

GOVERNING COMPLEX EMERGENCIES

The Emergency Governance Initiative for Cities and Regions

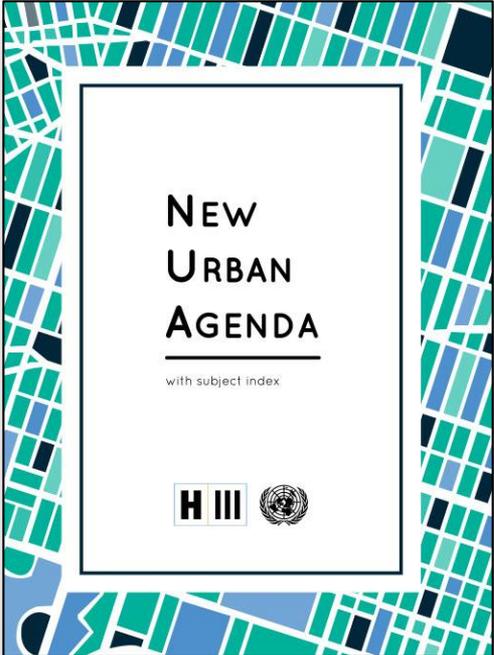
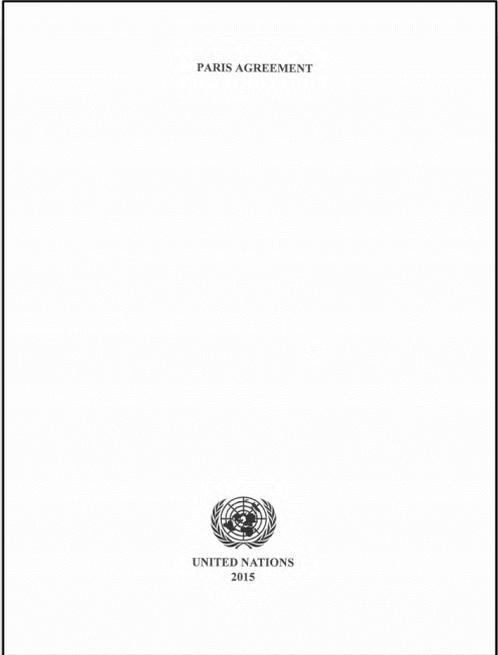
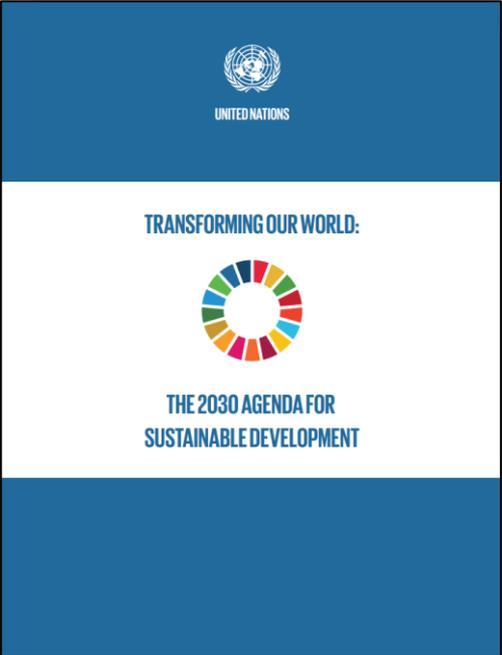


Meeting of the Minds
18 January 2021

Philipp Rode and **Ainara Fernández Tortosa**
Emergency Governance Initiative



THE GLOBAL AGENDAS | 5 YEARS ON



ESTABLISHED INSTITUTIONS | NEW CHALLENGES

A word cloud of terms related to established institutions and new challenges. The words are arranged in a non-uniform, overlapping manner. The largest word is 'digitalisation', followed by 'new populism' and 'technological disruption'. Other prominent words include 'austerity measures', 'nationalism', 'uncertainty', 'unilateralism', 'protectionism', 'urban hinterlands', 'financial crisis', 'the gig economy', 'nativism', and 'nationalism'.

