

Creating Methods, Procedures and Tools for a more Sustainable Neighbourhood Development – Experiences from Germany



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Creating Methods, Procedures and Tools for a more Sustainable Neighbourhood Development – Experiences from Germany

Session 2.12

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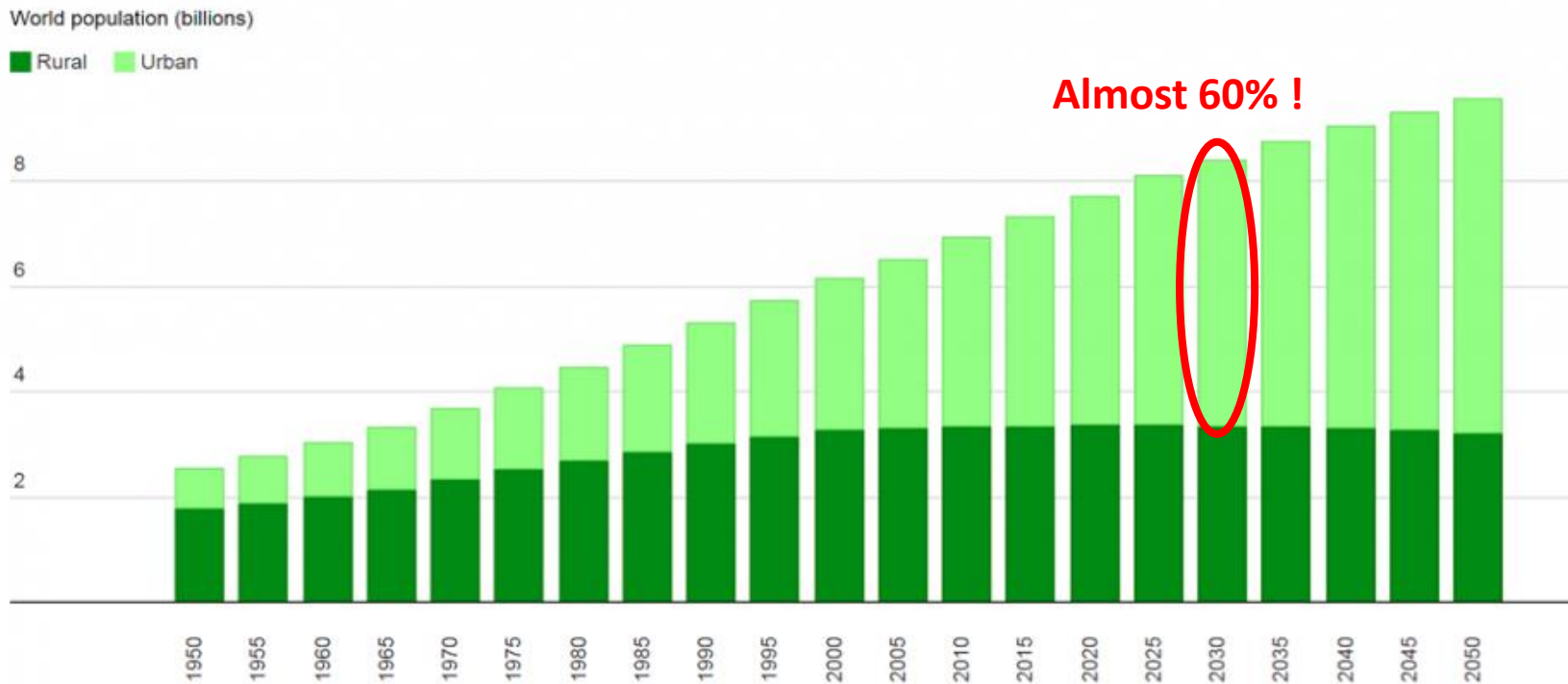
Questions

- Why the interest in **neighbourhoods** as a **scale of intervention** in the effort towards sustainable urban development?
- Why is it important to shift towards a **process based approach** to assessing the sustainable development of existing neighbourhoods?
- What are the **basic steps** supporting such an approach?
- Are there nowadays **instruments** promoting a **participatory** sustainable neighbourhood development?



Starting point

- Cities are growing like never before...
- It is necessary to start **“thinking bigger”** about the sustainability-related efforts in the construction sector – shift in focus from single buildings to entire neighbourhoods and cities



Source: <https://blogs.worldbank.org/opendata/tale-many-cities-monitoring-worlds-urban-transformation>



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Recent International Initiatives



Stand Alone Goal On Cities – Goal 11 “Make cities and human settlements inclusive, safe, resilient and sustainable”

Source: <https://unhabitat.org/un-habitat-for-the-sustainable-development-goals/>



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SDG11 linkages to other goals

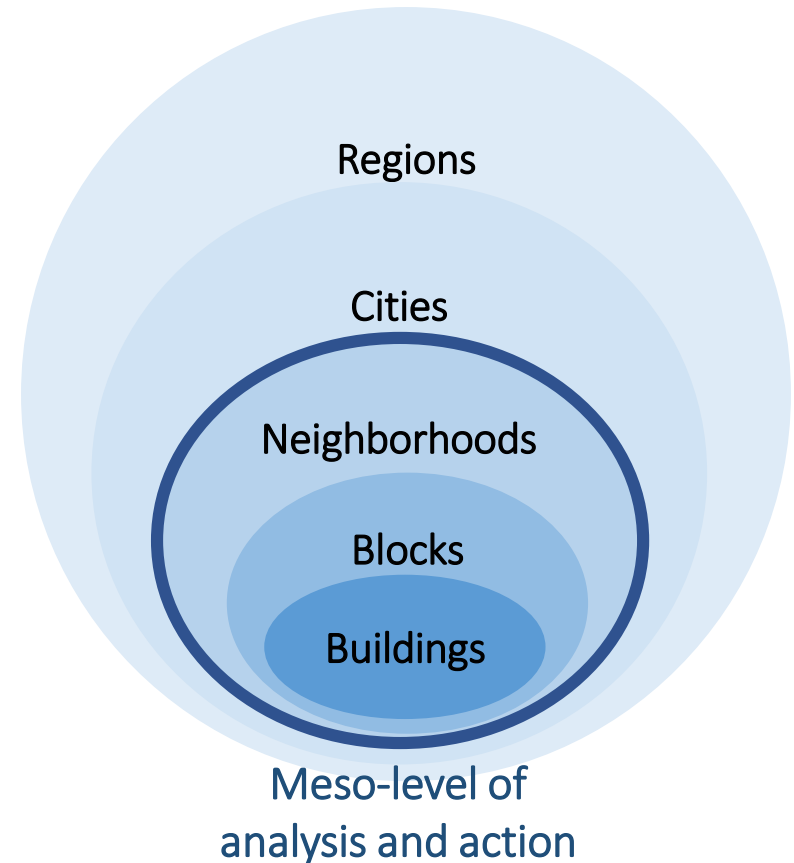


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Neighbourhood as Scale of Intervention

- Sustainable urban development is a difficult task to accomplish due to its **complex** and **continuously-evolving** nature.
- Subdividing the “city” system into smaller units and involving **local stakeholders** in their development and improvement process as **co-creators** and **co-implementers** would facilitate such transformations.
- the level of **motivation** of different actors to participate in decisions influencing their living environment is **higher in individual neighbourhoods** than in cities



Are Today's Assessment Approaches Suitable?

