



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

within the Federal Office for
Building and Regional Planning



D4C Method

Against the background of global processes of urbanisation, the German Federal Government argues for intergovernmental urbanisation partnerships (see Publication 18/4924 of the German Bundestag “Leitlinien der Bundesregierung zur internationalen Zusammenarbeit für nachhaltige Urbanisierung – Partner in einer Welt der Städte”).

The Government thus interlinks approaches of international cooperation with regard to harmonised and effective actions of Federal Ministries, Federal Agencies and Federal Research Institutes.

These cooperations should identify paths on how to shape in a sustainable way through joint and mutual learning the increasing global processes. This learning should be carried out on all relevant levels – on the national one as well as on the local one.

This volume presents a new learning method and thus contributes to answering the following core questions:

- How do the learning laboratories, which are necessary for intercultural learning, look like?
- How may the exchange of experiences be anchored in the daily administrative and planning routine?
- Is a zooming of the experiences required?
- Why is another form of urban research and policy advice necessary?

Intercultural Impulses for Urban Development in Germany

Author

André Müller

Foreword



Dear Readers,

Urbanisation is not only a global mega trend. It also requires intercultural impulses for urban development so that cities may learn from each other in a target-oriented manner. The German Federal Government is a partner of sustainable urbanisation on the global level and has thus initiated a series of urbanisation partnerships.

In order to support this learning process, the BBSR together with the Federal Ministry for the Environment, Nature Conservation, Building and Nuclear Safety (BMUB), the German Marshall Fund of the United States (GMF), the Deutsche Gesellschaft für internationale Zusammenarbeit (GIZ) and partner cities developed the D4C Method. It has been successfully tested in the daily local work routine. D4C for Dialogue for Change wants to support local authorities to actively shape the transformation of their cities. Supporting this learning process beyond borders requires multilingual approaches. This is why we present the volume also in English.

I wish you a happy reading.



Director and Professor Harald Herrmann

Why do cities need learning city-networks?

Learning city-networks are real-time laboratories of national urban development policies. They profit from the countervailing principle and the pro-active participation of all relevant levels of governance and management.

Learning city-networks are not an invention of present times. As soon as settlements and cities developed, trade-offs between them existed, trade-offs that often made city administrations coordinate their work differently from what they used to do in their local environment in the past.

What is new with the present learning city-networks is a synchrony in interlinking the trade-offs between the cities with zooming upwards onto the next level of governance and management the findings extracted from the exchange. Picturing urban needs on the national – or even international – level one to one and without loss of information would be possible with this kind of teamwork only.

While taking reference to implementing the urbanisation partnerships of the German Federal Government, the German Federal Ministry for the Environment, Nature Conservation, Building and Nuclear Safety (BMUB) has signed joint declarations of interest with ministries in charge of urban development of other countries in order to nationally cooperate in urban development topics and locally cooperate with cities. Within the framework of the research programmes advising the Federal Government, the Federal Institute for Research on Building, Urban Affairs and Spatial Development (BBSR) manages and evaluates these learning city-networks aiming at synthesising the insights for policy advice on the national governance level, feeding them into the dialogue of stakeholders and thus further developing negotiation processes

as well as procedural mechanisms. Crucial partners in this process are the Deutsche Gesellschaft für internationale Zusammenarbeit (GIZ) and the German Marshall Fund of the United States (GMF).

Taking cities seriously as places of local self-government does primarily mean enabling them to do so. This capability is first and foremost a financial one which guarantees that balance and redistribution mechanisms provide cities with the necessary funds to also live the postulate of self-government. Capability as well means to take care through a continuous dialogue with cities and communities on the national and the regional level respectively to continuously address sector policies and departmental programmes in order to give urban needs a voice, make them become adequately acknowledged and secure by a respective shape of programmes and policies that these respond to the needs. In addition, it should be the aim to present to cities new paths for generating external funds and valorise their endogenous potentials.

The notion of learning imperatively implies that those engaging themselves in learning city-networks are also the ones who are technical and political decision-makers in the cities. They have to be ready to get into controlled experiments, reorganise case by case their administrative daily work routine and be open for self-criticism. And they have to be ready, by all means of diplomacy, to accept statements on what might not work perfectly from a non-affiliated.