financial crisis

austerity measures

nationalism

technological disruption

uncertainty

digitalisation

the gig economy

unilateralism

new populism

nativism

protectionism

urban hinterlands

too slow

to achieve targets by 2030

too weak

to balance vested interests

too disconnected

to have full legitimacy for radical change

... OCTOBER

RESORTS WORLD CASINO NYC PLAZA

844.33.ISLES

WHOSE CITY ??
OUR CITY!!
THE BROOKLYN ANTI-GENTRIFICATION NETWORK





CLIMATE EMERGENCY

WAKE UP
AMERICA

YOUR PROFIT
DENIAL IS NOT
POLICY

Coca-Cola

OROCON
ERA

COVERGIRL

Regan Stone
Can you make the Water Heard Short?

Regan Stone

The Water Heard Short
#WaterHeardShort

KYAN TOLSON

TKS

01



7

8

Bitte stehen
auf dem gelben
Balken
Halten Sie
die Hand
auf dem
gelben
Balken
Bitte
halten Sie
die Hand
auf dem
gelben
Balken
Bitte
halten Sie
die Hand
auf dem
gelben
Balken

Bitte stehen
auf dem gelben
Balken
Halten Sie
die Hand
auf dem
gelben
Balken
Bitte
halten Sie
die Hand
auf dem
gelben
Balken
Bitte
halten Sie
die Hand
auf dem
gelben
Balken

