

FINAL

Helping Cities Turn Knowledge into Action: Developing the Capacity for Cities to Reform and Innovate

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The capacity development challenge for cities:

- Sheer numbers – e.g., number of cities with over 0.5m inhabitants growing by 62% in China, 75% in Africa
 - Many ill-informed and inexperienced officials managing cities
- Large cities encompassing multiple local government units (e.g., 18 in metro Manila; Mumbai has 7 municipal corporations and 15 smaller municipal councils)
 - Major coordination challenges
- Growing complexity of the agenda to be managed by urban practitioners:
 - “Competitive/Smart/Green/Sustainable/Resilient/Inclusive....”
- Disappointment with many CD efforts limited to technical training of individuals (including self-critique of World Bank past training)

How to possibly have an impact?

The evolving global thinking on Capacity Development **

“Capacity Development” defined as

- Strengthening ability of people, organizations, society to manage affairs successfully—CD as holistic, endogenous, multilayered (from individuals to enabling environment)—**capacity of the system**
- Including both specific knowledge content (technical skills) and broader core competencies—ability to plan, monitor, assess

Influence from research on what works in business (corporate) learning --

- ✓ Sharing knowledge creates knowledge
- ✓ Opportunities for interaction among people/groups is conducive to innovation (Nonaka and Konno, 1998 - “Ba”)

** OECD/DAC, 2010 UN MDG Summit, 2011 Busan High Level Forum on Aid Effectiveness

The evolving global thinking on capacity development....

This definition of Capacity Development therefore implies:

- Enabling **results on the ground**
- Through better **policies, institutions, and commitment of key stakeholders (“ownership”)** to achieve agreed development goals
- CD is interlinked with Governance and Accountability

CD is about “How To” implement Reform (doing things differently) and Innovation (doing different things) – a process of Change Management



Six questions in designing and carrying out a capacity development program for cities

- 1) **What is the development objective** – the challenge or the problem definition—What is the change you want to see?
 - ✓ just build houses, or vibrant settlements?
 - ✓ just move vehicles faster, or make the city accessible to all?
- Importance of a shared vision
- Some urban practitioners need to “un-learn” – to move away from the traditional solutions inappropriate to today’s problems

2) **Who are the critical change agents?**

- Who needs to learn together and collaborate in implementation?
 - Not just government officials or experts run the city
 - Bring multiple stakeholders together—service providers and customers, clients, citizens, competitors

- Who has knowledge to share, even if “nontraditional” and often unrecognized
 - Tapping the knowledge in the “crowd” – as well as
 - Learning by developing trust and relationships with peers – extending across the usual agency boundaries, the public vs. private divide
 - Taking advantage of power of Voice (of constituents, users, citizens) to demand change—provoking incentives for changed behaviors

- 3) **What are the factors in the institutional environment that facilitate or obstruct the change – diagnosing the gaps and barriers (“binding constraints”)?**
- Incentive system, policies, organizational structures and behaviors -- that create or deter demand for change.
 - Ability to translate and adapt practices from one context to another depends on the “ecosystem” in place—e.g. the enabling environment and attitudes or readiness of various stakeholders.
 - Identify (nurture) leadership by building coalitions—not about individual leaders but mobilizing leadership teams

Six questions in designing and carrying out a capacity development program for cities:

4) What specific knowledge and behaviors are needed by the different parties to implement the change?

= Intermediate Capacity Outcomes

- Raised **awareness**
- Greater **knowledge and skills**
- Strengthened **consensus and teamwork** (“coalition building”) and adaptive leadership
- Enhanced **relationships and partnerships**, e.g. peer **networks** for ongoing knowledge and mutual support to practitioners
- Increased **opportunities for active participation and collaboration by citizens** to access information on their local government, express their views and contribute (not just adversarial but proactive involvement)—**stronger stakeholder ownership**

5) What kinds of **CD interventions and activities** can help to address the identified needs for knowledge and changed behaviors?

