

Questionnaire

Monitoring *Integrated Approach* in Partner Cities



Table of Contents

DEALS tool for monitoring 'integrated approach' in partner Cities	3
6 Key elements.....	4
Questionnaire	6
1. <i>Coordination among different departments with the local government</i>	7
2. <i>Coordination between local government and other government actors and levels</i>	10
3. <i>Cooperation with non-governmental stakeholders</i>	13
4. <i>Synergies between social, economic, environmental and governance aspects</i>	16
5. <i>Integrating investment in infrastructure</i>	19
6. <i>A framework for joined monitoring and learning</i>	21
Fact sheet format.....	23
A guide to using the questionnaire	24
Questions explained	25

DEALS tool for monitoring 'integrated approach' in partner Cities

The DEALS programme aims to support integrated and inclusive multi-stakeholder governance processes in partner municipalities. The measurement tool offered in this document is intended to make these abstract notions tangible and set targets for output level 'integrated, multi-level, multi-stakeholder' capacity in DEALS partner cities, which also allow some comparison across countries. The complete tool consists of 1) a set of 6 key elements of an integrated approach in the DEALS programmes; 2) a questionnaire relating to these key elements (for those data that are expected to change during the course of the project). 3) a fact sheet format (with context- and programme-related data that will vary little over time); 4) a guide to using the questionnaire.

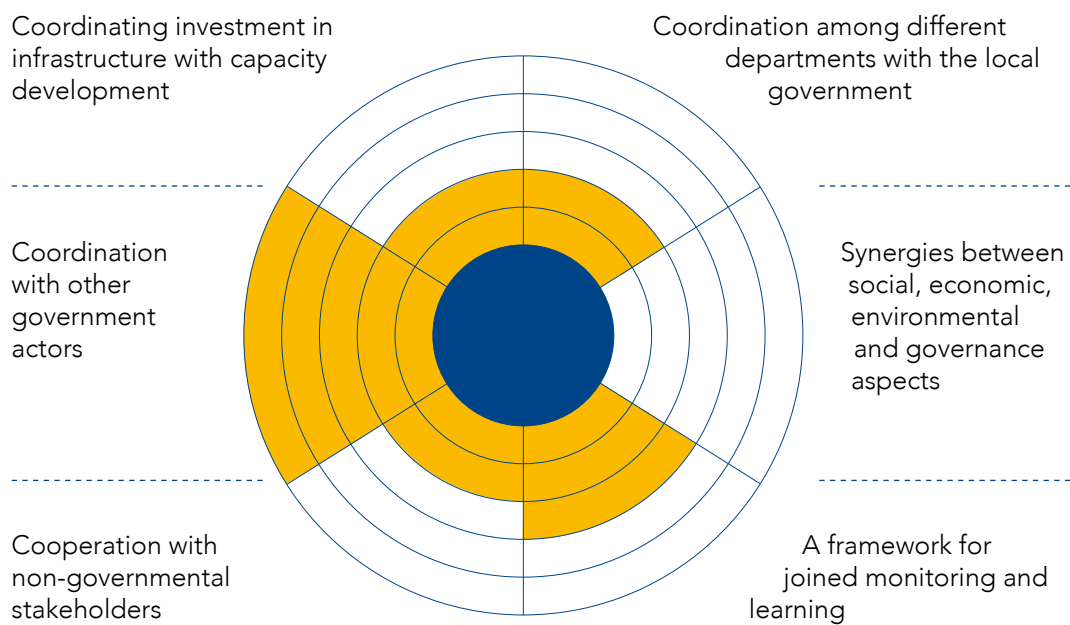
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6 Key elements

We identified 6 key elements for an integrated approach within the DEALS projects, which are:

