

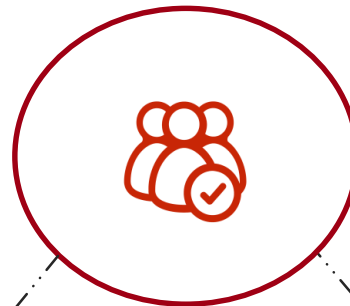


Module 3:
**Strengthening Horizontal
and Vertical Governance
Structures**

The Urban Nexus Guide

The Urban Nexus Guide

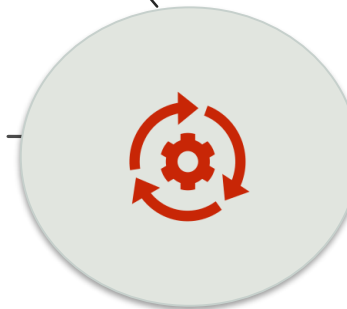
Module 3: Governing the Urban Nexus



Module 1: Linking Global Agendas and the Urban Nexus approach



Module 2: Planning and implementing the Urban Nexus



Learning Goals



1. Raise your awareness on the many interlinkages between different sectoral policies (such as energy, water and food).
2. Call your attention to the fact that coordination between different sectoral units and governance levels can help avoid negative effects on other sectors and create synergies.
3. Learn about exiting mechanisms and new formats of coordination and collaboration between different actors.



1. Policy Coordination across Sectors and Levels



Coordination across Sectors and Levels



Ensuring political coherence requires coordination between different sectors and municipalities at different levels:

1. **Horizontal coordination** between different sectors and municipalities
2. **Vertical coordination** between different political levels and actors