Which are the main characteristics of the D4C Method?

D4C is a real-time learning laboratory as original part of the daily work routine in urban planning and administration. The exchange of experiences between the participating cities is experimental, oriented towards concrete project examples and employs data material in a strategic way.

D4C was mothered and fathered as a learning city-network in 2012. The acronym stands for Dialogue for Change and basically refers to the necessity of running urban development and urban planning in a continuous dialogue of all those taking planning decisions and thus striving for an ideal shape of urban transformation processes.

Based on strategies of the industry, service and knowledge-based sector, co-creation and co-production play an important role herewith. Apart from legally binding rights to say in a matter as well as democratically legitimised decision-taking processes and forms of concluding compromises, certain undertakings of urban development and urban planning may obviously be implemented only by directly and actively involve all decision-makers.

In 2012 the cities of Bottrop, Leipzig and Ludwigsburg on this side of the Atlantic and initially Austin, later Baltimore, Flint and Memphis on the other side declared their interest in applying the D4C Method which has been developed and further detailed while building up and extending the network. They also agreed on an exchange at eye level.

The D4C Method is basically composed of three modules:

Real-time learning laboratory providing proofs by example

Cities, which gather in the network and intend to learn from each other, offer it concrete planning activities and projects as part of their daily work routine. These active planning processes are employed to test ideas and concepts, which

the network-cities develop during network activities, assess their feasibility in the implementation phase and share the findings with the other network-cities without reservation and delusive attempt to objectify.

The learning laboratory does not restrict itself to concrete projects of urban development – be it a larger area in the city which is developed in cooperation with an anchor institution, e.g. university, hospital or health-care centre. Furthermore, it links planning to respective budgetary decisions in communities with regard to inter-generational fairness in financing. It was the City of Ludwigsburg that revised on the basis of an urban quarter development plan fed into the network activities a budgetary decision on a respective building project though another measure had been foreseen originally.

D4C is thus integral part of the respective daily work routine of the network-cities. Different approaches had been tested outside this network, yet mostly failed because those departments of the local administration which are related to urban development and urban planning had returned – under the pressure of reducing costs – to traditional ways of working. Although they might have been open to new working techniques they rejected enforcedly innovative and hands-on changes.

Guided and spontaneous exchange of experiences – always result-oriented

The exchange and the mutual support in the daily administrative and planning work routine are

carried out coercively in workshops and interposed online fora. The workshops should take turns in one of the network-cities. The exchange in safe places is accompanied by technical visits, so that everybody involved develops on the ground an understanding of the situation.

Experience proves that at least three representatives of participating cities should take part in the workshops, in an ideal case one of the local administration, one of the city council and one the local civil society and the private sector respectively. Such workshops are cost-intensive; however they are worth the effort because it is this format of a learning laboratory which makes participants reach a certain balance in interests and keep it present in the course of events.

The exchange is often a spontaneous one. Details are in most cases more important than comprehensive strategies. Yet, what a network as this one needs is a clear orientation towards targets as well as a concrete and verifiable workflow. All network-cities thus have to attend school and deliver homework. A control of homework was carried out in a rhythm of 30, 60 and 90 days. Online fora were held to report on standard homework topics; in the course of the workshop findings were presented in a nutshell as well as experiences in applying new concepts shared and discussed among all participants.

New working techniques and tools, which the network-cities had to apply in an on-road test, were presented at the workshops. It is, for example, the local community, in which citizens

live, work, spend their spare time, that plays a significant role in civic engagement as well as their cultural background and living style. A technical survey tool – keypad polling – helps to reach out individually, overcome barriers between single groups and thus offers to everybody the opportunity to participate in a discussion on anonymous grounds.

The cities themselves take the role of a peer and a coach which become a sparring partner in the discussion and a pilot in shaping and developing the process, due its similar geographical situation, urban structure and comparable challenges in urban development and urban transformation. Experience proves that the size of a city does not matter necessarily. Remember: the numbers of inhabitants of those cities

Figure 1



networking in D4C ranges from 90.000 inhabitants in Ludwigsburg up to 650.000 inhabitants in Memphis. What does count on the contrary is – apart from content-wise and structural similarities – the willingness to approach each other, be open for the abilities of the others and familiarise with a different situation, learn from each other and thus build up and cultivate a culture of learning.