- **Structured learning** (codified knowledge) – action-learning, project-based, operationally relevant content—relevant to people “in service”
- **Peer to Peer knowledge exchange** (tacit knowledge) —especially South-South—wide wide range of options : conferences / workshops, online or face-to-face communities of practice, peer team consultation/coaching, city twinning, study visits—all need to be well-planned, well-prepared, and results-focused
- **Fostering leadership and coalition-building, especially to engage non-traditional stakeholders**—strengthening voice of local governments with national govt, and of citizen groups and private sector with local govt
- Using **ICT-enabled methods** to mobilize feedback and empower citizens ; **mapping of data** on government and services to facilitate public communication and dialogue, e.g. on budgets and service delivery ; use **competitions** (“grand challenges”) to solicit new solutions and discover/reward good practices

6) **How to monitor and evaluate the process and results?**

- Minimize but focus data collection on indicators related to “intermediate capacity outcomes” (what CD activities can directly affect)—enhanced knowledge, awareness, behaviors of individuals or groups
- While tracking changes in the policies, organizational measures, institutional changes and other developments—which may or may not be attributable to CD activities



How WBI's Urban Practice supports “results-based capacity development “

- ✓ Convening **knowledge exchange** among practitioners facing similar problems (cross-city, cross-country networks)
- ✓ **Training** (e.g., e-learning courses and F2F) with practical lessons and case studies from global experience, and operational research, customized to countries by national partner institutions
- ✓ **Direct support to local knowledge institutions** —e.g., urban think tanks and local gov't associations, typically in collaboration with other WB assistance, to help them design and deliver CD activities on sustainable basis.
- ✓ Aiming to strengthen both the **supply** (service delivery on the ground) and **demand** for better urban governance—through improved access to information and dialogues among local, central governments, professionals, and citizens



Closing: Challenges for current researchers: translating knowledge into action

- ✓ Now is the time! Many countries embarking on ambitious CD programs for local governments (India, S.Africa, India, Vietnam, Philippines.....)
- ✓ Universities need to reach out to current cohorts of practitioners, not just train future generations “in-service”, not just “pre-service”
- ✓ Engage practitioners in research, and researchers in practice – e.g., use practitioner networks for real-time knowledge exchange
- ✓ Crucial need to accelerate the application of knowledge, and scale up good practices – “smarter institutions” and demand for good governance are at the heart of improved development results





Thank You!

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WBI websites

- WBI Urban's official page (<http://wbi.worldbank.org/wbi/topic/urban-development>)
- e-Institute (<http://einstitution.worldbank.org>)

Collaboration sites

- Inclusive Cities (<http://inclusivecities.ning.com/>)
- Urban Crime and Violence (<http://www.prevent-crime.info/>)
- India Urban Portal (<http://www.indiaurbanportal.in/>)
- Philippine Urban Consortium (<http://philurban.ning.com/>)





Annexes



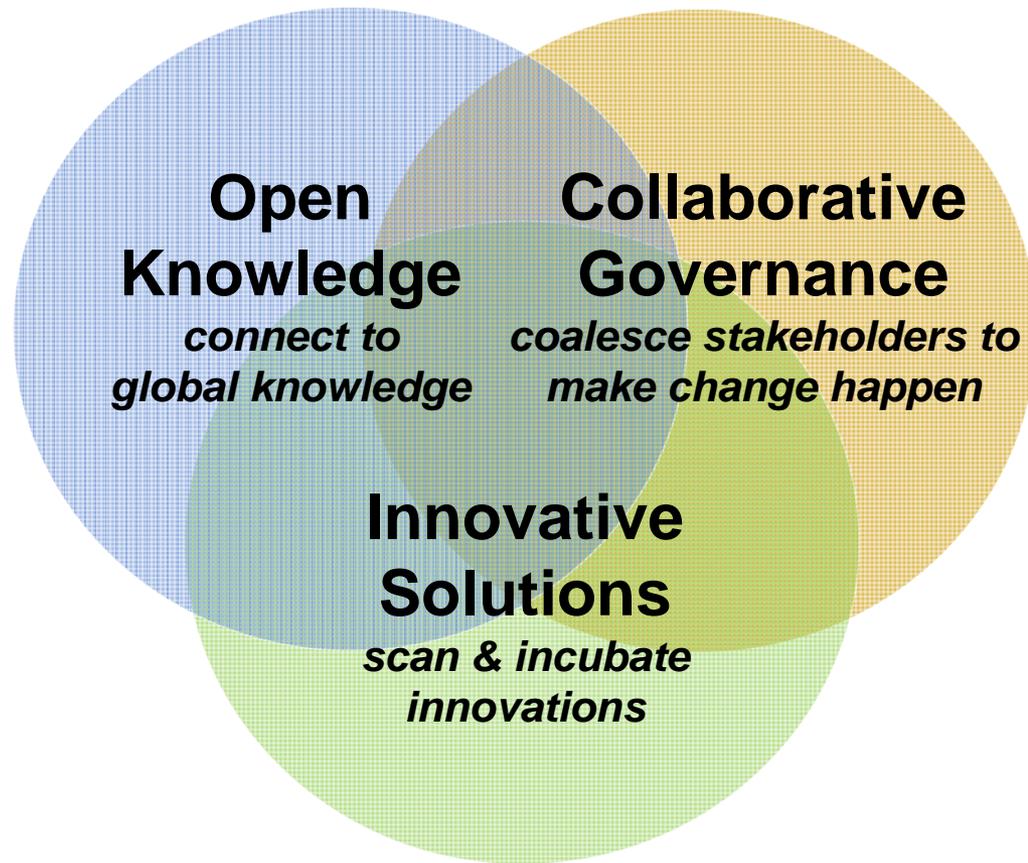
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WBI Mission & Approach