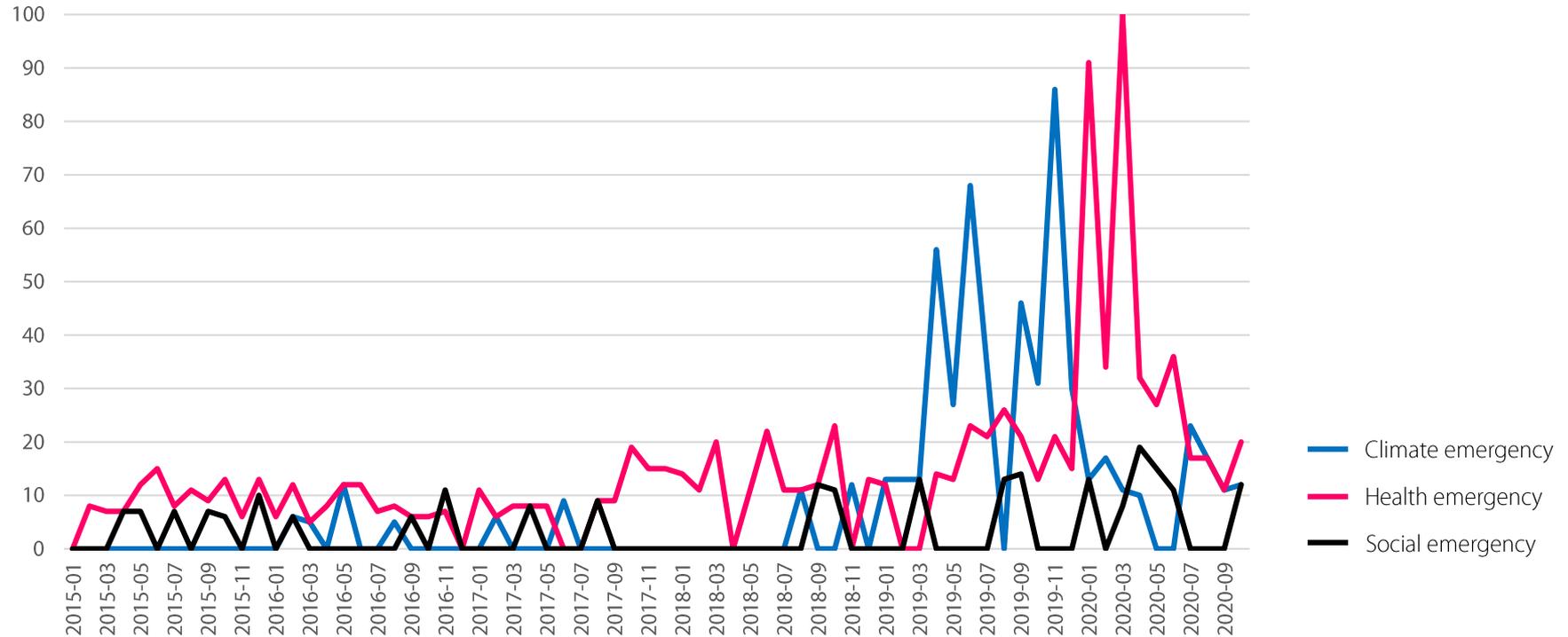
STOP

STOP

STOP

PROMINENCE OF COMPLEX EMERGENCIES 2010-2020

Based on Google News Searches

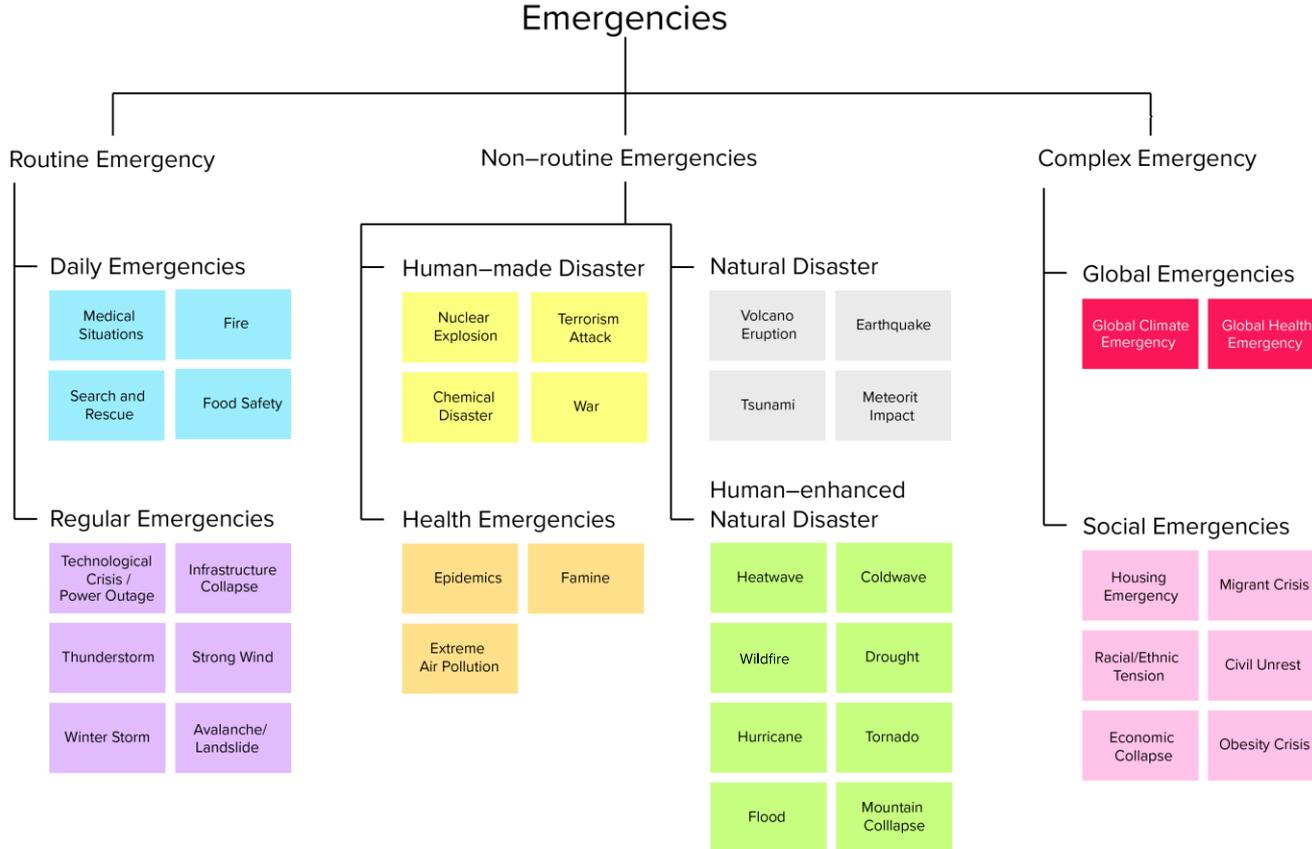