Apart from homework, overall urban and individual educational objectives, whose attainment is to be evaluated closely following the development – also as self-evaluation – are to be fixed for every network-city. The role of evaluators is not necessarily taken by a non-affiliated but by the cities themselves and their functions as peers. Top guiding principle is in any case transparency and openness in measuring success, in illustration and critique.

What is left is the role of the moderators: a non-affiliated moderation is to be preferred against the background of verifiable distance. Yet, non-affiliated moderators should be equipped with a nose for interacting with representatives of local administrations and city councils as well as the civil society and the private sector. They should know by heart what urban development and urban planning is about in order to avoid throughout the process the impression of paternalism on the one side and on the other be able to teach every single network participant the ability to give and receive criticism.

In the course of the workshops and the discussions held in the online fora the network-cities developed their individual visions and strategies as well as they derived consequentially concrete and realistic projects of urban development and urban planning. The cities could take these from their drawer or they developed them from scratch; the only criteria

that counted for success was the embeddedness of the projects in the daily work and planning routine.

The projects of the network-cities run as follows:

Growing Green Initiative GCI in Baltimore:

Disadvantaged urban quarters will be further developed as green neighbourhoods by acquiring urban funds. The actions not only stabilise the quarters in a social sense, they also contribute by a landscape design of green spaces carried out in cooperation with local residents to a reduction of damages occurring through flooding. In addition, these measures contribute by projects of urban gardening to the local supply of agricultural products for residents.

InnovationCity Ruhr Master Plan in Bottrop:

The masterplan is the result of long-term processes and comprises over 200 different projects aiming at a reduction of CO2 emissions and a climate-friendly urban renewal. These projects will be implemented step-by-step in legal terms of planning and building.

Imagine Flint Master Plan:

The future of the vehicle city and the former main production side of General Motors is in danger. To counteract this situation a broad participation process had been staged and it has stimulated a series of ideas and concrete projects for a new, liveable and socially fair Flint.

Think Leipzig Ahead:

Projects of future urban development are gathered by using the anonymous-making keypad polling technique and weighted against each other with regard to prioritising their implementation.

Urban Quarter Development Plan Oßweil in Ludwigsburg:

Making use of the local collective

intelligence arrived at a precise description of the neighbourhood in spatial, social and economic terms. It was also tested to which extent requirements of the overall urban development concept can be implemented in the urban quarter or have to be revised in formal procedures.

Aerotropolis Master Plan in Memphis:

The logistic hub of North and South America as well as the second largest freight airport worldwide is surrounded by an urbanised area of around 50 square miles comprising airport affine production and services. The location advantages have not been valorised yet for public utility purposes and thus to create liveable neighbourhoods. Zombie industries, which could exploit the location advantage so far without paying this back to the community, are engaging now in urban projects enhancing the quality of life on the ground.

One may extract from the network activities the following D4C Principles:

- Civic engagement processes on the local level require clear and realistic targets. Reasoning and participation of citizens are to be defined and codified in a manner that their contributions may be used accurately-fitting in a single urban development project or an overall urban development strategy.
- Groups of stakeholders and their interests have to be investigated so that they may be integrated in a target-oriented and problem-solving way in processes while balancing their spheres of influence. In order to overcome barriers, partnerships responding to a specific need have to be specifically looked for and contracted.

- Communication strategies accompanying participation processes are to be developed with orientation towards a project and adapted in conformity to a situation. That goes as well for structuring and carrying-through the processes and continuously addressing all parties. Local needs have to be appropriately reacted on by employing instruments unknown so far without neglecting well-proven standardised mechanisms. Entrepreneurial thinking may therewith be of advantage.

- Data of local, regional, national or even transnational origin and analytics are to be employed in a strategically meaningful and transparent way.