Strengthen the capacity of government & non-governmental actors
to catalyze change for results



Structured Learning – WBI’s integrated urban curriculum

- E-learning courses “with an edge” – core knowledge with focus on innovations, best practices and how-to methodological tools, linked to operational experience
- Urban is first curriculum for new **WBI E-Institute** (from July 2011)
 - Courses prepared, piloted and delivered in 2011-12:
 - *Sustainable Urban Land Use Planning, Street Addressing and Management of Cities, Introduction to Disaster Risk Management, Urban Crime & Violence Prevention, Safe and Resilient Cities, Water Utility Reform, Municipal Finance Tools and Methods, Upgrading Informal Settlements*
- Delivery scaled up through various modes:
 - e-Institute (delivered twice/year)
 - Regional and national training partners (“wholesaling”) to customize and translate: Tec de Monterrey (Mexico), Chinese Academy of Governance, CEPT (India), Ardhi University (Tanzania), UEM (Mozambique), Arab and African Water Academies
 - Training cohorts who then work together implementing programs
- “Blended” pedagogical methods:
 - Facilitated delivery (with expert tutors)
 - Combine with Face-to-Face (for leadership and coalition-building)
 - Follow up e-course with community of practice virtual interchange

List of WBI e-courses on urban development:

Urban Planning and Land Management

- Sustainable Land Use Planning
- Street Addressing and the Management of Cities

Municipal Finance and Governance

- Municipal Finance: A Learning program for Local Governments

Urban Service Delivery

- Upgrading Informal Settlements (services to urban poor)
- Designing and Implementing Successful Water Utility Reform

Safe and Resilient Cities

- Introduction to DRM
- Crime and Violence Prevention
- Safe and Resilient Cities: A Toolkit



Practitioner Knowledge Exchange – Connectivity

- Support to practitioner networks: e.g., China Urban Planning Society; Philippines League of Cities and Urban Consortium; India-Brazil-South Africa (IBSA) Human Settlements Group; Africa Assoc of Planning Schools; PEARL (Peer Exchange and Reflective Learning network) in India; Local Gov't associations in Southeast Europe
- City to city dialogue workshop series (Balkans) on municipal finance, urban planning, service delivery, anti-corruption
- Global Distance Learning Network (GDLN--videoconference) exchanges among peers, e.g. on crime and violence prevention in Central America, Brazil, South Africa
- Help instigate/stimulate communities of practice and web exchanges – e.g. www.inclusive-cities.info on slum upgrading
- Knowledge-sharing program on Lessons from Mega Disasters with Govt of Japan and international disaster risk management experts
- Selectively: global and regional events—e.g., in collaboration with WB Urbanization Knowledge Partnership



Regional/ Country Engagement: “Hands on” capacity building in direct partnership with Operations

China and Vietnam – supporting national curricula for mayors/city managers, part of national accreditation programs

Philippines – assisting Local Govt Academy to evolve from direct trainer to knowledge and learning “broker” with other institutions, and facilitating knowledge sharing through multi-stakeholder Philippines Urbana Consortium and League of Cities

South Africa – provided international good practice lessons influencing formulation of National Upgrading Support Program (NUSP) -- now following up to support design and roll-out of national human settlements professionalization program.