#	Key elements: An integrated approach requires (steps towards):
1	Coordination of strategies, plans, budgets and activities among different departments within the local government around the goals of the deal
2	Coordination of strategies, plans, budgets and activities between local government and other government actors and levels (eg national government ministries and their local agencies, other municipalities, local councils) to achieve the goals of the deal
3	Active cooperation with non-governmental stakeholders to achieve the goals of the deal: citizens' representatives, business sector, knowledge institutions, civil society and community-based organisations, donor agencies
4	An (area-based) pilot approach which develops linkages and synergies between social, economic, environmental and governance aspects , taking the needs of people in the pilot area or group as the starting point and involving them actively in the pilot's implementation
5	Integrating relevant public(-private) investment in infrastructure in the project area with the development of institutional and management capacities and the active participation of all stakeholders
6	A framework with targets/indicators which support integrated thinking and a methodology for joined monitoring and learning

An integrated governance approach



2 Questionnaire

The questionnaire will be used to ask City staff and politicians, and their partners in DEALS about the progress they perceive, at least once a year, and preferably every 6 months (annual plan/annual report cycle).

Enter your details

Name:

Position:

City:

E-mail:

The interviewee gives permission to store and use the data of the questionnaire in light of monitoring, evaluation and learning of the DEALS programme for a period of maximum 10 years. Publications about the results of the questionnaire will not contain any personal data. For more information we refer to our Privacy Statement www.vng-international.nl/privacy-statement.

1 Coordination among different departments with the local government

1.1

Which mechanisms for LG interdepartmental coordination were used in the reporting period in relation to the DEALs project?

<i>mechanisms</i>	<i>number of times each mechanism was used</i>

1.2

What were the main outputs of this coordination? Have all relevant aspects of sustainable development been addressed and have active linkages been developed?

output 1

--

linkages between sustainability aspects

--

aspects of sustainable development

social aspects	yes	no	environmental aspects	yes	no
economic (and infrastructure) aspects	yes	no	governance (including spatial)	yes	no

output 2

linkages between sustainability aspects

aspects of sustainable development

social aspects	yes	no
----------------	-----	----

environmental aspects	yes	no
-----------------------	-----	----

economic (and infrastructure) aspects	yes	no
--	-----	----

governance (including spatial)	yes	no
-----------------------------------	-----	----

output 3

linkages between sustainability aspects

aspects of sustainable development

social aspects	yes	no
----------------	-----	----

environmental aspects	yes	no
-----------------------	-----	----

economic (and infrastructure) aspects	yes	no
--	-----	----

governance (including spatial)	yes	no
-----------------------------------	-----	----

1.3

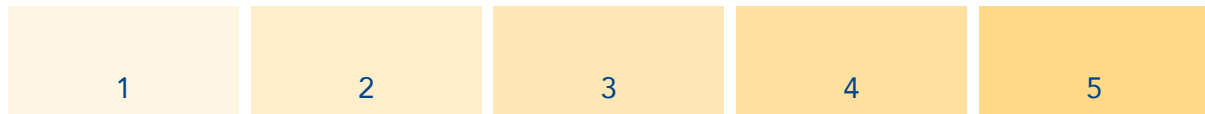
Are the findings of the (area-based) pilots used in the meetings of LG departments to discuss existing practices and how to better serve people's needs?

yes:

no:

1.4

How strong is the relation between LG interdepartmental coordination and progress towards outcomes in this reporting period?



1 no relation - 5 very much related

brief explanation:

1.5

Which LG departments participated actively in the coordination?

% of activities

%

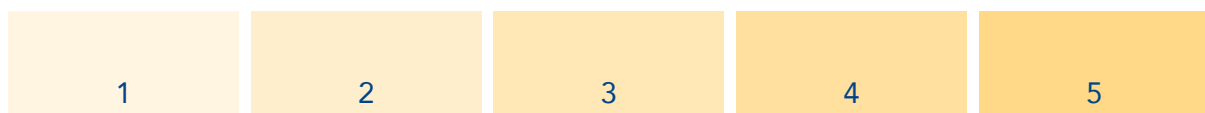
1.6

What was the reason for other LG departments to be not or less involved?

sum of perception survey amongst participants, in particular those with lowest participation ranked in 1.5

1.7

How strong is the relation between the (non-)participation of departments and the progress towards outcomes in this reporting period?