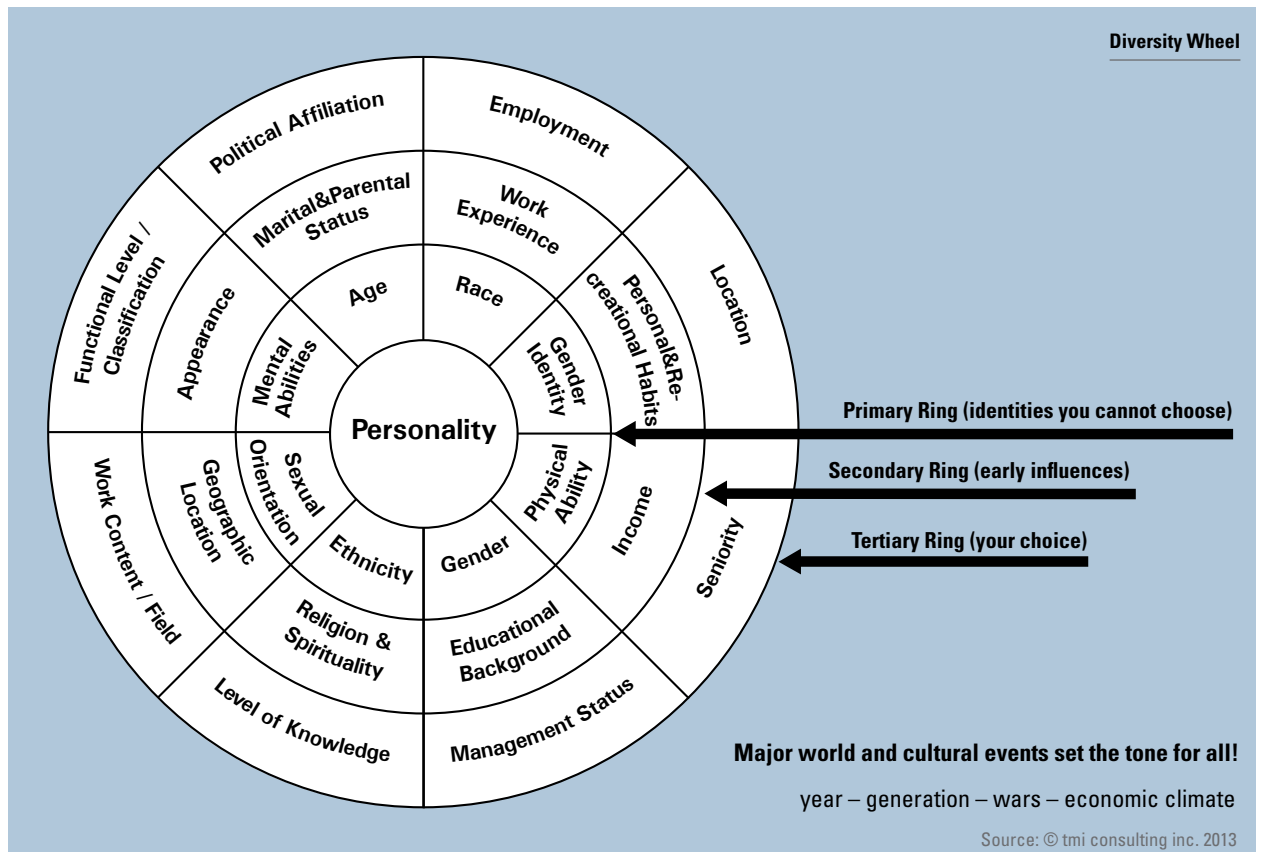
Zooming the findings

Apart from organising a learning city-network in a target-oriented manner it is another aspect that is outstanding with D4C:

The exchange of experiences, through which cities support each

other in their daily work and planning routine, can only be successful in the long run, if the next levels of governance and management – be they regional or national – are integral part of the learning process. These levels have to be actively present ad personam in the network. They propose relevant aspects to the network and they carry on findings of the networking cities and integrate these into policies and programmes for which they are responsible. This is what constitutes the unique feature of D4C amongst various city-networks.

Figure 2



Why is another form of urban research and policy advice necessary?

D4C – a new ExWoSt approach? Urban research and policy advice have to work cooperatively so that ownership and customership of innovative ways of urban development and urban planning may be implemented on a permanent basis.