grand challenges

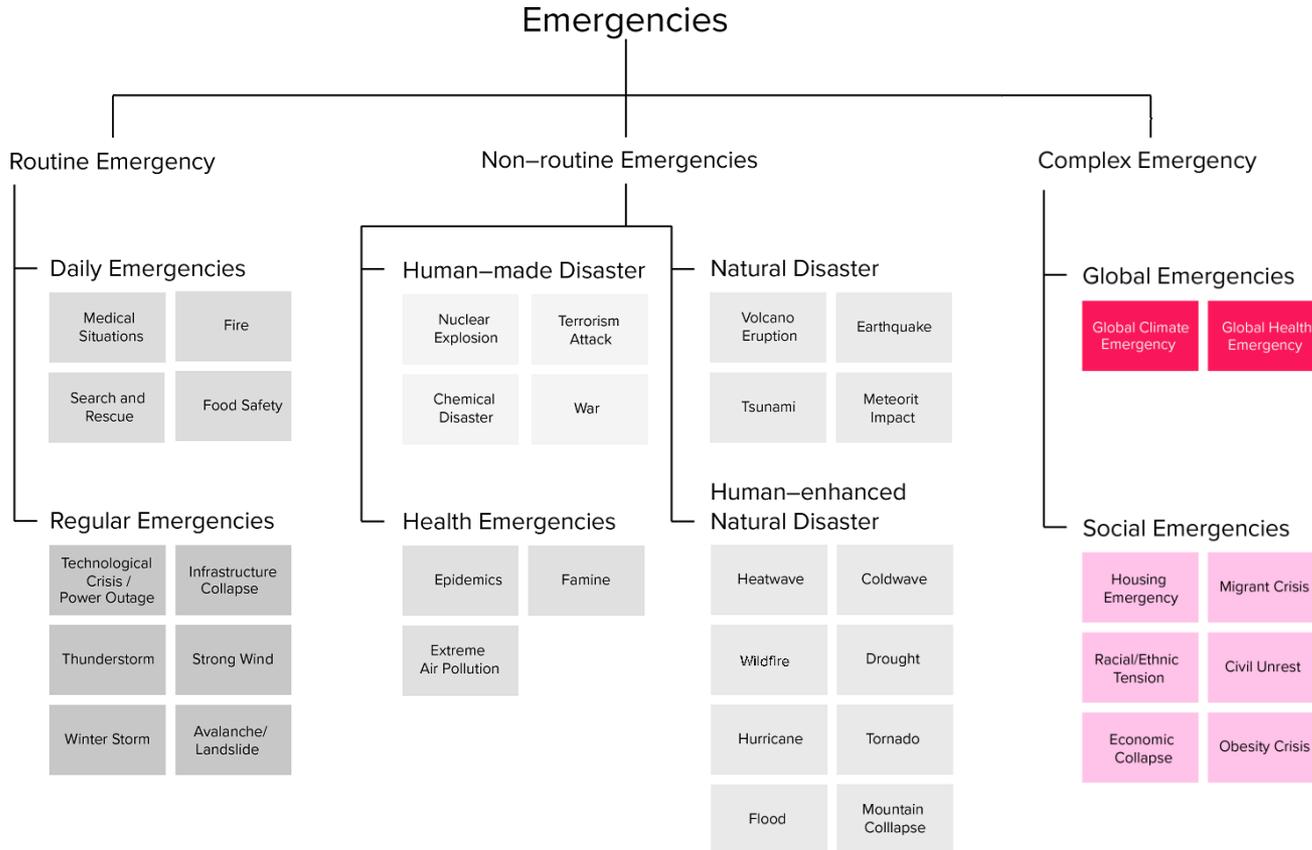
are reframed as

complex emergencies

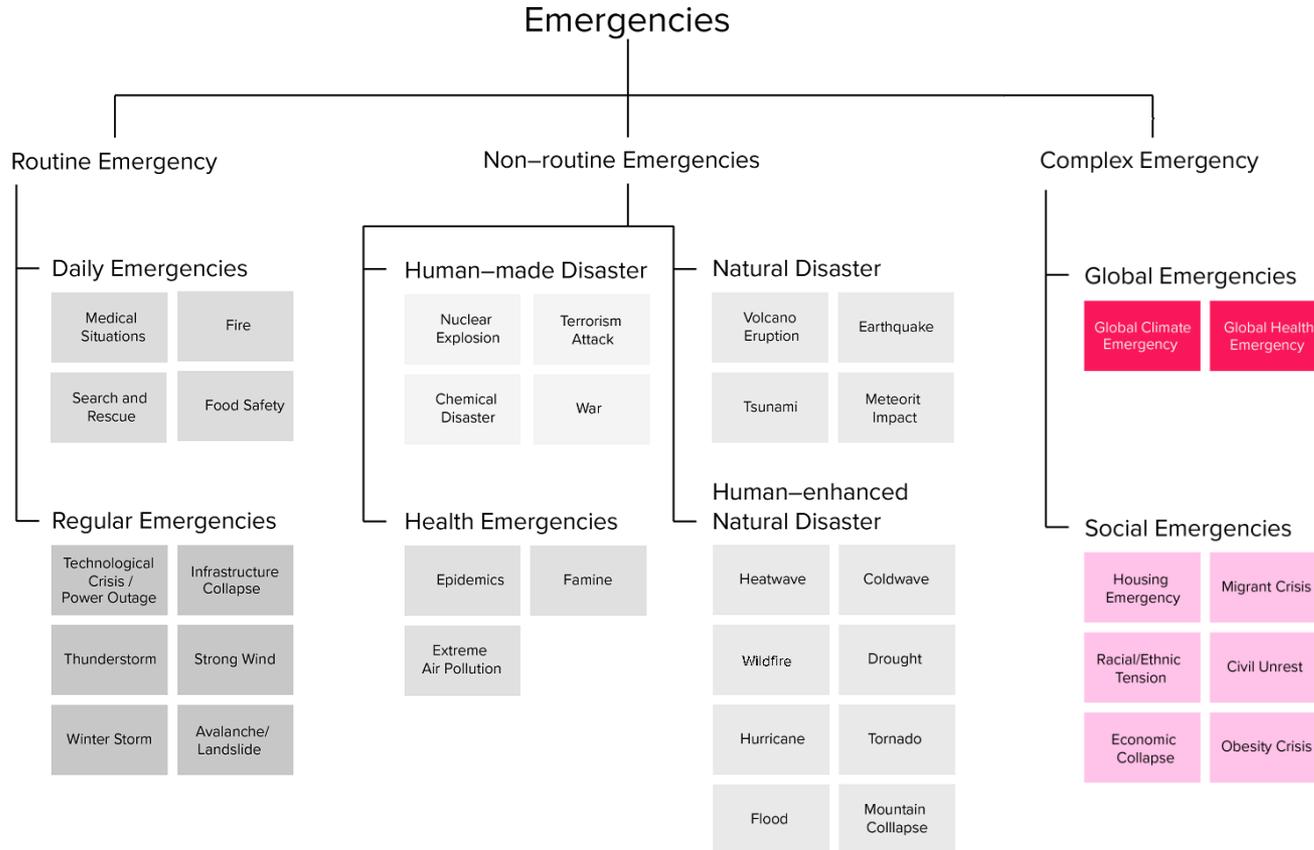
POSITIONING COMPLEX EMERGENCIES



POSITIONING COMPLEX EMERGENCIES



POSITIONING COMPLEX EMERGENCIES



Complex Emergencies are long emergencies which are political in nature and mostly beyond social memory:

- high degree of uncertainty, unknown feedback loops and are difficult to define
- perceived trade-offs between 'lives and livelihoods'
- considerable political challenges
- delayed disasters and delayed effects of actions
- opposition due to strong vested interests
- no, or low-level trigger moment
- existence of emergency response paradox
- limited direct experience-ability of emergency

**CLIMATE EMERGENCY DECLARATIONS
UP TO DECEMBER 2020**

source: climateemergencydeclaration.org

820,000,000

citizens

1,863

jurisdictions and local governments

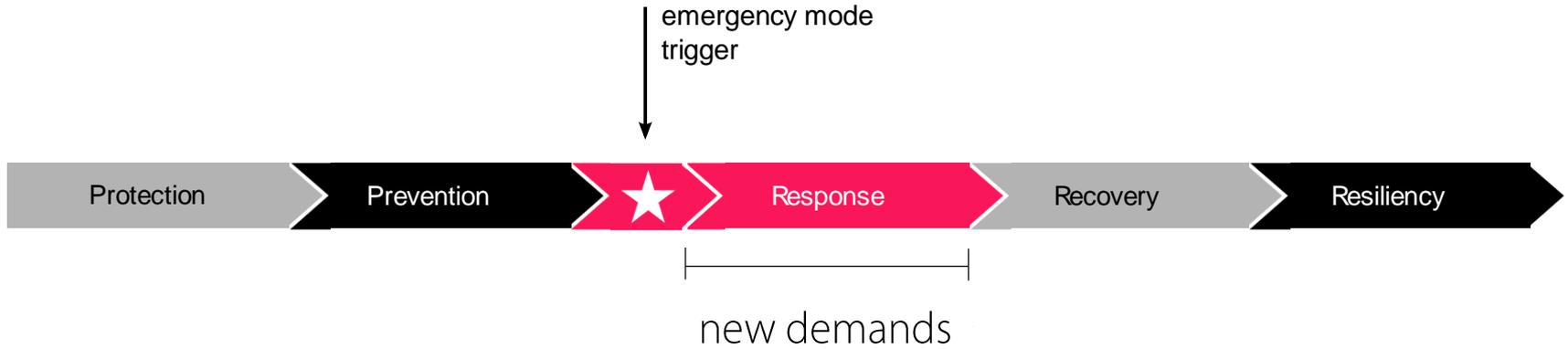
33

countries

but little experience, knowledge and exchange on

governing complex emergencies

EMERGENCY GOVERNANCE SPECTRUM





CENTRO DE OPERAÇÕES PREFEITURA DO RIO





EMERGING PRINCIPLES FOR GOVERNING COMPLEX EMERGENCIES

1. Emergency governance requires **government to be in the driving seat** as convener in chief.
2. **Human rights and social justice** require the utmost attention.
3. Governing complex emergencies requires **new forms of democratic legitimacy**
4. A **'governance by empathy'** is required to ensure collaboration, co-creation and caring are part of emergency responses.
5. Utilising existing trust and trusted institutions, critical **truth-telling and acknowledging the scale of problem** plays a key role in governing complex emergencies.
6. Emergency governance needs to **embrace a systems approach** rather than adopting sectoral perspectives.
7. Emergency governance requires **hybridity, combining hierarchical and network governance.**
8. **Multilevel emergency governance** requires particular attention.
9. **Differentiating planning and implementation roles** are a helpful starting point for structuring emergency governance systems.
10. There is **no 'one size fits all' approach** to suit all local circumstances and contexts.