What does it assess and how?
Suitable for...

"PERFORMANCE-ORIENTED" APPROACH

...the performance at a specific point in time/ assessment of the absolute sustainability deriving a rating or certification

...newly designed or planned neighbourhoods, inflexible to fully support the transformation processes of existing neighbourhoods

"DISTANCE TO TARGET" APPROACH

...the distance(s) between the current and desired situation (short-term and long-term target) / assessment of the relative success

...existing neighbourhoods, since it can reflect their dynamic and constantly changing character. The risk of stigmatisation a poor score may bring can be avoided.



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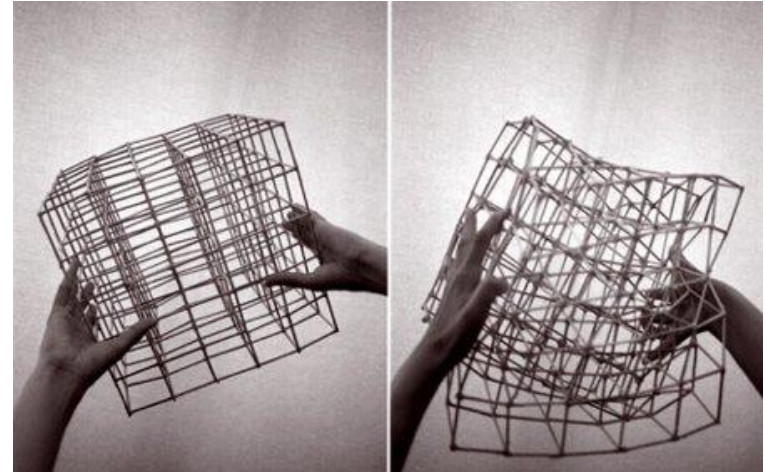
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Are Today's Assessment Approaches Suitable?

- Another element of inflexibility – a **“fixed” set of indicators.**
- Especially in the case of existing neighbourhoods, the use of a **“flexible”** indicator set is necessary to reflect and adapt to:
 - ✓ the specificities of the area under study,
 - ✓ the varying and time-evolving local situation/interests/needs,
 - ✓ the specific perspectives of different stakeholders



dezeen.com



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Basic Steps for Supporting the Sustainable Neighbourhood Development Process



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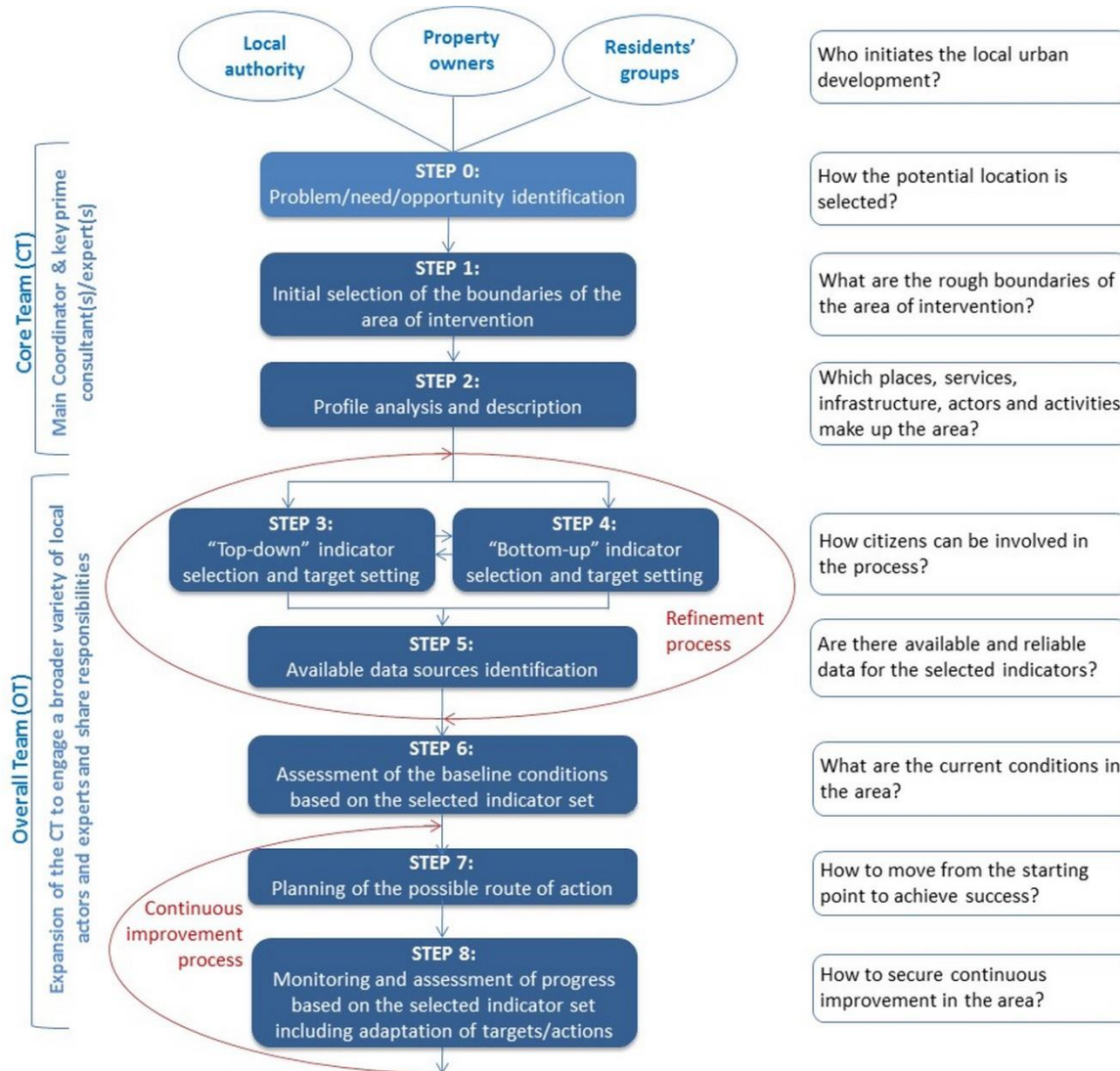
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Overview – 8 Steps: proposed by the authors



Initiation phase - 0

Top-down initiation

Bottom-up initiation



Who initiates the local urban development?

How the potential location is selected?

What are the rough boundaries of the area of intervention?

Which places, services, infrastructure, actors and activities make up the area?