“D4C should become a model for projects of other national funding programmes” is the statement of one representative from a German city taking part in the network. Previous networks obviously took a direction through which cities were provided with new ideas and tools, yet they did not reach the target that every city-network should aim at: staff of city administration as well as members of city councils and stakeholders of civil society can learn from each other effectively only on the job. Learning progress not only has to be measured thereunto, but learning modules have to be integral part of the daily work and planning routine on stage.

It is the daily work and planning routine that is decisive on whether cities learn from each. In case learning targets are not embedded in the local day-to-day situation of a city administration, success will not materialise. Model projects on the national level, as part of e.g. the Experimental Housing and Urban Development Programme in Germany (Experimenteller Wohnungs- und Städtebau ExWoSt), should make this postulate of embeddedness become a minimum requirement for all projects.

The cities having taken part so far sent – in separated groups of cultural spheres – signals on the pros and cons of a learning intercultural cooperation. These should become hint, appeal and commitment for all those shaping, developing and implementing urban development programmes:

Core objectives of the discussion amongst German cities:

- D4C is a learning laboratory under real-time conditions of

local day-to-day situations – project approaches of other cities are inspiring as recommendations.

- Presentations and discussions in the course of the workshops and online fora trigger off in most case the wow effect that encourages taking new approaches in urban development, urban planning and decision making.
- The D4C Method connects cities in Germany with lots of new and application-oriented tools and procedures which are communicated continuously with the next levels of governance and management (buzz word: ownership).
- It is the willingness to cooperate in a learning environment that counts – the D4C Group are thus true believers from the administration, political arena, private sector and civil society.
- At the beginning of each cooperation there are persons; in the long-run it should be institutions that take the lead in managing learning city-networks – particularly with regard to essentially interlinking project-relevant decisions with local budgeting.

Core objectives amongst the discussion of US cities:

- Despite all cultural differences in details, the challenges on neighbourhood level are almost the same on both sides of the Atlantic. The D4C Method is thus applicable on all situations in cities.

- Experiences in urban transformation processes made by US and German cities are congruent in most cases.
- D4C builds upon the principle of a well-functioning city administration – nevertheless it claims entrepreneurial thinking and acting from local actors wherever it seems appropriate (buzz work: customership).
- Civic engagement and public participation procedures are often staged in US cities in a more confrontational way than in German cities.
- As US Americans (perhaps in a different way than Germans?) tend to be educated in schools and universities to criticise and

take individual positions it could be argued that urban planning in a classic-consensual style would be hindered in the USA.