India -- under national urban mission (JNNURM II), providing multi-dimensional support to CD program including e-course curricula, business planning for new urban institutes, and K-exchange through PEARL network, in conjunction with ongoing/new WB loans.

Western Balkans – Austrian trust funded-program blending three tiers of capacity support (structured learning, city-to-city dialogues, leadership training) with national and regional local gov’t associations, on land use planning, municipal finance, and service delivery.



Citizen Mapping

Links Citizen Voice to Planning in Dar Es Salaam

August 2011



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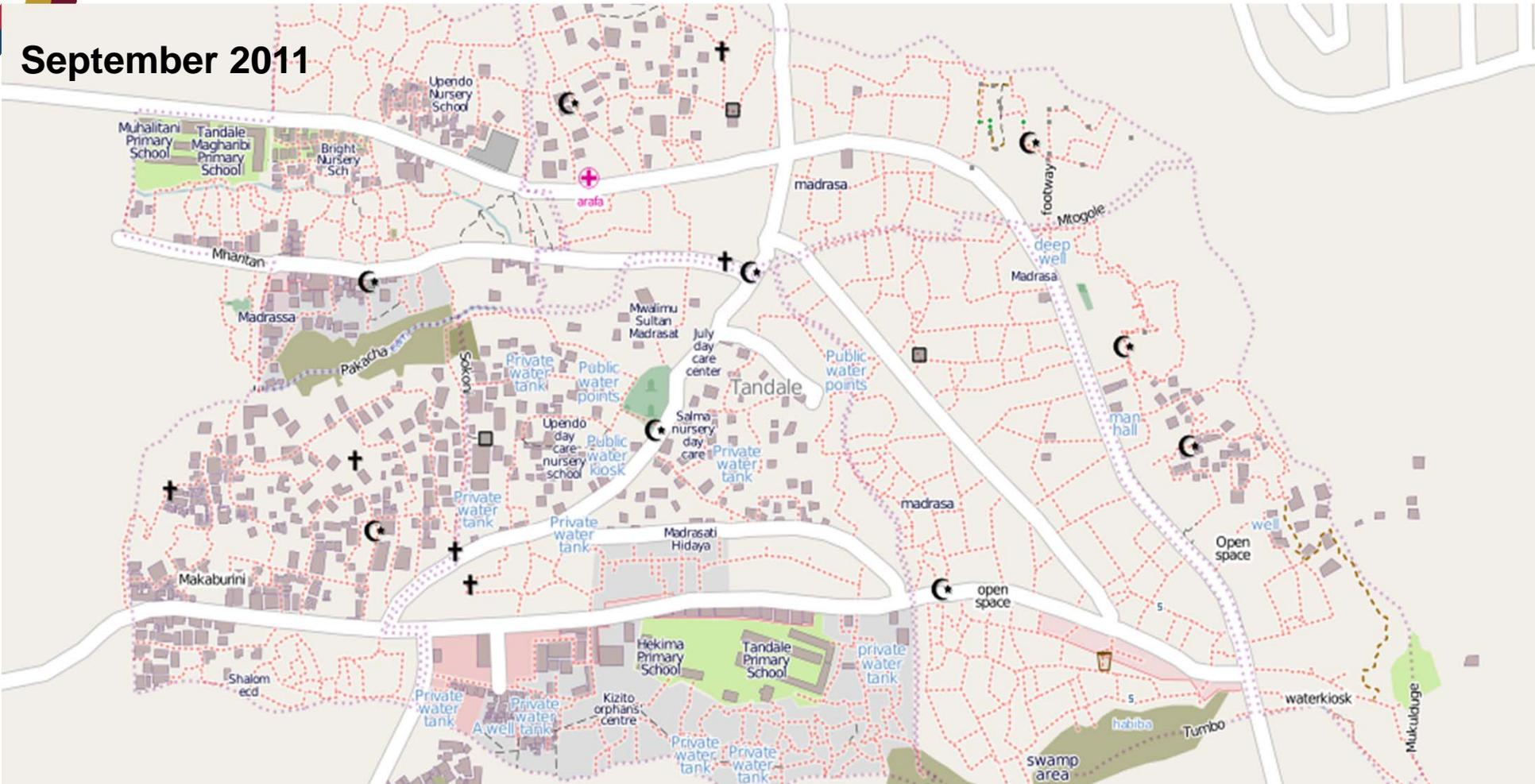
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How WBI's assistance comes together