Core Team (CT)
Main Coordinator & key prime consultant(s)/expert(s)

STEP 0:
Problem/need/opportunity identification

STEP 1:
Initial selection of the boundaries of the area of intervention

STEP 2:
Profile analysis and description



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Basic analysis of the area of intervention - 1 & 2

Top-down initiation

Bottom-up initiation



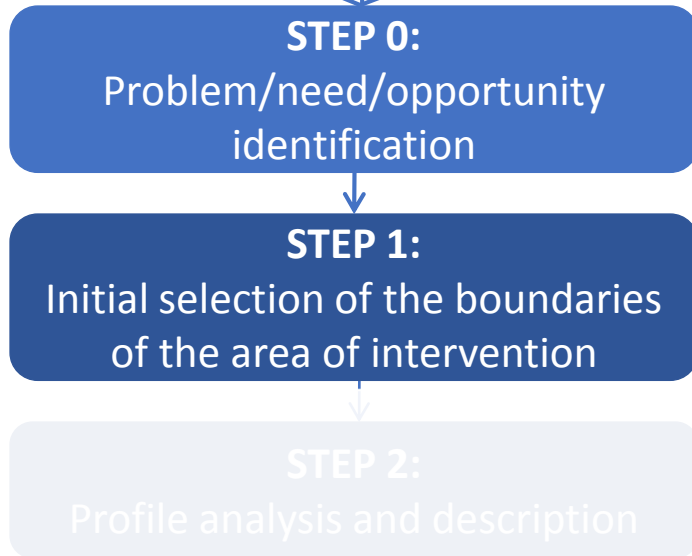
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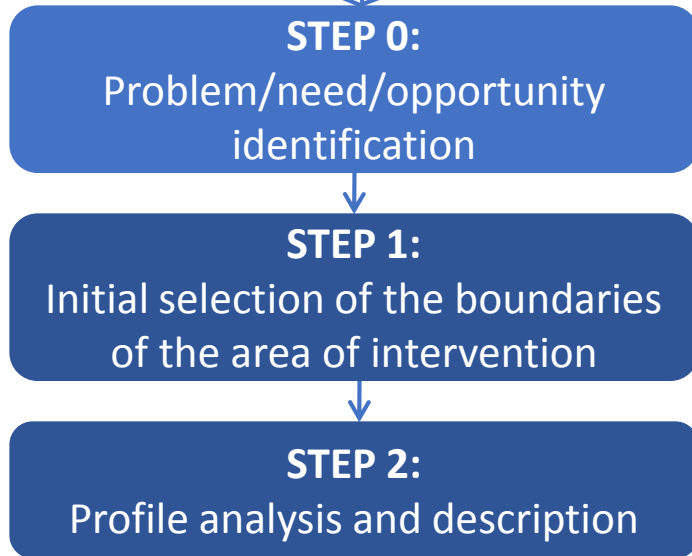
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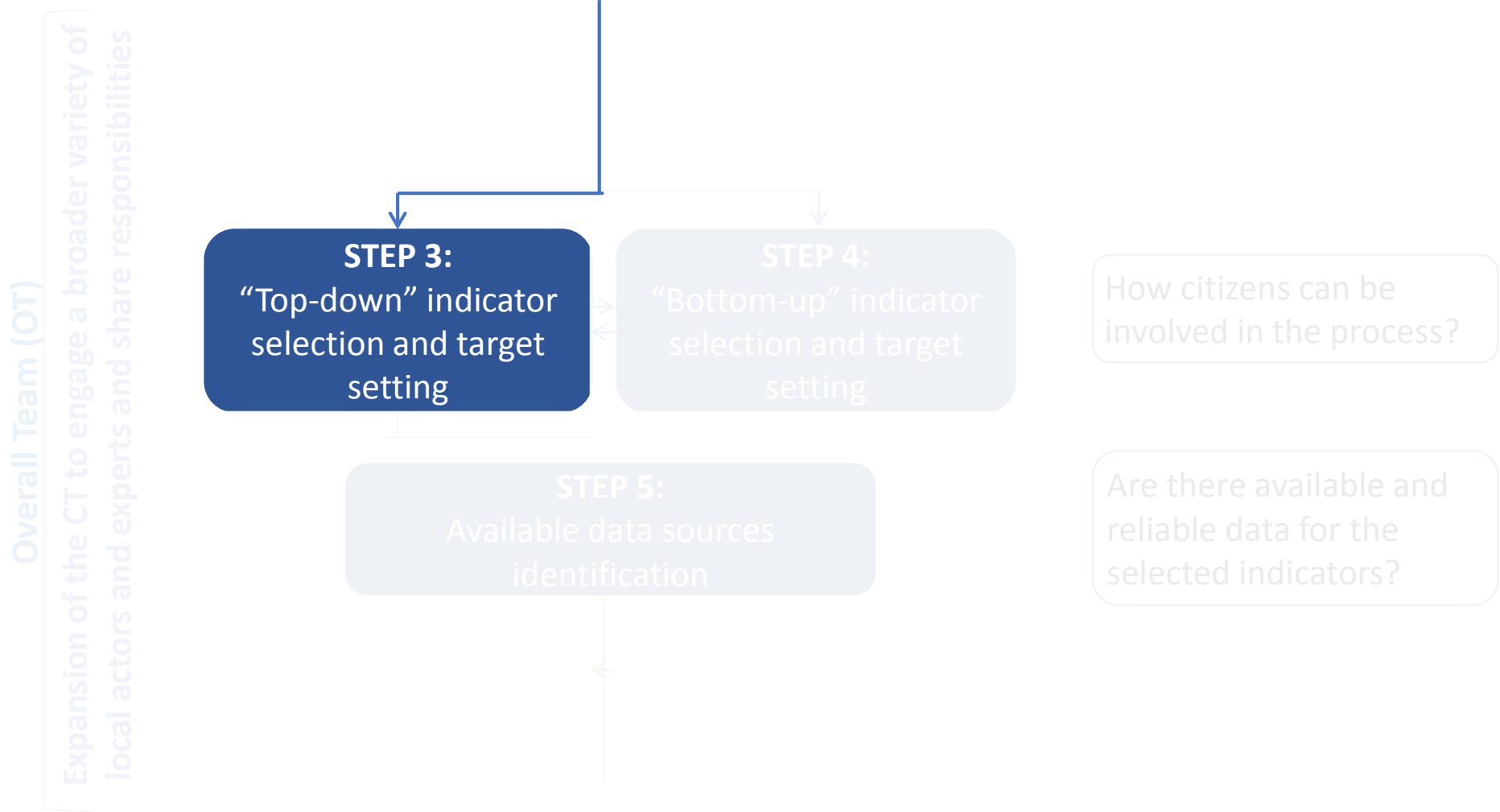
STEP 2:
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Steps 3, 4 & 5