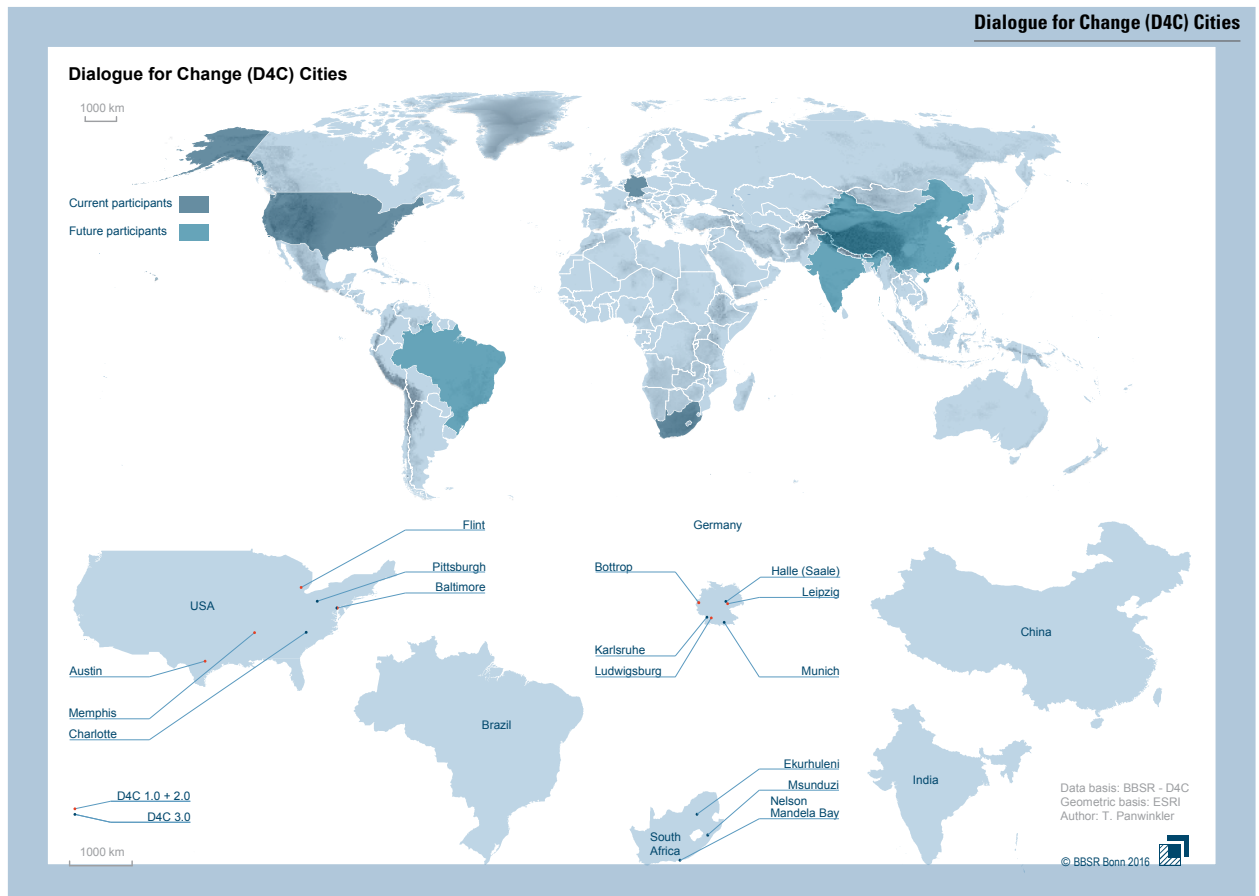
Some outcomes to be generalised:

- D4C is unique, thanks to its structure!
- The single projects of the D4C Cities show that applying the D4C Method leads to concrete results and positive changes in the workflow of urban development and urban planning in the participating cities.
- The individual educational objectives orientate themselves as a matter of course on the interests and framework conditions of the respective

city; however D4C has demonstrated that globally acknowledged minimum learning requirements can be applied – as in building up the learning process, in setting educational objectives, in evaluating and in using learning aid as it is recommended by the UNESCO Institute of Lifelong Learning or the International Association for Public Participation IAP2. In argumentum e contrario D4C illustrates the universality of the tools and strategies applied.

D4C has brought together so far cities from the one and the other side of the Atlantic. The plan is to apply the D4C Method also in other bi- or multi-lateral contexts and thus convince other cities and countries to join the D4C Group.

Figure 3



Which literature is available on the subject?

- [BUCK 15] BUCKLEY, Patrick Henry, TAKAHASHI, Akio, ANDERSON, Amy (2015): The Role of Sister Cities' Staff Exchanges in Developing "Learning Cities": Exploring Necessary and Sufficient Conditions on Social Capital Development Utilizing Proportional Odds Modelling. International Journal of Environmental Research and Public Health, Volume 12. Basel
- [DIEL 13] DIELEMAN, Hans (2013): Organizational learning for resilient cities, through realizing eco-cultural innovations. Journal of Cleaner Production. Volume 50. Oxford
- [THEG 16] THE GERMAN MARSHALL FUND OF THE UNITED STATES (2016): Civic Engagement Principles for Transatlantic Cities: Inspiration from the Dialogues of Change Initiative 2013-2015, Washington DC
- [KIMS 10] KIM, Seungwook (2010): A Study on the Development of Lifelong Learning City for the Improvement of Regional Lifelong Education. Journal of Korea Regional Economics. Volume 8. Seoul
- [LONG 99] LONGWORTH, Norman (1999): Making Lifelong Learning Work: Learning Cities for a Learning Century. London
- [NEVE 13] NEVENS, Frank, Frantzeskai, Niki, GORISSEN, Leen, LOORBACH, Derk (2013): Urban Transition Labs: co-creating transformative action for sustainable cities. Journal of Cleaner Production. Volume 50. Oxford
- [RENT 14] RENTING, H., Koot, M., Valstar, A., Jong, D. de (2014): GROW the City: learning networks between North and South for innovations in urban food systems. Urban Agriculture Magazine. Issue 28. Leusden
- [STRA 06] STRAßHEIM, Holger, OPPEN, Maria (2006): Wissenspolitiken: zwischen Kooperation und Machterhalt. Lernen in Städtenetzwerken. WZB-Mitteilungen 113. Wissenschaftszentrum Berlin für Sozialforschung. Berlin
- [YANG 13] YANG, Byung-Chan, PARK, Seong-Hie, JEON, Kwang soo, KIM, Eun Kyung, SHIN, Young Yoon, CHOI, Jong Seong (2013): An Analysis on the Practice of Lifelong Learning Network in Learning City. Journal of Lifelong Education. Volume 19. London