KEY FINDINGS AND HIGHLIGHTS

ANALYTICS NOTE #03

THE IMPACT OF THE COVID-19 PANDEMIC ON SUBNATIONAL FINANCES

Emergency Governance for Cities and Regions
January 2021





INTRODUCING ANALYTICS NOTE #03

This Analytics Note focuses on the impacts of the COVID-19 pandemic on subnational finances. The information comes from a survey of finance departments of city and regional governments conducted from 1 September to 1 December 2020. **Sample comprises 13 territories from 22 countries across all continents, with average representation of 60% from Europe (44%), Asia (21%), and Africa (15%).** The average population of these administrative territories is 6.1 million, but population ranges from fewer than 50,000 inhabitants to over 7.4 million.

The survey findings were complemented by a review of secondary sources and primary data collected by other initiatives and international organisations (OpenStax) to the original sources are provided in the text.

The publication is the third in the series of Analytics Notes by the Emergency Governance Initiative (EGI), 18 **Notes** **Agencies**, **NGOs** and **think tanks** on the prevention and demands of cities and regions for international information exchange to help inform emergency governance. Based on survey responses, it was noted that the emergency information gap was to include to revenue and finance. This Analytics Note was developed to address this gap.

The data-driven Analytics Notes are published alongside Policy Briefs which further expand findings presented, where agencies, government researchers and critical practitioners. **Policy Brief #03 is featured here in this report, table and expands on the findings outlined in this note.**

ACKNOWLEDGEMENTS

The EGI team would like to thank the dozens of local and regional government officials that took time out of their busy schedules to respond to the Municipal Finance and the President, survey, describe the current picture and the processes of the emergency response. The survey engagement is facilitated by the fact that subnational governments request information responses to this emergency.





ANALYTICS NOTE #01

COVID-19 MONITORS OF RELEVANCE TO URBAN AND REGIONAL GOVERNANCE

Emergency Governance Initiative for Cities and Regions
June 2020





THE INITIATIVE

This Analytics Note is part of the Emergency Governance Initiative (EGI) led by United Cities and Local Governments (UCLG), World Association of Major Metropolises (WAMM) and 145 Cities of the London School of Economics and Political Science. **This initiative investigates the institutional dimensions of rapid and radical action in response to global emergencies.**

The current COVID-19 systems has become the strongest indicator for the first governance specific at various levels of government full start of delivering adequate responses to complex, global emergencies. This includes approaches to urban and regional governments that will have to change rapidly to deal with the challenge of this century. These social governance models are critical, accelerated the requirement for subnational governments to the global health and climate crisis, natural disasters, water and growing inequalities, armed, socio-economic and political shocks, and a more highly global economy.

Global and complex emergencies become more frequent, urgent and require action regarding the entire to which urban and regional governments are required to take rapid and radical action. **This initiative will explore the evolution of urban and regional governments in relation to the COVID-19 outbreak, focusing on the city and regional governments on leading the transition to and out of emergency modes, and whether they are meeting this request with other tiers of government to bring it.**

The Emergency Governance Initiative is to provide city and regional governments with **actionable information, reliable resources, knowledge and resources to highlight the new demands of leading emergency responses.** That request, to put in place to inform the government of point changes that are increasingly based on complex emergencies; slow all, pandemics or climate change. In this respect, governments' understanding of the process by which public policy decisions are made and implemented. This includes the expertise of practitioners and administrative authority to manage a jurisdiction's affairs. The success ranges from issues of power, communication and services to the institutionalisation, coordination, collaboration and multi-level administration, finance and stakeholder

participation. Urban and territorial government cuts across a variety of coordination models among different actors responsible for governing cities, metropolitan, regions and wider territories.

This Initiative covers an emergency as a situation that poses an immediate and significant risk to health, life, property, or the environment. Emergency response action to prevent the worsening of the situation. Maximising the necessary resources and directing attention to address the emergency as part of this response.