(e.g. Strengthening Local Government Capacity in South-East Europe)

E-learning

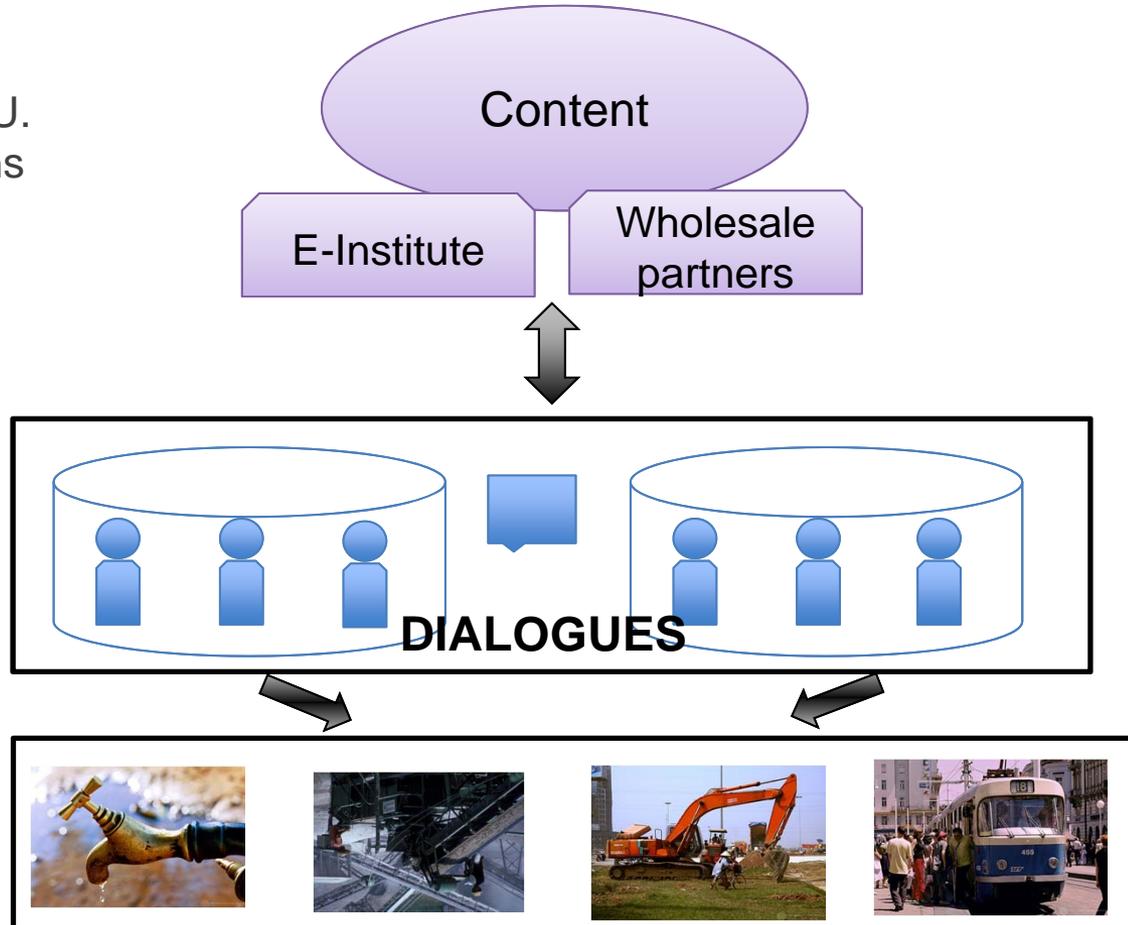
- Global curriculum: e-Institute
 - Regional Partner: Central European U.
 - Local Partners: local govt associations
- *for marketing, dissemination, translation*

City-to-city dialogue series

- Municipal finance
- Urban planning & land management
- Urban service delivery
- Anti-corruption