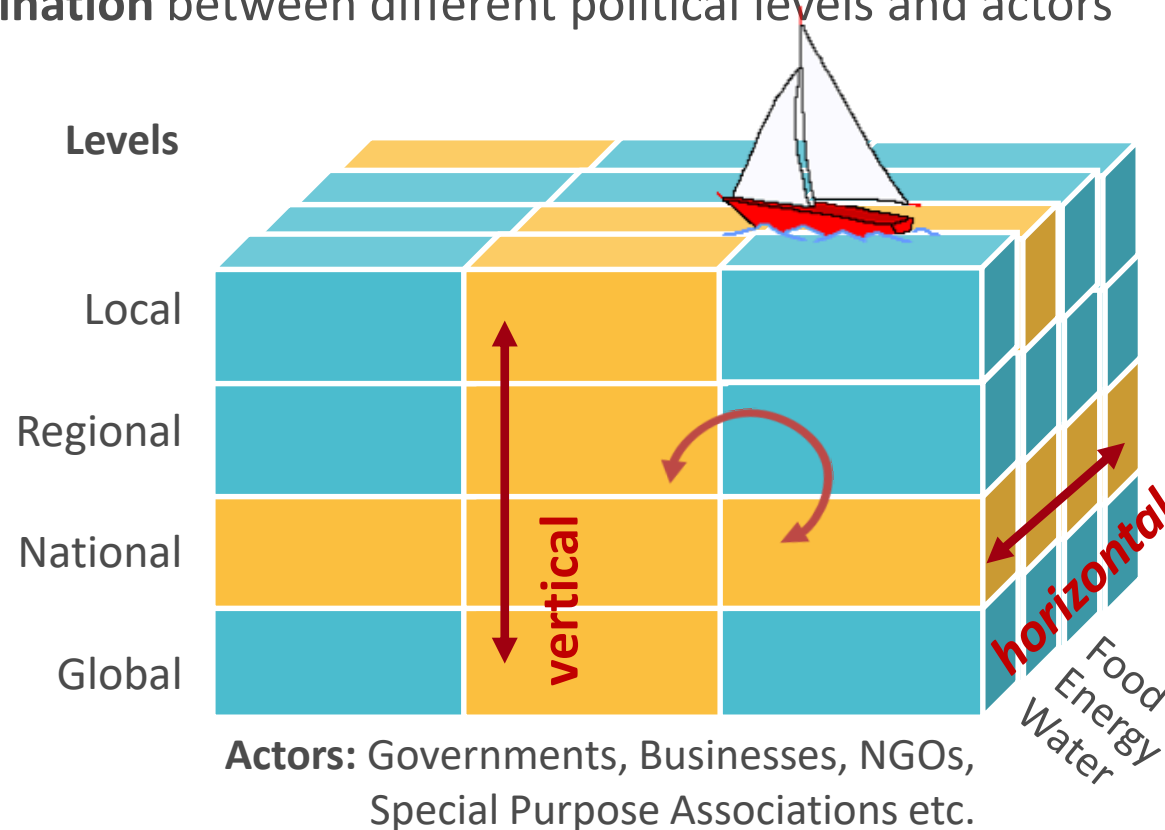


Figure based on [Jänicke](#) 2008



| Benefits | Costs |
|--|---|
| <ul style="list-style-type: none">• Promotion of synergies / win-win solutions between sectors• Encouraging greater understanding of effects of policies on other sectors• Avoid (unintended) negative effects on other sectors → reduce human and financial resources• Provide framework for resolving (potential) conflicts | <ul style="list-style-type: none">• Temporarily higher transaction costs while introducing cross-cutting approaches and changing administrative culture |





2. Instruments for Realizing Horizontal Policy Coordination





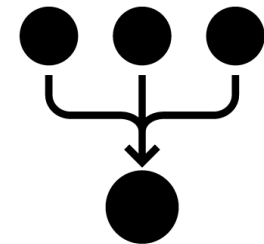
What are your experiences with horizontal coordination between sectors (water, energy, food/land use) and/or between city administrations?





Types of horizontal coordination

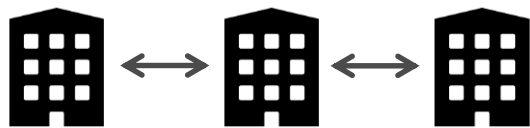
- Consultation between different administrative or other units that represent specific sectors (e.g. inter-departmental working groups)
- Intercommunal coordination (e.g. between city administrations)
- Planning across sectors and policy fields (e.g. framework strategies, integrated monitoring systems)



Instruments and Mechanisms for Horizontal Coordination



Between administrative units within one city



- Inter-departmental working groups
- Merging of sectoral departments
- Steering committees, task forces

Between cities/municipalities



- Urban-rural partnerships
- Peer-to-peer learning
- Shared databases and information systems
- River basin commissions

Between cities and other actors



- Public consultation processes
- Multi-sector enterprises
- Public-private networks
- Special purpose associations

Horizontal Coordination : Example of Hanover



Between administrative units within one city



In 2005 the City of Hanover merged departments of economics and environmental affairs.

→ Improvement measures across sectors, including water, energy and waste have contributed to reduction in public expenditure.

- ✓ Merging departments that deal with Nexus sectors increase collaboration/coordination.
- ✓ Many cities have merged environmental and traffic/transport sectors.
- ✓ Merging departments can increase inter-disciplinary exchange, mutual understanding and thinking across sectors.
- ✓ Particularly useful where many cross-sectoral projects are realized.



Source: www.hannover.de

Horizontal Coordination: Example of Nexus Task Forces



Between administrative units within one city



Creation of Nexus Task Forces to implement project related activities in the frame of the GIZ Urban Nexus Project.

- The Nexus Task Force comprises representatives (both management and technical personnel) from departments relevant to Urban Nexus sectors
- Facilitates collaboration between relevant city departments
- Nexus Task Force (NTF) acts as a consulting/ supporting group in advising internal administrative procedures



Horizontal Coordination: Example of Urban Nexus Checklist



Between administrative units within one city

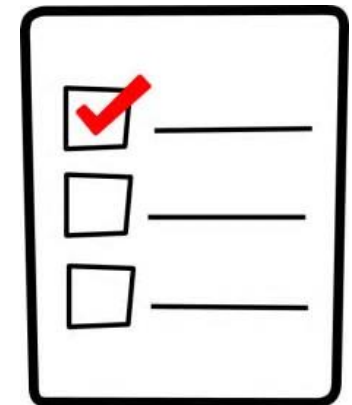


Development of **Urban Nexus Checklist** to...