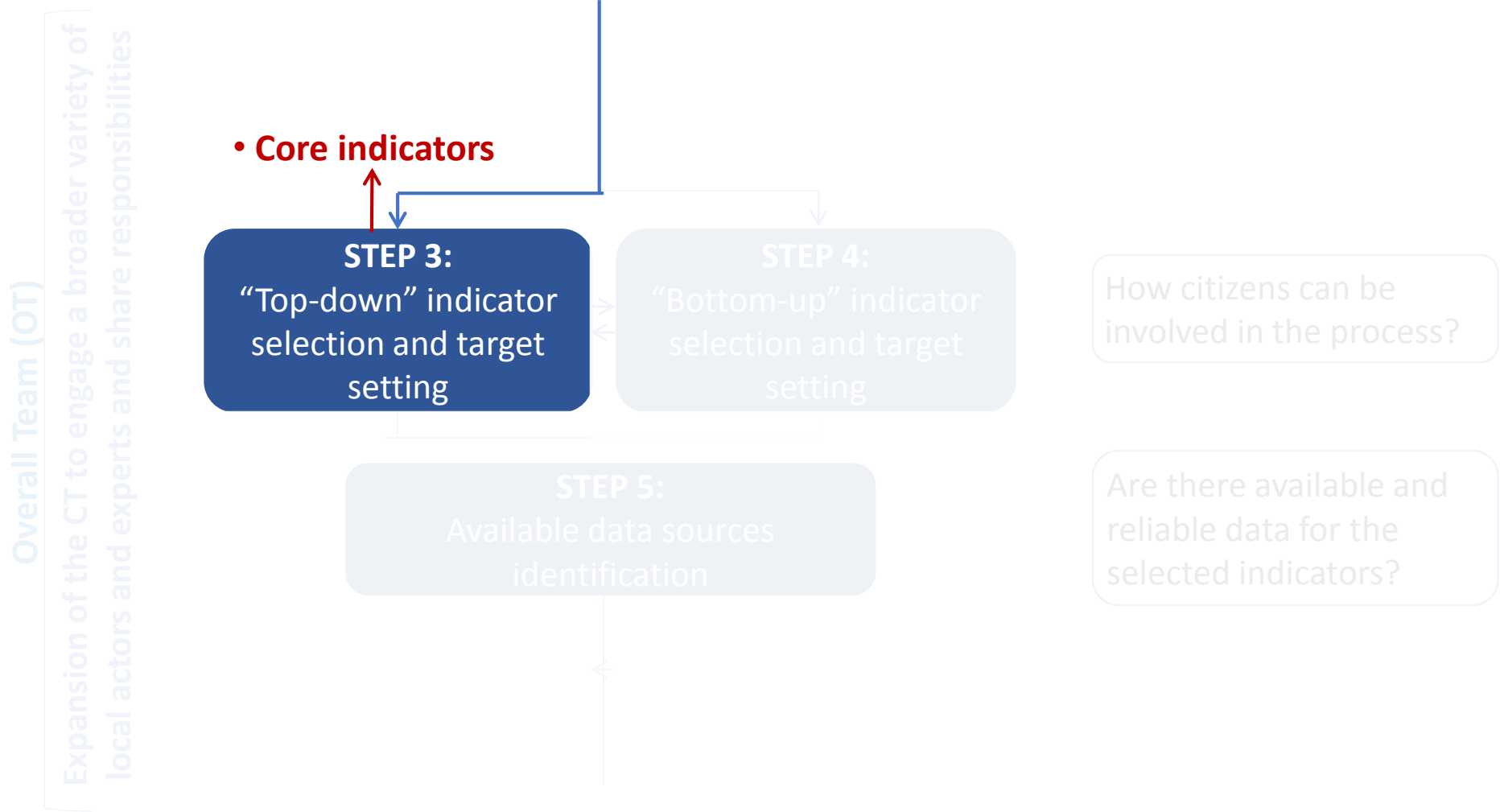
- Profile indicators/information
- Identification of the main local actors



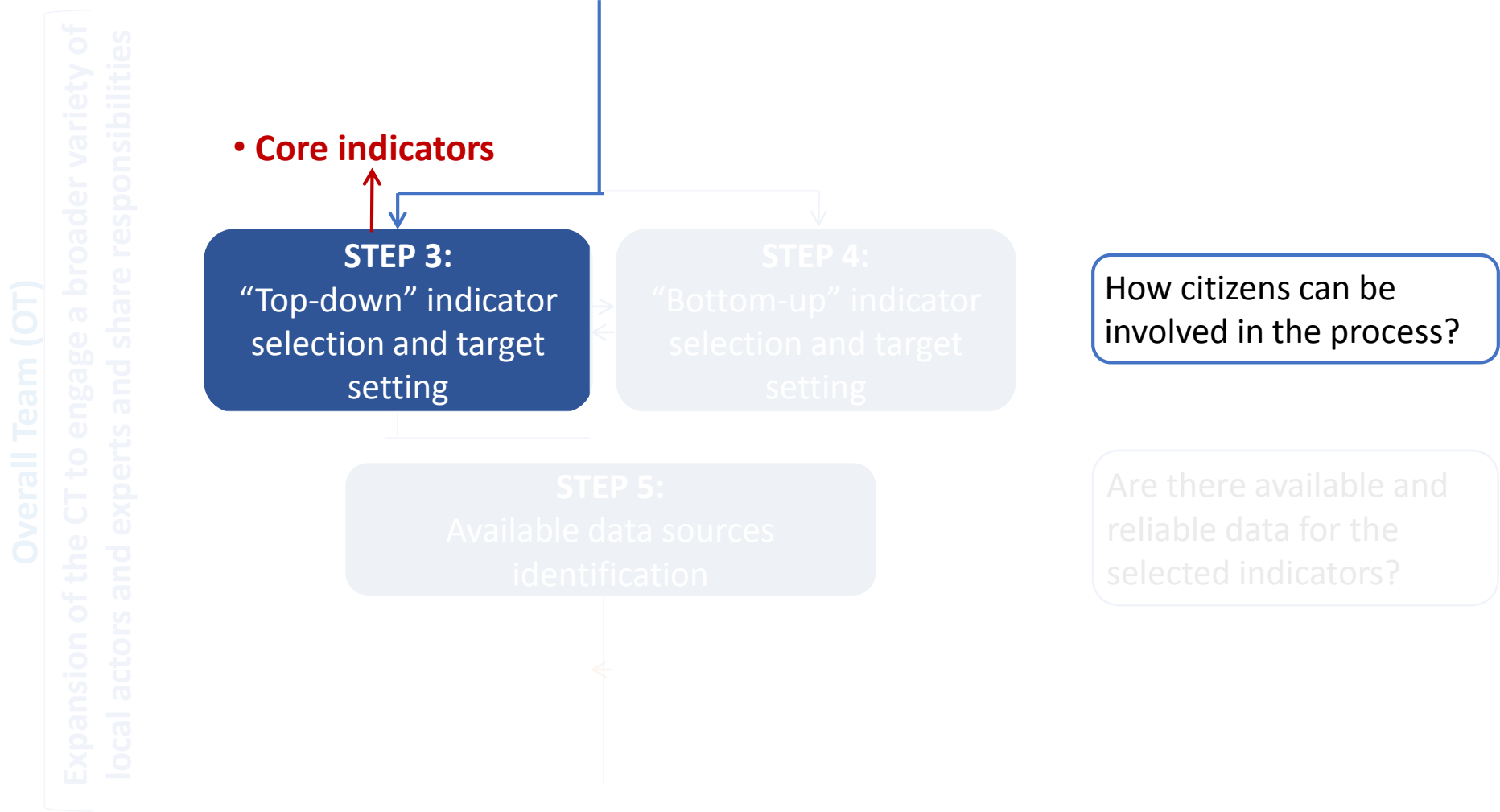
Development of a set of indicators - 3, 4 & 5