1 no relation - 5 very much related

brief explanation:

2 Coordination between local government and other government actors and levels

2.1

Which mechanisms for multi-level government co-ordination were used in the reporting period in relation to the DEALs project?

<i>mechanisms</i>	<i>number of times each mechanism was used</i>

2.2

What were the main outputs of this coordination? Have all relevant aspects of sustainable development been addressed and have active linkages been developed?

outputs

examples of linkages

pillars

social aspects	yes	no
economic (and infrastructure) aspects	yes	no
environmental aspects	yes	no
governance (including spatial)	yes	no

2.3

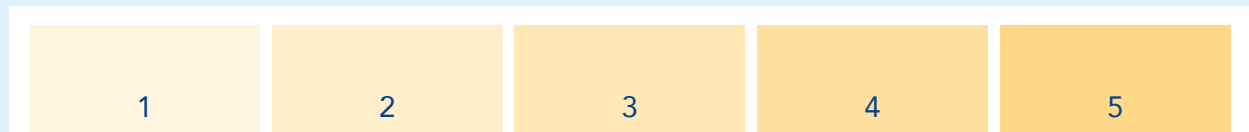
Are the findings of the (area-based) pilot used to discuss existing rules or practices with other government levels?

yes:

no:

2.4

How strong is the relation between the inter-governmental coordination and the progress towards outcomes in this reporting period?



1 no relation - 5 very much related

brief explanation:

2.5

Which actors/levels participated actively in the coordination?

actors	% of activities
	%
	%
	%
	%
	%

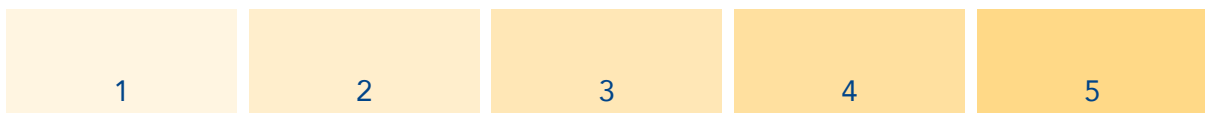
2.6

What was the reason for other actors/levels to be not or less involved?

Name 3 main reasons, based on perception survey amongst participants, in particular those with lowest participation

2.7

How strong is the relation between the (non-)participation of actors and the progress towards outcomes in this reporting period?



1 no relation - 5 very much related

brief explanation:

3 Cooperation with non-governmental stakeholders

3.1

Which mechanisms for multi-stakeholder cooperation or consultation were used in the reporting period in relation to the DEALs project?

<i>mechanisms</i>	<i>number of times each mechanism was used</i>

3.2

What were the main outputs of this cooperation or consultation? Have all relevant aspects of sustainable development been addressed and have active linkages been developed?

outputs

examples of linkages

pillars

social aspects	yes	no
economic (and infrastructure) aspects	yes	no
environmental aspects	yes	no
governance (including spatial)	yes	no

3.3

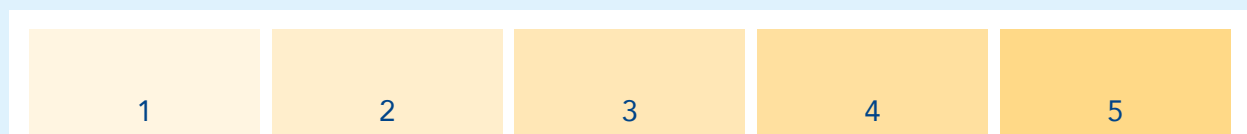
Are the findings of area-based pilots used to discuss existing practices and how to better serve people's needs?

yes:

no:

3.4

How strong is the relation between the multi-stakeholder cooperation and the progress towards outcomes in this reporting period?