- **support decision-making** on the selection of infrastructure projects to be included in **municipal infrastructure investment programs**
- **be integrated into standard administrative procedures** governing municipal budgeting

Benefits:

- Avoid overlooking potential interrelationships between the Urban Nexus dimensions
- Enable municipal policy-makers to take well-informed decisions
- Communicate effectively with consultees, concerned stakeholders and the general public
- Provide a record of a municipal review for future reference.



Horizontal Coordination: Example of California



Between cities and other actors



California public-private network „Joint Venture Silicon Valley“

- Established in 1993 in the form of a non-profit organization.
- Multi-sector initiative, comprising representatives from regional governments, private sector, science and civil society.
- Broad-spectrum of issues, including economic development, urban planning, infrastructure, disaster planning and climate change.



Public Sector Climate Task Force

- Task force of the Joint Venture was established in 2007.
- Comprises all cities, towns and counties in Silicon Valley.
- Aims: Developing collaborative solutions for the reduction of greenhouse gas emissions from public agency operations and providing a neutral forum for peer-to-peer learning
- Major Project: Silicon Valley Collaborative Renewable Energy Procurement (SV-REP)



City of Naga Comprehensive Land Use Plan, 2016-2030

- In the Philippines, a Comprehensive Land Use Plan (CLUP) is an essential document and tool in determining the city's land allocation and regulation.
- In 2013, the city of Naga initiated the process of formulating its CLUP.
- Naga City applied a nexus approach in updating its CLUP, integrating aspects of disaster risk reduction and climate change adaptation
- The city employed 16 sub-sectoral consultations instead of usual sectoral consultancies in order to discuss all issues impacting land use.
- While this proved longer and more tedious, there was greater confidence on the city's part that all issues impacting land use were thoroughly discussed.





3. Instruments for Realizing Vertical Policy Coordination





Beyond **horizontal coordination** ...
Why do you think we need mechanisms and new
formats to coordinate between different levels
of governance (**vertical coordination**)? What are
your experiences?