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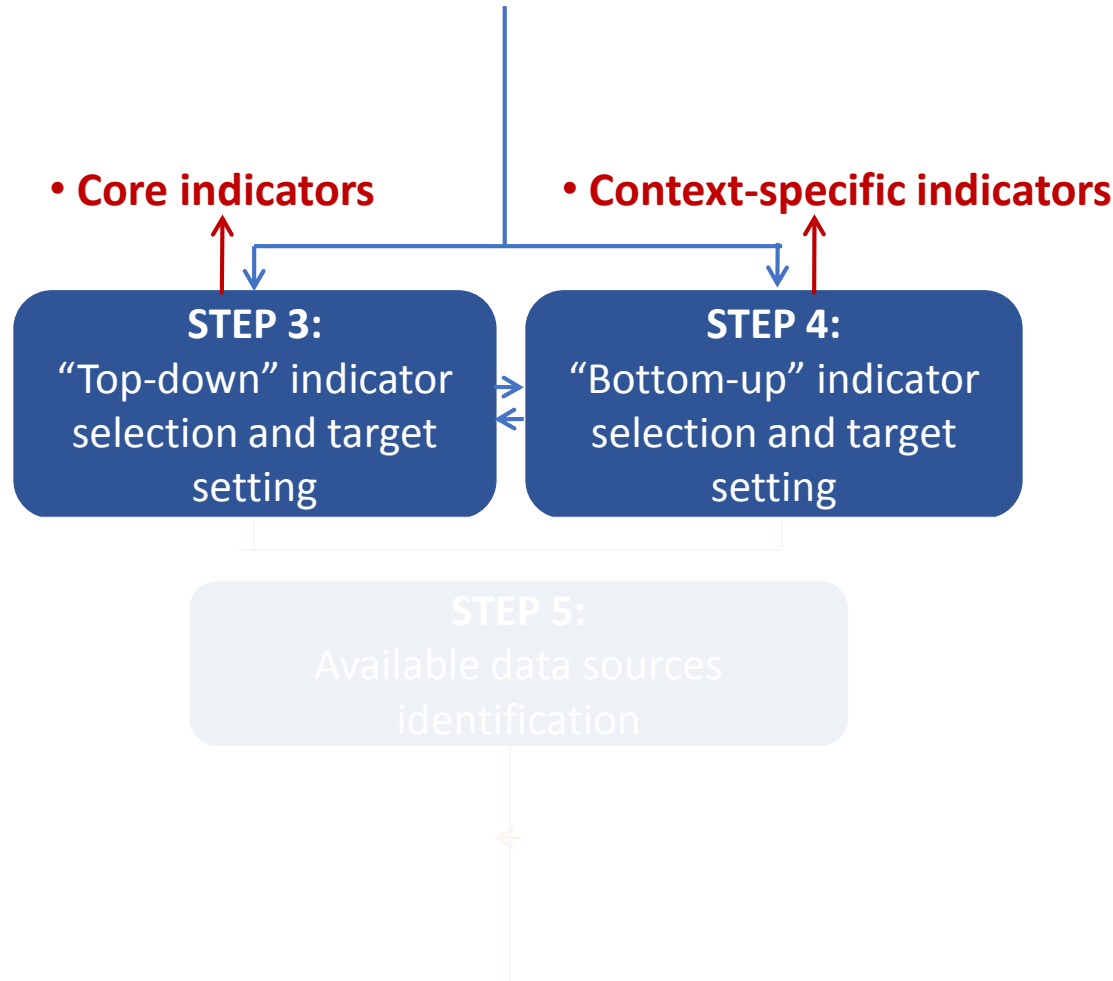


Development of a set of indicators - 3, 4 & 5



Development of a set of indicators - 3, 4 & 5

Overall Team (OT)
Expansion of the CT to engage a broader variety of local actors and experts and share responsibilities



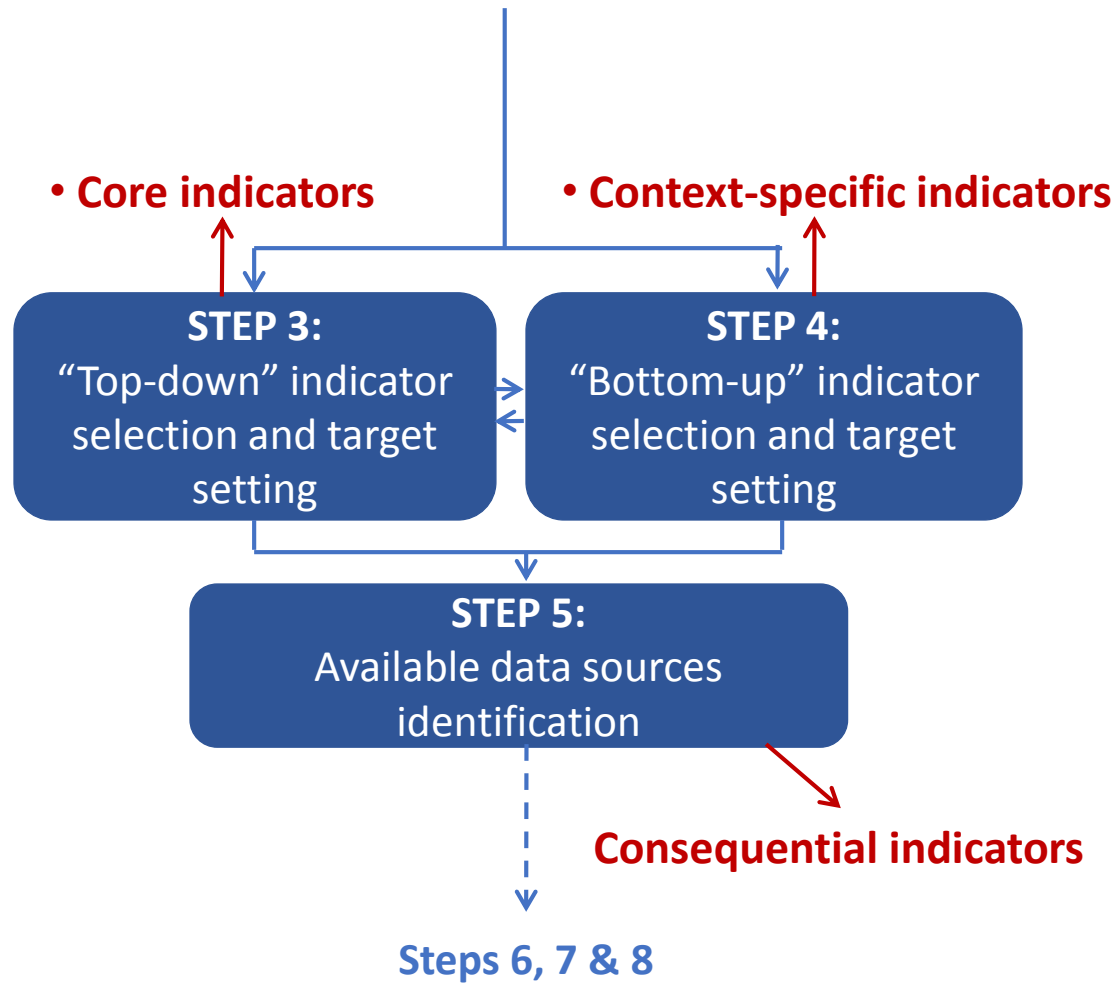
How citizens can be involved in the process?