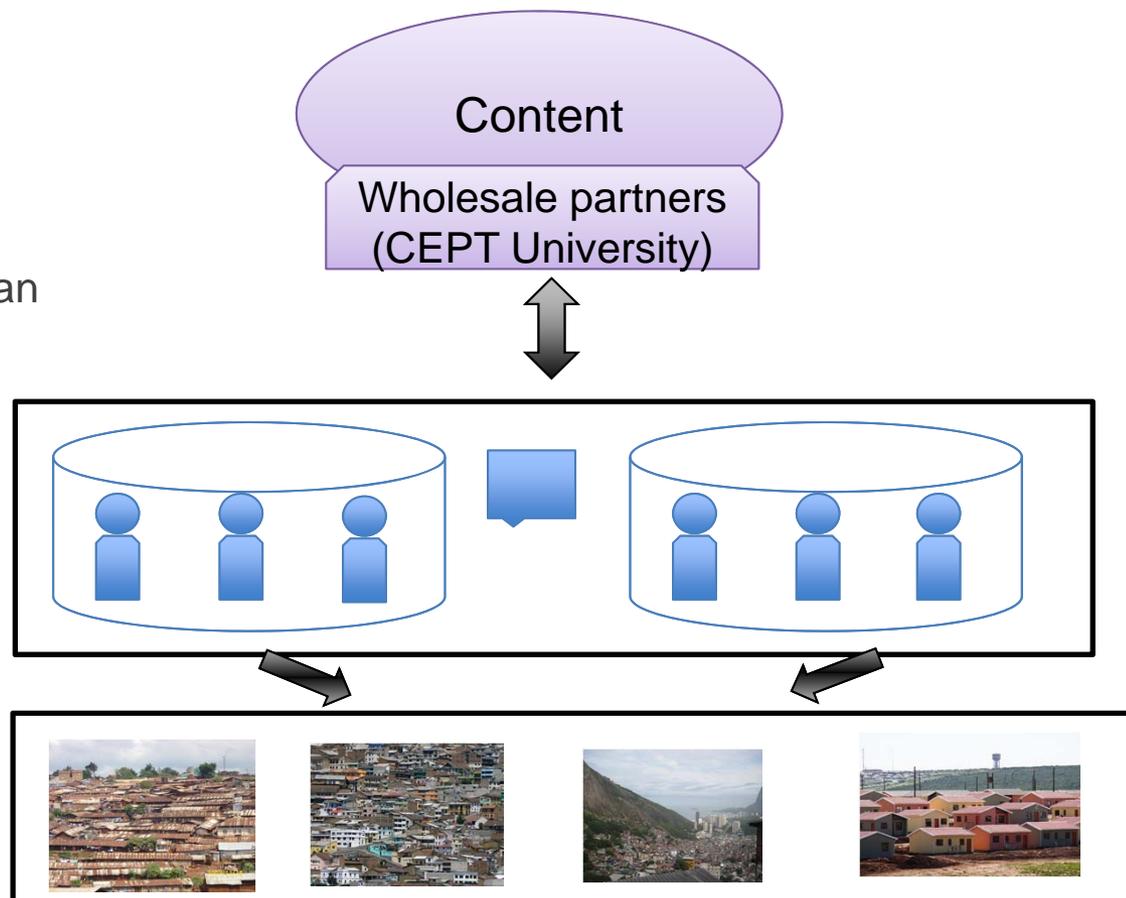
Hands-on capacity building

- Combine leadership skills with technical content – using Rapid Results Initiatives
- Municipalities use self-assessment tools (finance and urb planning “audits”)
- Direct link with WB lending operations where possible



How WBI assistance comes together (e.g. Inclusive Cities program - India)