1 no relation - 5 very much related

brief explanation:

3.5

Which stakeholders were very active, including citizens' representatives?

stakeholders	% of activities
	%
	%
	%
	%
	%

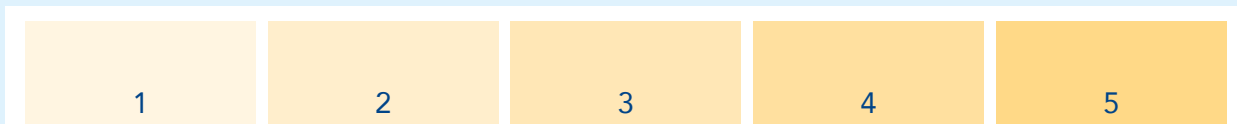
3.6

What was the reason for other stakeholders to be not or less involved?

Name 3 main reasons, based on perception survey amongst participants, in particular those with lowest participation

3.7

How strong is the relation between the (non-) participation of actors and the progress towards outcomes in this reporting period?



1 no relation - 5 very much related

brief explanation:

4 Synergies between social, economic, environmental and governance aspects'

4.1

Which pilot activities were undertaken in the pilot areas or in direct relation to the area-based pilots?

activities undertaken in the reporting period

1

2

3

4

5

4.2

Have all relevant aspects of sustainable development been addressed in these activities and have active linkages been developed?

aspects of sustainability

linkages between aspects

1

2

3

4

5

4.3

Which findings were obtained based on these activities?

key findings

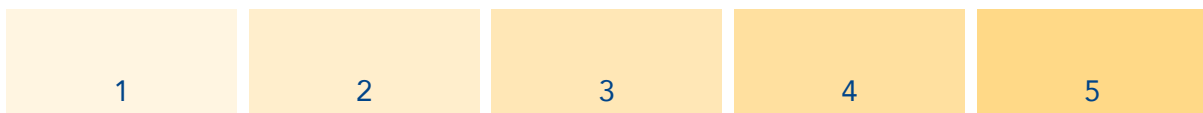
Do the pilot activities reveal a need for changing existing rules or practices to better serve people's needs?

yes:

no:

4.4

How strong is the relation between the pilot activities and the progress towards outcomes in this reporting period?



1 no relation - 5 very much related

brief explanation:

4.5

Which actors (government/non-government and target groups) participated actively?

<i>actors</i>	<i>% of activities</i>
	%
	%
	%

4.6

What was the reason for other actors to be not or less involved?

Name 3 main reasons, based on perception survey amongst participants, in particular those with lowest participation

4.7

How strong is the relation between the (non-)participation of departments and the progress towards outcomes in this reporting period?

1	2	3	4	5
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1 no relation - 5 very much related

brief explanation:

5 Coordinating investment in infrastructure with capacity development

5.1

Was any public(-private) physical infrastructure developed in the pilot areas with relevance for the DEALS project?

list of relevant infrastructure developments in the reporting period

5.2

Has the planning/construction of this infrastructure been coordinated with other efforts through the governmental and/or multi-stakeholder coordination mechanisms?

yes:

no:

5.3

Has the planning/construction of infrastructure been matched with institutional and management capacity of stakeholders, if required?

yes:

no:

5.4

Have target groups in the pilot-area been involved/employed in the planning and construction of infrastructure?

yes:

no:

5.5

How strong is the relation between the public(-private) physical investment and the progress towards outcomes in this reporting period?

1

2

3

4

5

1 no relation - 5 very much related

brief explanation:

6 A framework for joined monitoring and learning

6.1

Which arrangements for joint monitoring of progress were applied (or developed) in relation to the DEAL and/or area-based pilots? And were all relevant aspects of sustainable development addressed in the monitoring activities?

arrangements for joint monitoring

	yes	no
	yes	no
	yes	no

6.2

Has the monitoring contributed to shared learning and which were the key lessons?

name 3 key lessons

6.3

Which actors participated actively in the monitoring?

	<i>% of activities</i>
	%
	%
	%

6.4

What was the reason for other actors to be not or less involved?

sum of perception survey responses (3 main reasons)

6.5

How strong is the relation between joint monitoring arrangements and the progress towards outcomes in this reporting period?