Are there available and reliable data for the selected indicators?



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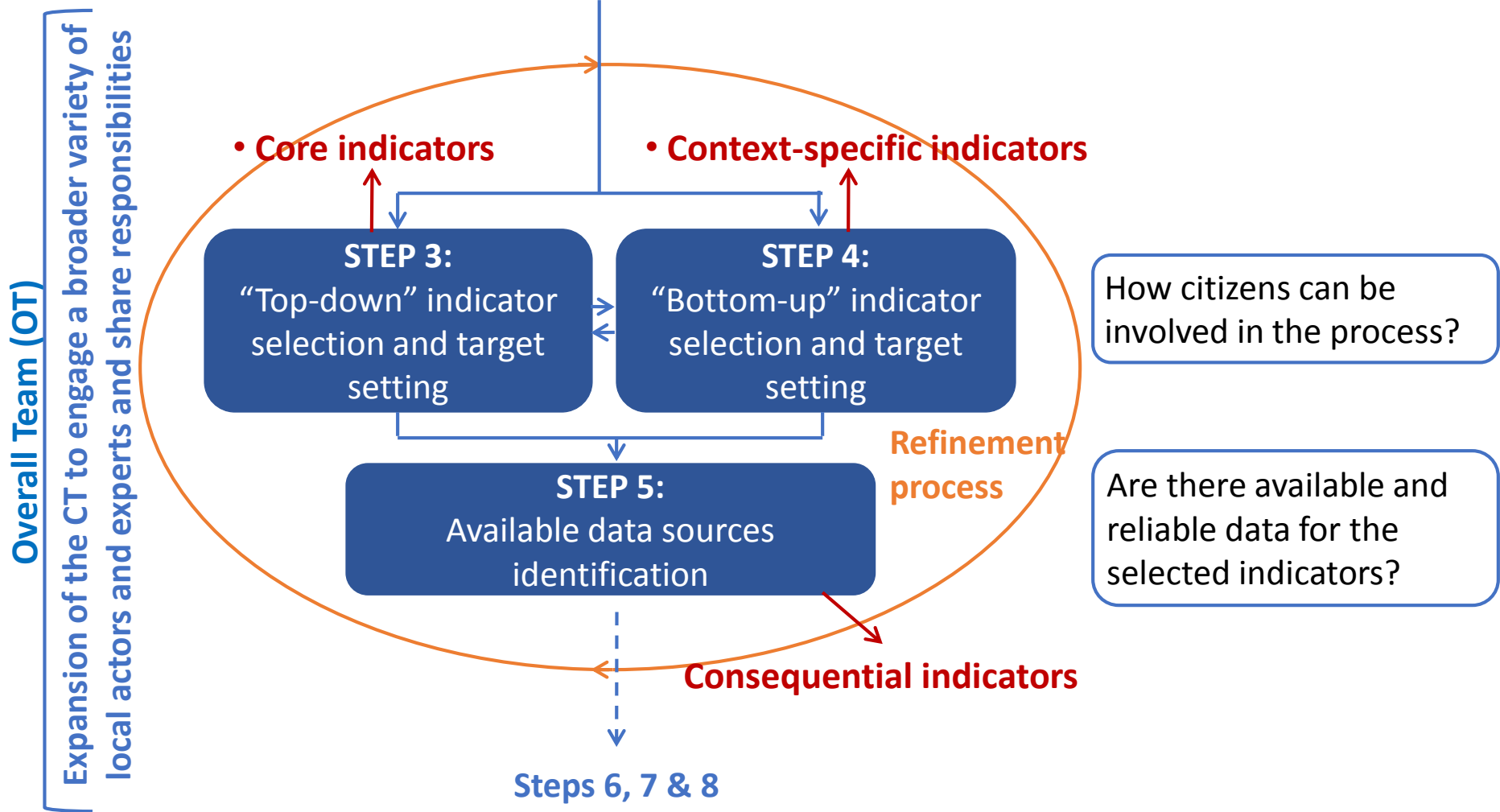


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Development of a set of indicators - 3, 4 & 5



Development of a set of indicators - 3, 4 & 5

Non-assessment indicators	<p>Profile indicators/ Background information</p>	<ul style="list-style-type: none"> • provide basic statistics and background information to describe the object of assessment (neighbourhood) and its main characteristics • no targets are defined for the neighbourhood scale • A term in line with ISO 37120 “Sustainable development of Communities....”
Assessment indicators	<p>Core indicators (top-down selection)</p>	<ul style="list-style-type: none"> • derive as a result of an extensive review of other indicator sets found in international standards, national assessment systems, etc.
	<p>Context-specific indicators (bottom-up selection)</p>	<ul style="list-style-type: none"> • Derive as a result of a meeting with residents, and apply only to a specific context/area reflecting the uniqueness of this area
	<p>Consequential indicators</p>	<ul style="list-style-type: none"> • Temporary replace core or context-specific indicators as an alternative in case there is no useful information at the time of their assessment



