

Symposium UPE 12 Lisbon

(How) Can Institutional Design of Urban Governance Promote Learning Cities?

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Institutional Design of Urban Governance for Learning Cities

- “*Models of cooperation and partnerships*” → *Institutional Design*
- **Institutional Design**
 - **Definition:** What is it? Who does it/where?
 - How? **Knowledge:** theory/research/experience
- **Toward ID criteria**
 - **Problems/crises – examples:** EU crisis, climate change
 - **Issues:** distn. of functs. –interscalar/intersectoral
 - **Criteria:** effectiveness, authority, accountability
- **Cases: learning from experience**

Amsterdam metro-regn., NY Regional Plan // SEQ2001, Shanghai // Chicago
- **Answers – can ID promote learning cities?**
 - **General lessons: add criterion – openness to environment**
 - **Governance for learning cities – Knowledge:** exemplars (transfer?)
 - **Case/context specific ID: add criterion - goodness-of-fit**

INSTITUTIONAL DESIGN!

What is institutional design:

Institutions are:

"the rules of the game in society... that shape human interaction...(to) serv(e) collectively valued purposes (North, 1990: 3).

Institutional Design means designing institutions:

“devising and realizing rules, procedures and organizational structures to enable and constrain behavior and action (to) conform to held values, achieve desired objectives or execute given tasks” (Alexander, 2006: 4).

INSTITUTIONAL DESIGN

Three “Levels”

I. Macro:

macro-societal processes/national reorganizations political-administrative programs - “constitution writing”

II. Meso:

policy/implementation structures and processes: interorganizational networks, organizations, laws, regulations, resource deployment

III. Micro:

intra-organizational - organizational sub-units, social units and processes: committees, teams, task forces, work groups etc.

INSTITUTIONAL DESIGN

Knowledge:

- **Theory-research** – games theory
 - transaction cost theory
 - agency theory
- **Experience**
 - case studies
 - exemplars

TOWARD ID CRITERIA

Crises/problems/challenges:

Cases: EU – financial institutions & ECB

global warming – institutionalization of
climate change planning

Crises/problems/challenges - *cases*:

EU – financial institutions & ECB

Alternative institutional designs:

- ***Austerity*** limited ECB role/strong fiscal control
no or very ltd. mutualization of obligations & debt
- ***Growth with EU support*** ECB credit linked to
fiscal control/ mutualization of obligations & debt

Institutional Design of Urban Governance for Learning Cities

Crises/problems/challenges - cases:

Global Warming

New/transformed institutions to cope with climate change & impacts:

- **International cooperative networks**

Climate research/prediction: ISCC

Global warming prevention – international compacts Kyoto to Paris

- **National**

Environmental legislation/controls – climate adaptation programs

- **Regional/local**

Climate adaptation planning/action : policies, plans, programs, projects

INSTITUT'L DESIGN of URBAN GOVERNANCE

- ***Issues in urban & regional governance***
 - distn. of functions: between scales/sectors
- ***Knowledge re urban & regional governance***
 - models of city/metro-regional governance
 - best practices/exemplars (e.g. partic. budgeting)
- ***Institutional design experience – cases:***
 - Amsterdam metro-region: from ROA to City-Region
comparing:
 - NY USA – Regional Plan of NY & Its Environs (1929)
 - Queensland AU – SEQ2001 (1990s)
comparing:
 - Shanghai *with* Chicago

Institutional Design for Urban Governance Under Global Urbanization

Institutional design experience – cases:

AMSTERDAM METRO-REGION

- **ROA – Regionaal Overleg Amsterdam**
consultative assoctn of local governments
 - ↓ [Province-Am'dam compact: powers to city;
National govt. City- Province project]
- **ROA – Regionaal Orgaan Amsterdam**
regional organization of local governments
 - [Amsterdam/Rotterdam defeat City-Province project]
 - ↓ [10 years later: National enabling Framework Act]
- **Stadsregio Amsterdam – City-Region**
metro-regional government

Institutional design experience – cases:

NY REG PLAN 1929

Committee

on the Regional Plan

of New York

business/finance reps. w. staff



X



*social-institutional
environment*

SEQ2001 1990s

RPAG Regl Plang Adv. Group

planning organization



SEQROC assocn of local govts

interorgztl group



*social-institutional
environment*

Contextual factors

Shanghai

Urban governance/plng system:
simple-hierarchical except when top
down flow reversed in state capitalism

Contextual factors:

China

- **government:**
unified, modified hierarchy
- **socio-economic system:**
transitional command economy
emerging private/State capitalism

Chicago

Urban governance/plng system:
complex non-hierarchical networking

Contextual factors:

USA

- **government:**
federal, fragmented
- **socio-economic system:**
market economy with
State support/regulation

Institutional Design of Urban Governance for Learning Cities

Institutional design criteria:

- **EFFECTIVENESS**

Multi-dimensional/-scalar collaborative networks for policy, planning, management, implementation

- **AUTHORITY**

legitimizing institutions thru democratic participation

- **ACCOUNTABILITY**

transparency, publicness thru monitoring/control
info systs (IT) for feedback/learning, responsible practices: rule-of-law

- **OPENNESS**

organizational structures/processes to max. openness to/input from social-institutional environment

- **GOODNESS-of-FIT**

appropriate in its cultural-socio-political-economic/institutional environment