's water and sewage networks to neighbourhoods with limited access in hillside areas.

Innovative strategies focusing on mitigating inequality and vulnerability are highlighted in Bogota, IBA Hamburg, Leipzig, Medellín, and Nelson Mandela Bay Municipality.

RECOMMENDATIONS FOR MITIGATION:

Cities/States

Importance should be placed on assessing the needs and demands of affected communities, and on involving them through participation mechanisms.

- Identify and communicate the socio-economic benefits of projects.

- Identify "neutral" places for trust building exercises (avoid official locations such as town halls)

German Development Cooperation

- Advise partners on the fundamental principles of Agenda 2030 (especially LNOB)
- Initiate and enable peer exchange between cities and UDAs with a focus on vulnerable communities

IV. Corruption and dominance of private interests

All 15 pre-selected UDAs have accountability and evaluation mechanisms in place. However, interviewees from UDAs mentioned the risk of local politicians exerting pressure to favour certain projects. At times, UDAs are seen by politicians as a means to implement projects not included in city development or land-use plans in order to exploit them for their electoral campaigns or private interests.

RECOMMENDATIONS FOR MITIGATION:

Cities/States

Mechanisms to mitigate the risk of UDAs being used for private or political interests:

- Establish a system of checks and balances: urban development planning decisions are often subject to discussion by local or state councils, and can include binding conditions.
- Implement frequent monitoring of budget outgoings, performance indicators, and project timelines.
- Apply online tools such as databases, websites, social media, press releases to communicate with and inform the public.

German Development Cooperation

- Develop the capacities of cities and their control bodies, e.g. to enforce building codes.
- Advise cities on setting up governance systems and frameworks that enable enforcement of checks and balances.

V. Mistrust of the communities in public entities

In some cities, public institutions have limited legitimacy due to institutional weaknesses, corruption, or failures in public service provision. This often translates into the mistrust of communities in public institutions and consequently in any interventions a publicly owned enterprise such as a UDA aims to do. This

challenge is often faced by UDAs that operate in deprived areas in which communities live in difficult social and economic conditions.

This challenge can be confronted by prioritizing citizen participation, dialogue, access to information and communication with communities impacted by the UDA's projects. There is no specific timeframe for such trust-building measures, but interviewed partners recommend early engagement with communities before project implementation. The Nelson Mandela Bay Municipality UDA, for example, used the local stadium for dialogue and trust-building as it is a place not directly associated with the authorities, but with sports and culture.

RECOMMENDATIONS FOR MITIGATION:

Cities/States

- Identify spaces for public participation that are not immediately associated with public/local administration (e.g. stadiums, parks, squares)
- Strengthening relationships and trust between communities and UDAs and city administrations can be helped by informing the community about development priorities.
- Make information on UDA projects available, e.g. on how decisions are made, and have open discussions on key roles and responsibilities.

German Development Cooperation

- Raise awareness of the importance of community engagement and the potential capacities of communities (e.g. networks of mutual support, trusted channels of information etc.)
- Develop community engagement capacities (e.g. community/ stakeholder mapping, methods and formats etc.)

Internal Challenges

VI. Limited coordination with the city/state administration

The successful operation of a UDA requires close coordination with different actors. Most case studies show that coordination with the city or state administration is essential to their results. However, a lack of adequate coordination presents a challenge to most UDAs. The reasons are manifold, and include unclear roles and functions, overlapping functions, non-existent communication channels between entities, and limited coordination capacities. Challenges can arise from legal frameworks that do not provide adequate tools for the cooperative management of

large projects. In some cases, UDAs can find themselves duplicating the responsibilities of city departments (e.g. planning or transport), rather than coordinating with them.

VII. Partners with sectoral approach to urban development

Some of the UDAs considered in this study have an integrated approach to urban planning. Others operate sectorally as determined by their mandate. One of the challenges UDAs face when implementing an integrated approach is the resistance of partners. According to interviewees, this occurs frequently when UDAs attempt to build alliances with private sector enterprises such as housing developers or transport operators, whose primary interests are sectoral and private by definition. This sectoral mindset can moreover be found in city or state administration units that lack horizontal communication mechanisms.

VIII. Limited accountability and public participation

The lacks of accountability, public information and participation are distinct aspects of some of the UDAs considered in this study. This often reflects national or local frameworks in which accountability is not mandatory or applicable to UDA types of entity. In most cases, accountability and transparency are key to guaranteeing that UDAs' relationships with stakeholders, including civil society, are trustworthy and collaborative. Public participation is a success factor that activates the potentials of UDAs, and it is often a core element of UDA projects. However, some UDAs do not have public participation strategies or transparency mechanisms.

Establishing clearly defined accountability tools can help to mitigate this challenge. Publishing and otherwise communicating information about the work of a UDA is a solution that has low costs and yields good results. In all, public participation increases the chances of UDA project success as it fosters a sense of ownership and legitimacy in all involved actors: the pubic, the stakeholders, administration officials and UDA team members.

6.3 Concluding remarks

This study has shown that Urban Development Agencies can be an effective institutional arrangement and an efficient instrument for local or state governments to manage the multiple challenges of urban development in cities worldwide.

They can plan and/or implement projects, and can assist city administrations in strategic planning and in accessing additional funding for interventions.

At the same time, they should not be considered a "model solution" for dealing with urban issues and development. Their success depends on enabling framework conditions, such as mandates that are appropriate to local needs, sufficient support and funding from the UDA's the stakeholder(s), clarity about functions and sufficient capacities to build multidisciplinary technical teams.

For German Development Cooperation, the success factors identified in this study can inform the development of criteria for assessing institutional solutions, and can help with the prioritisation of institutional support for existing or planned urban development agencies.

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