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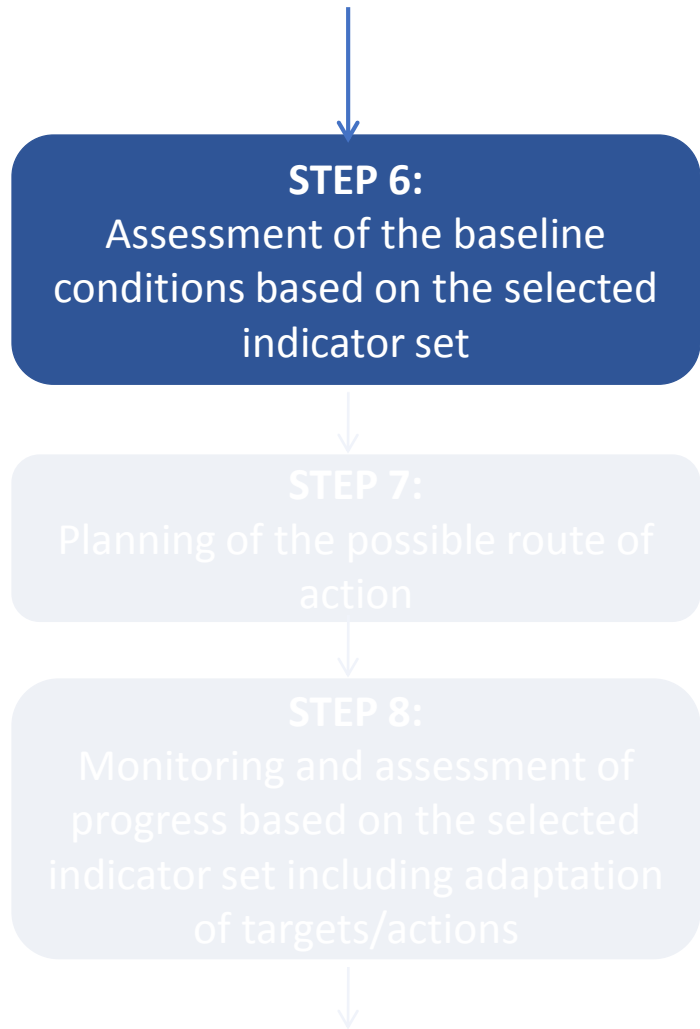
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Planning of the future - 6, 7 & 8

Overall Team (OT)

Expansion of the CT to engage a broader variety of local actors and experts and share responsibilities



What are the current conditions in the area?

How to move from the starting point to achieve success?

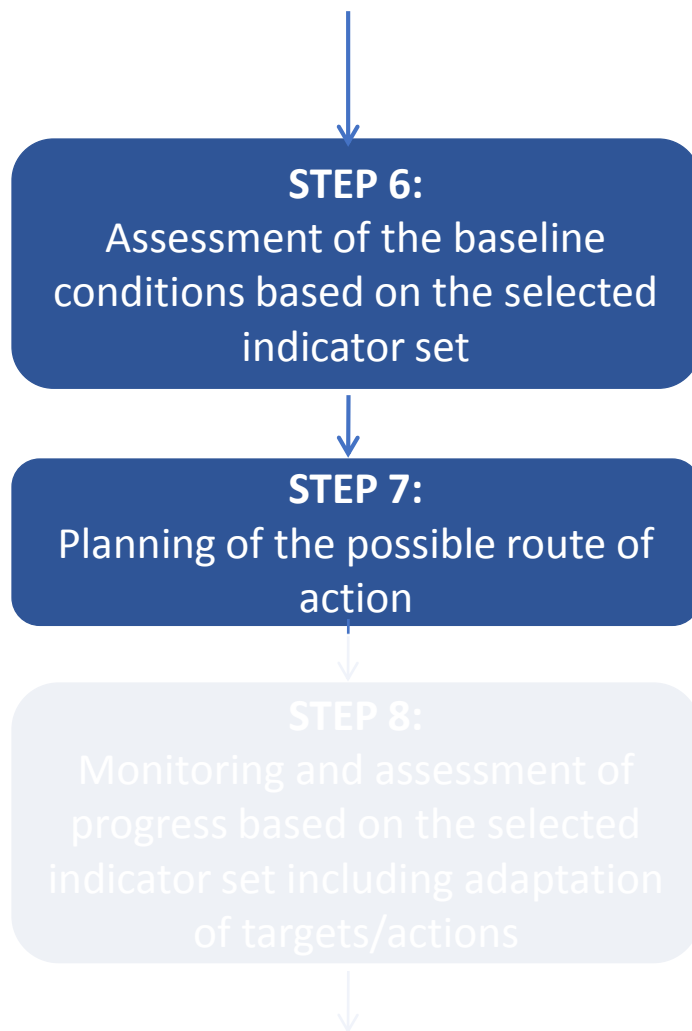
How to secure continuous improvement in the area?



Planning of the future - 6, 7 & 8

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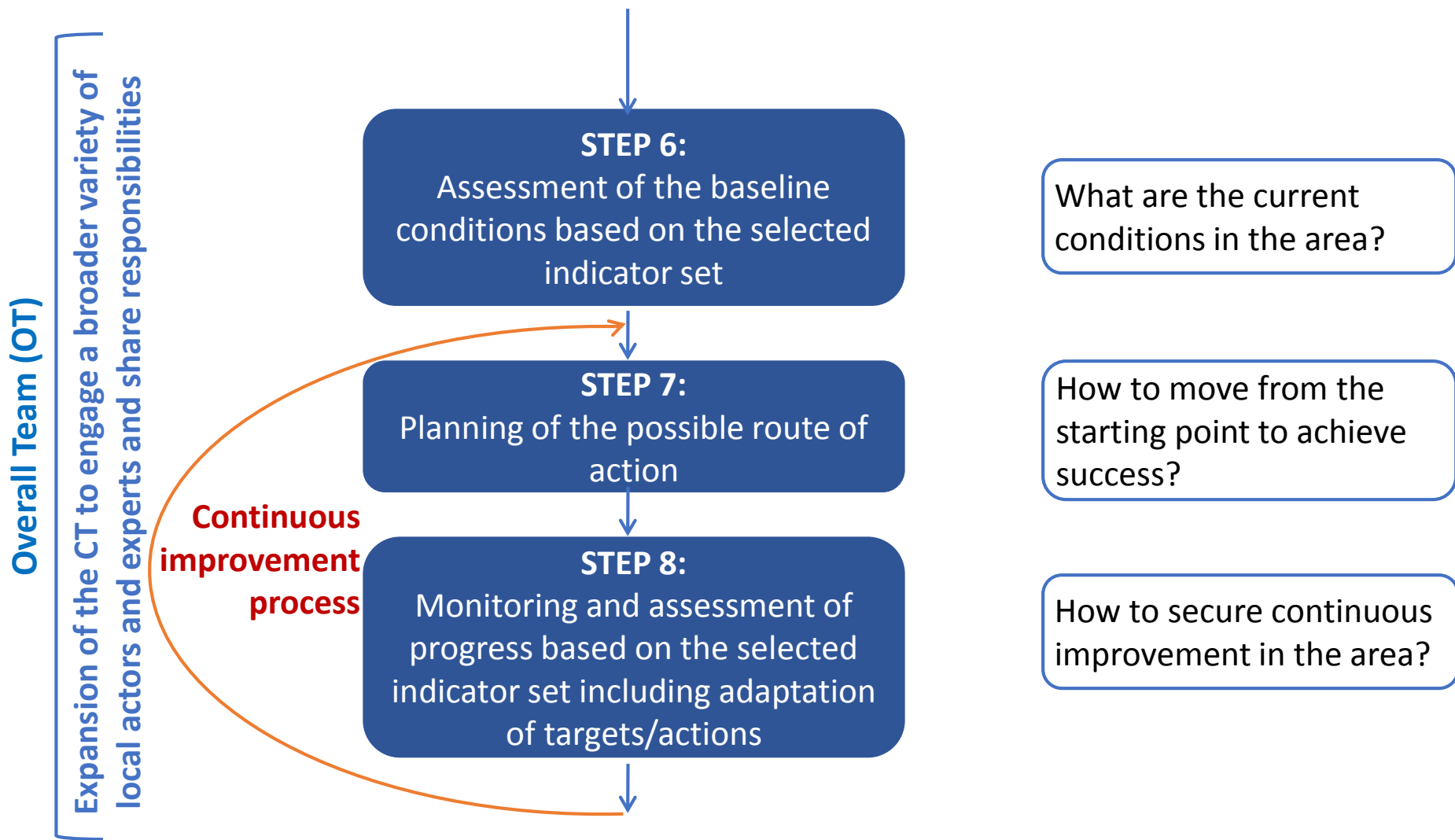