1 no relation - 5 very much related

brief explanation:

3 Fact sheet format

A fact sheet will be made for each city. The items in the fact sheets relate to elements in the questionnaire and clarify which specific actors, mechanisms etcetera we are talking about for that city. It is expected that the information contained in the fact sheet will not vary too much over time. It will be updated if needed on a three-monthly basis.

- ▶ About
- ▶ Context
- ▶ Selected thematic area
- ▶ Thematic area in relation to the pillars of sustainable development
- ▶ City departments involved in the project activities (inter-departmental team)
- ▶ All governmental parties involved in the project activities (multi-level team)
- ▶ All non-state parties involved in the project activities
- ▶ Sectors represented by stakeholders
- ▶ People living in the pilot areas involved in the project activities
- ▶ Selected project area
- ▶ Result of project activities
- ▶ Project activities
- ▶ Investment in infrastructure in relation to project activities
- ▶ Update last 3 months
- ▶ Who was involved? (Photo plus quote)

4 A guide to using the questionnaire

The six key elements for the integrated approach in Deals find their roots in international practice as well as in current experience in the Netherlands, including with City Deals. For more background: see the introduction of the DEALS inception report and the report on learning for integrated approaches. The DEALS programme aims to support integrated and inclusive multi-stakeholder governance processes in partner municipalities. This requires changes in the way local governments work. DEALS projects encourage experimentation at two levels: (i) a 'collaborative method' in which local government staff step out of their offices to interact with other government and non-government actors and (ii) the physical practice of doing things differently 'on the ground' in a pilot setting involving target population groups.

Participants in the DEALS projects will be asked to periodically answer the monitoring questions, in order to learn about progress with the key elements. As the DEALS projects aim primarily at capacity development, the monitoring questions relate mostly to process. But we also look at content, to see whether actual integration of different sectoral policies and practices takes place. The six monitoring questions are in many ways interrelated. Below are some explanations to help use this questionnaire effectively. Many of the key terms used correspond with information provided in the fact sheets.

Monitoring

Questions 1 to 3: Coordination among stakeholders

The first 3 monitoring questions in the questionnaire relate to (institutional or ad-hoc) arrangements and mechanisms for coordination and collaboration among different groups of stakeholders. The focus is on ensuring that that efforts are coordinated well and address people's needs.

Specifically, what we would like to know is how such mechanisms are used for coordination around shared goals: those of the Deals project and/or other locally agreed goals. Although this is not repeated in the monitoring questions, it is important to always answer the questions with the agreed goals in mind. If such goals have not yet been agreed among participants, this can be one of the outputs of the process of coordination. But goals can also be taken from the municipal development plan or a national programme, or new goals could emerge from the pilot. It helps if the key goals agreed are listed in the fact sheet.

The final three sub-questions of monitoring questions 1 to 3 look at effectiveness of the mechanisms used in terms of participation, and the extent to which they help breaking down (sectoral) barriers. Are the participants acting as a team? Is there a level of equality or are some participants dominant? What is the effect on integrated approaches and on outcome level results if all actors cooperate or if some actors do not join in? During evaluation it will be relevant to also check at a 'deeper' level whether mutual understanding and communication have improved based on these mechanism.

Explanation of terminology used:

LG departments: all relevant departments, for example planning, finance, spatial planning, waste management, public works, water and sanitation, social sectors, gender.

Other government levels: these can be ministries or regional governments as well as their decentralised agencies, municipal councils, other municipalities or other bodies.

Non-government stakeholders: citizens representatives, business sector, knowledge institutions, civil society, community-based organisations, donor agencies.

The key actors are mentioned in the fact sheets. Apart from the signatories to the DEAL, there may be others. It is imported that citizens target groups are also represented in multi-stakeholder consultation, by persons who are seen as their legitimate representatives.

Mechanisms for coordination and consultation: these are specified in the fact sheets. They can for instance be periodic coordination meetings of a focal team or task team for the DEAL, a regular or ad-hoc interdepartmental or intergovernmental or multi-stakeholder coordination meeting or working group, a process of joint planning, budgeting or monitoring, joint field visits etc. In the course of the project more mechanisms may arise.