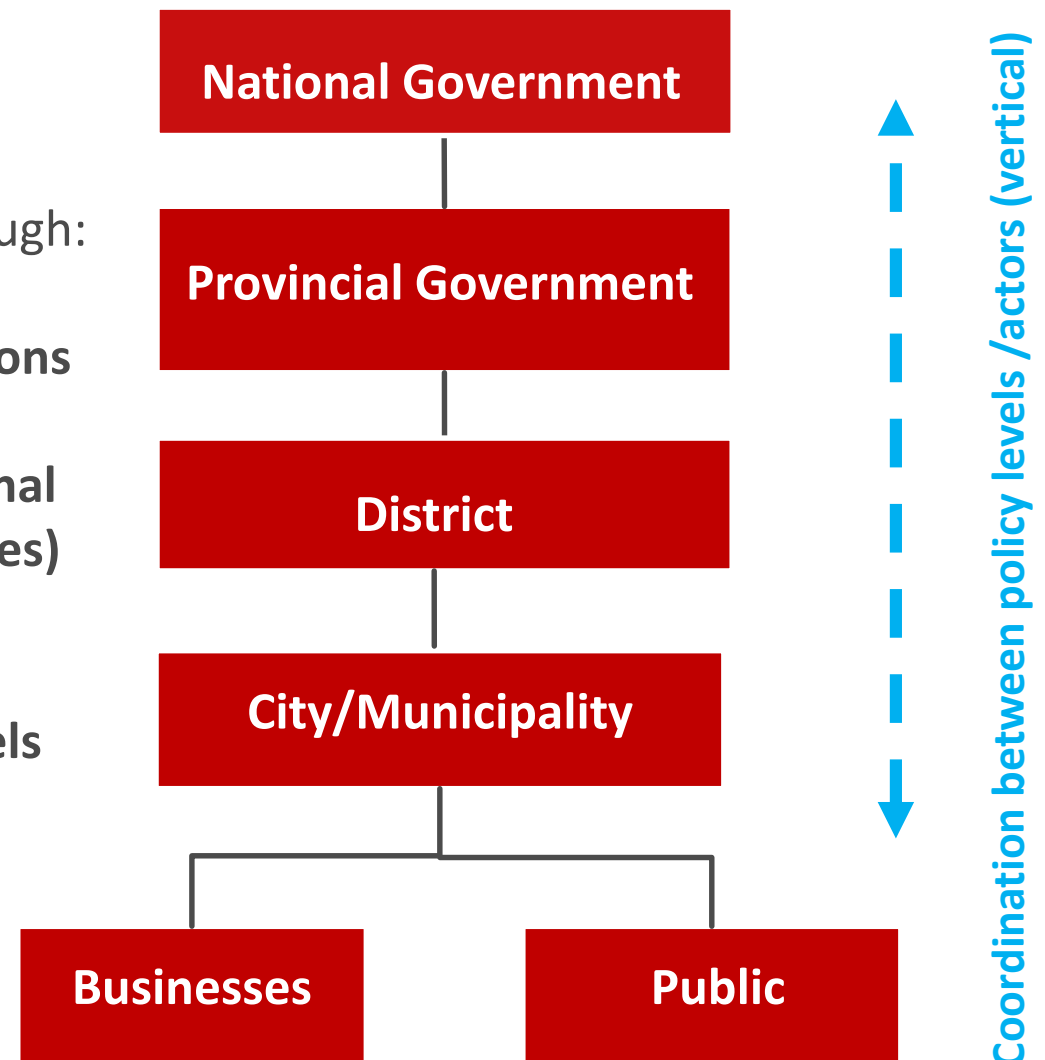


Instruments and Mechanisms for Vertical Coordination



Coordination between different levels of governance is realized through different institutional instruments. For example through:

- Dialogue processes and consultations
- Conferences of national and regional ministries (often along sectoral lines)
- Working groups between local-regional-national government levels





National-Local Policy Dialogues in the frame of the GIZ Urban Nexus Project

- Platform for exchange between and among local, provincial and national government.
- Discussion of issues related to the Nexus sectors water, energy and food/land.
- Aim: Developing key recommendations to address specific challenges and issues arising from city-level Nexus initiatives.





Such dialogues can serve as a venue for vertical integration by:

- Building relationships and trust between national and local actors.
- Clarifying mandates, policies and institutional arrangements.
- Identify opportunities and obstacles for the implementation of national development targets and policies at the local level.
- Facilitating coordinated representation of interests from the local to the national level.





4. Managing Obstacles of Policy Coordination





- **Legal framework:** legal fragmentation, limited decision-making powers for cities, lack of legal frameworks that allow for cross-boundary cooperation.
- **Administrative changes:** often considered disturbing and as causing additional work loads.
- **Political powers:** politically more powerful and financially better endowed departments tend to feel less inclined to share their competences and resources.
- **Professional training:** mostly along sectoral lines, inter-disciplinary training is rather rare in tertiary education.
- **Data, information and monitoring systems:** poorly developed in some countries, usefulness for cross-sectoral decision making and implementation processes is limited.





- **Inter-disciplinary training** and exchange between experts from different sectors can contribute to better understanding of interconnection between different nexus sectors.
- **Legal and financial frameworks** often require amendments/ alterations to support policy integration. Networking with other cities can help to lobby at sub-national or national level for more favorable legal and financial conditions.
- **Public consultation** can contribute to a better and more accepted practice. It can also enable a debate on values, urban policies and overall targets and inform strategic city planning.