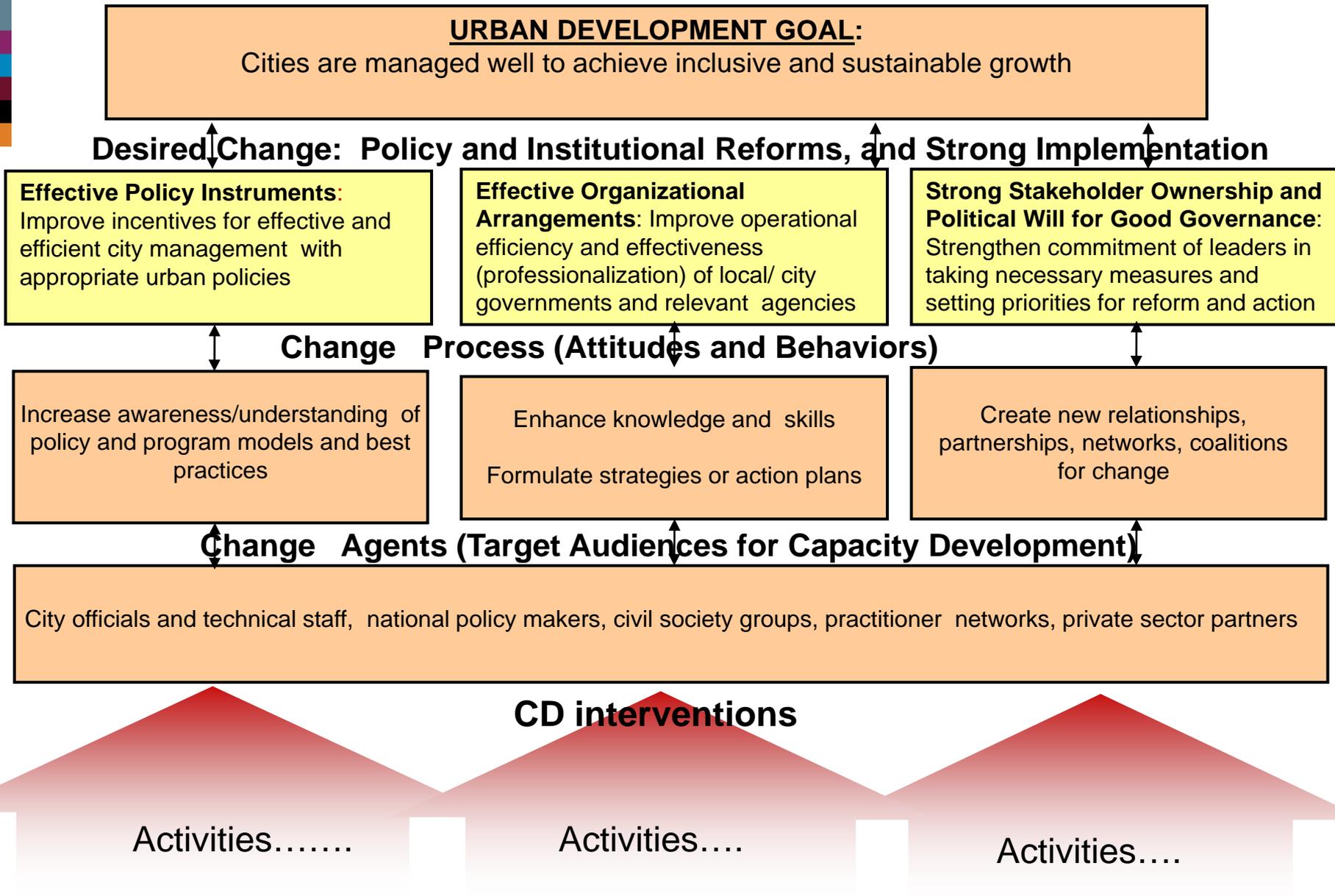
- E-learning content created and customized (upgrading informal settlements) in India
- E-learning course to be delivered strategically (e.g. for officials of Ministry of Housing and Urban Poverty Alleviation, states, and urban local bodies)



- K-Exchanges among cities through PEARL network and international'ly (e.g. IBSA) covering slum upgrading & urban mgmt
- TA to new urban institutes on business planning, and international knowledge exchanges
- Learning applied in implementing national slum upgrading program (RAY), supported by Bank projects



WBI Capacity Development Results Framework (CDRF)



Notional Examples of CDRF:

A. Development problem: Need for improved mobilization of municipal revenues

- Activity 1: Knowledge exchange event to inform municipal staff of good practices and possibilities
- Activity 2: Participants paired with mentors (e.g. bi-monthly videoconferences) for 1 year to help them adopt and interpret benchmarking and identify actions to improve revenue collection
- Desired behavioral change: Municipality makes commitment to adopt revenue measures and undertakes consensus-building/strategic communications to gain public support
- Policy/institutional change: Actions taken to introduce or raise revenues
- Development goal met: Revenues increase in sustainable manner

B. Development problem: Need to reduce illegal constructions

- Activity 1: Practitioner exchanges on methods/good practices to enforce land use plans and regulations
- Activity 2: Public media campaign to highlight problem and solutions
- Desired behavioral change: City officials decide to enforce measures against illegal construction, and mobilize public support
- Policy/institutional change: Municipality adopts an appropriate organizational approach to achieve better enforcement
- Development goal met: Enforcement does improve (leading to eventual reduction in violations)