Outputs: these are the immediate results of the joint work in the cooperation mechanisms, such as shared analysis, a coordinated work plan or budget, agreed actions. They also include decisions needed to create the conditions for experiment in the chosen pilot (area), for instance agreement on space for experimentation and allocation of staff time or budget.

All relevant aspects of sustainable development: sustainable development requires a balance among social, economic and environmental aspects of development. Often, governance aspects are added as a fourth pillar (for instance SDG 16 and 17). Also, we may add spatial development as a separate aspect. This spatial dimension is often overlooked; coordination among sector departments and spatial planning units is often weak.

Linkages: true integration takes place when policies, actions or investments are developed that consciously tackle different aspects and needs in conjunction. Ideally, more than just 2 of the above-mentioned 5 'pillars' are linked. On the other hand, improved linkages within one of the pillars (eg environmental) can also be very important.

Findings of the (area-based) pilots: the experimentation at pilot level constitutes a key element of the DEALS project. It is important that lessons learned in these pilots, based on the actual needs of people, 'travel through the system' and are used to assess and improve existing rules, policies and practices. This may result in a decision to set new priorities or do things differently. This is also a key element of the Dutch and European City Deals.

Outcomes: project outcomes - defined in the Theory of Change and/or agreed with partner cities - are monitored as part of the regular M&E process . They are at the level of desired changes in people's lives. Here, the focus is on the contribution of the interdepartmental, intergovernmental and multi-stakeholder cooperation to these outcomes. The question is intended to make respondents think about the effectiveness of the mechanisms used.

Question 4: Area-based pilot or pilot group

The DEALS projects include pilots (“living labs”) in one or more areas or with a target population group or neighbourhood. The aim is to test integrated approaches in a bottom-up manner, directly related to people’s daily lives, and to feed the findings into planning and policy making. The pilots include vulnerable groups who do not have access to land or adequate housing of their own. The DEALS inception report states the need to address inadequate levels of services through solutions that emphasize flexibility, inclusiveness and stakeholder participation. The aim is therefore to avoid top-down approaches initiated by government and/or private sector.

Pilot activities: (experimental) activities in the selected pilot area(s) or groups that engage citizens actively in the design and implementation of approaches, including the provision of services and construction or maintenance of infrastructure, eg for waste management.

Question 5: integrating investment with capacity building and role of other actors

Sustainable urban development requires investment in infrastructure such as roads, sewers, schools, waste treatment plants, public transportation. While most DEALS projects do not have an infrastructure component, infrastructure investment relevant for the DEALS project may be coming from government (supported by donors) or the private sector.

Such investment in physical infrastructure must be coordinated well with spatial plans, other strategies (eg for the improvement of waste collection or creation of decent employment) and with financial and staff capacity to effectively use the infrastructure. Also, it is important to bring on board the community in the design phase of infrastructure, to make sure it respond to their needs. Moreover, engaging the community in implementation can generate useful employment opportunities.

Question 6: monitoring

Arrangements for joint monitoring: it is important that learning about results, and about the factors that promote or impede progress, takes place jointly. This does not happen automatically: joint learning must be organised. This can be through joint monitoring meetings or joined field visits, but learning and exchange of experience can also take place in more creative forms such as theater or role plays.

Integrated governance approaches and a process of joint learning require a good selection of indicators. In practice, sector departments often use progress indicators with a narrow sectoral focus and they report directly to national ministries, without coordination with the local planning department. Joined learning can be promoted by making a selection of priority indicators from each 'sector' and then look at progress on all these indicators jointly. The DEALS project could also support the adoption of so-called 'composite' indicators. These are indicators which include several components. It makes them more integrated but it also makes the process of monitoring more complicated. Efforts in this area could be related to local work on SDG monitoring or other initiatives such as the City Prosperity Index of UN Habitat. The local planning departments are key partners in this effort, as well as academic institutions.

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