Which weblinks would be of interest?

D4C – Dialogue for Change

<http://www.gmfus.org/initiatives/dialogues-change>

http://www.bbsr.bund.de/BBSR/DE/FP/ExWoSt/Studien/2014/MemorandumEnergien/01_Start.html?nn=431364

UNESCO Global Network of Learning Cities

<http://learningcities.uil.unesco.org>

Knowledge Data Bank on Learning City and Region (in German)

<http://www.pw-projekt.de>

University of Copenhagen's Urban Learning Labs

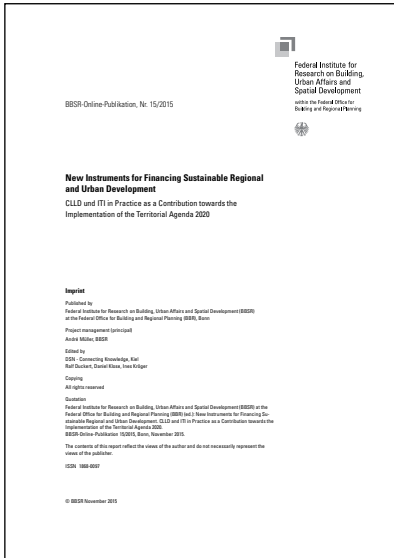
<http://greensurge.eu/urban-learning-labs>

koopstadt – Joint Urban Development in Bremen, Leipzig und Nuremberg (in German)

<http://www.koopstadt.de>

The White House Office of Public Engagement

<https://www.whitehouse.gov/engage/office>



New Instruments for Financing Sustainable Regional and Urban Development
 Ed.: BBSR, BBSR-Online-Publikation 15/2015, November 2015

Sustainable regional and urban development is feasible since the beginning of the EU Structural Funding period 2014-2020 in addition to traditionally funded projects promoting economy and employment. Cities and regions may achieve supplementary funds for projects by using new financial instruments. These new instruments are CLLD (Community-Led Local Development) and ITI (Integrated Territorial Investment), widely unknown in Germany. They allow regions and municipalities to combine various funds of the European Structural and Investment Funds (ESI Funds). This integrated approach contributes to implement the Territorial Agenda 2020.

The publication analyses and documents the application of these instruments on the basis of case studies in Germany and the European Union. Interviews with local partners illustrate the grand added value of the new types of financing for sustainable urban and regional development.

Download:
www.bbsr.bund.de > Publications > BBSR-Online-Publikation

Published by
 Federal Institute for Research on Building, Urban Affairs and Spatial Development (BBSR) in the Federal Office for Building and Regional Planning (BBR)
 Deichmanns Aue 31–37
 53179 Bonn

Project management
 André Müller
andre.mueller@bbr.bund.de

Edited by
 Friederike Vogel

Typesetting and layout
 Yvonne Schmalenbach

Printed by
 Bundesamt für Bauwesen und Raumordnung, Bonn

Orders from
beatrix.thul@BBR.Bund.de
 Reference: BBSR-Analysen KOMPAKT 02/2016

The BBSR series "Analysen KOMPAKT" is published irregularly. They can be ordered free of charge.

ISSN 2193-5017 (print version)
 ISBN 978-3-87994-751-5

Bonn, September 2016

Newsletter "BBSR-Forschung-Online"
 The quarterly newsletter "BBSR news online" informs you about current research projects, publications and events of the scientific section.
www.bbsr.bund.de > newsletter