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Planning of the future - 6, 7 & 8



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Instruments for mobilizing, involving and empowering local stakeholders in decision making processes



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How to strengthen collaboration and co-creation?

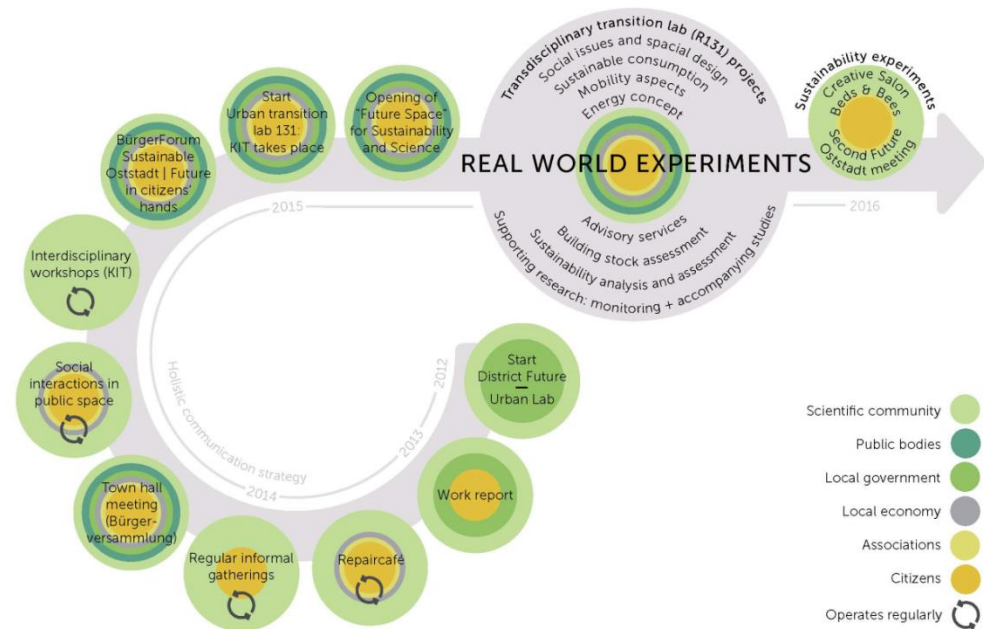
Living labs as one solution:

- Living labs are **research and innovation concepts** integrating **multiple stakeholders** (i.e. researchers, public organisations, residents and companies) **beyond consultation** and towards joint decision-making, focusing on the idea of **empowerment** and **co-creation**.
- There is already a basket of living labs around the world focusing on sustainable urban development
- Usually universities are the driving force for their development and implementation.



“Urban Transition Lab 131” in Karlsruhe

- Supported and moderated by a scientific team appointed by KIT, in collaboration with the city of Karlsruhe and many other parties at urban district level.
- Combination of **top-down** (KIT team) and **bottom-up** (residents’ survey) approach to the selection of indicators



https://www.itas.kit.edu/english/projects_paro15_qzrealab.php



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Who will pay for it?

- For covering the financial expenditure of such a process a top-down strategy alone is not enough –**mobilizing private capital** to complement public funding is necessary
- New forms of **PPPs**, like **“urban improvement districts”** (UIDs), offer a framework for pooling private initiatives in neighbourhood transformations



<http://runapptivo.apptivo.com/how-to-find-angel-investors-for-your-business-10221.html>

“Urban improvement districts” as a new financial framework

- UID is a generic term for Business, Housing, Neighbourhood, etc. Improvement Districts
- A model started in North-America (especially BID) – in Europe, currently only in the UK, Ireland, Germany and the Netherlands
- **Features:**
 - ✓ Legally defined area
 - ✓ **Self-organisation** of private stakeholders (e.g. property owners in Germany)
 - ✓ Joint financing via an **obligatory levy**
 - ✓ **Limited duration** (e.g. 5 years)
 - ✓ **Broad spectrum of activities** possible, e.g. capital improvements, marketing, security, etc.
 - ✓ **Additional** to public finance



Example: “Urban improvement districts” Hamburg

- The city enacted legislation that enabled the creation of UIDs in 2007 to provide services in addition to those already provided by the public sector in specific areas.
- These districts implement a self-assessment, self-taxing mechanism and their creation is subject to a vote amongst property owners.
- The funds raised are managed by a third party specified by the district.



Key Conclusions and takeaways

- It is necessary to develop mechanisms that bring together experts and community members to develop indicators that stimulate and measure the progress towards sustainability
- The instrument of “**living labs**” supports the process by fostering collaboration and co-creation/ co-design.
- Such collaborative actions can provide a **flexible indicator set** that reflects local values, necessary actions and possibilities to act.
- Current discussions about the further development of **ISO 37120** also point in this direction.



Conclusion



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Key Conclusions and takeaways

- Once the final list of indicators best suiting the characteristics of the neighbourhood is acknowledged and widely accepted, the indicators need to be clearly and precisely described and documented.
- The development of a “**factsheet**” for each indicator containing all necessary information is a requirement.
- The purpose of such “**factsheets**” should not only be to identify and list all possible data sources and alternative calculation procedures for each indicator, but also to identify the **acting stakeholders** and their options/opportunities for action to implement specific measures to achieve progress.



Key Conclusions and takeaways

- Besides the growing political commitment worldwide towards the inclusion of local actors in the sustainable neighbourhood development process, it is also important to find solutions to **better mobilise capital** required for investments in the process.
- One approach, among others, for this, is the model of **Housing Improvement Districts (HID)**.
- In the near future, more new models of public-private partnerships should be tested in the context of neighborhood sustainability transformation processes.



Thank you

Xie Xie

谢谢

Danke



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