THE ANALYTICS NOTES

This Analytics Note is the first in a series of regular publications that will update the most up-to-date local and regional government developments in the global response to the ongoing crisis, drawing attention to areas of facing interest for leaders and policy makers managing not only this pandemic, but also diverse future emergencies.

These data-driven notes will be complemented by quarterly Policy Briefs. These, in turn, will highlight the most important general developments to greater detail while also equipping the analysis beyond the COVID-19 outbreak. Policy Briefs will also feature urban and regional government institutions and concrete interventions that may become institutionalised to respond to other great challenges and emergencies.





POLICY BRIEF #01

EMERGENCY GOVERNANCE FOR CITIES AND REGIONS

Emergency Governance Initiative
July 2020





POLICY BRIEF



ANALYTICS NOTE #02

THE COVID-19 RESPONSE: GOVERNANCE CHALLENGES AND INNOVATIONS BY CITIES AND REGIONS

Emergency Governance for Cities and Regions
July 2020





INTRODUCING ANALYTICS NOTE #02

This Analytics Note focuses on the priorities and demands of cities and regions for international information exchange linked to emergency governance. The information underpinning this Analytics Note is based on a survey of city and regional governments, and complemented by additional analysis of online resources.

The **global connectivity** of the crisis identified a wealth of active resources and data on the critical and economic impacts of COVID-19 alongside a documentation of the global emergency response. Although most of these resources focus on the impact of the virus and the crisis response at the national level, some do target sub-national governments. Also, while there is little word from an operations of governments across these resources, there are some that include initial insights into emergency governance by cities and regions.

This publication presents a systematic analysis of these resources, establishing the gaps in information on emergency governance. These gaps are reviewed in consultation with the regional information needs of city and regional decision makers. Knowledge gaps and priority demands identified in this Analytics Note point to where research on emergency governance can be most use, and will be the task of future Emergency Governance Initiative publications to focus on responding to these demands. Policy Brief #02, published alongside this Analytics Note, makes a start on this task, featuring examples of innovative emergency responses to issues identified as priorities for additional information and resources: cooperation and collaboration with stakeholders; communication and consultation with citizens; coordination and information across different tiers of government; and information technology and data management.

ACKNOWLEDGEMENTS

The EGI team would like to thank the dozens of local government officials that took time out of their busy schedules to respond to the Municipal Finance and the short notice and the crisis they have been dealing with. The level of engagement is testament to the fact that subnational governments request information sharing and collaboration as key to developing appropriate responses to this emergency.





COVID-19 MONITORS OF RELEVANCE TO URBAN AND REGIONAL GOVERNANCE



Additional COVID-19 monitors or other resources of relevance to urban and regional governance can be registered [here](#).

SUMMARY OF MAIN FINDINGS

1. There is a **strong cross-cutting focus on health and economic development**. Global focus, european dominance
2. **The type of content** provided by the monitors set up so far is **mostly descriptive**.
3. **The most prominent governance sphere** that is addressed **remains the national level**.

Figure 3: Level of information on governance and institutions

Units: no. of monitors

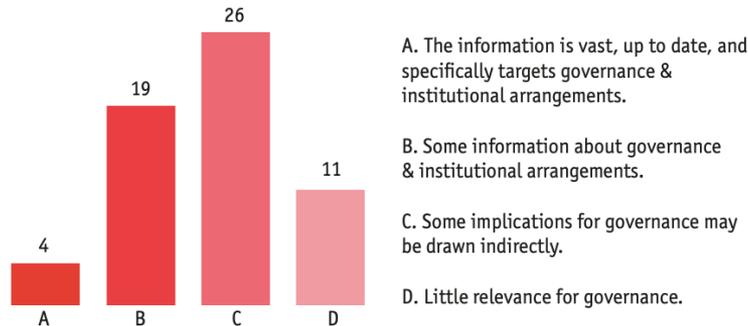
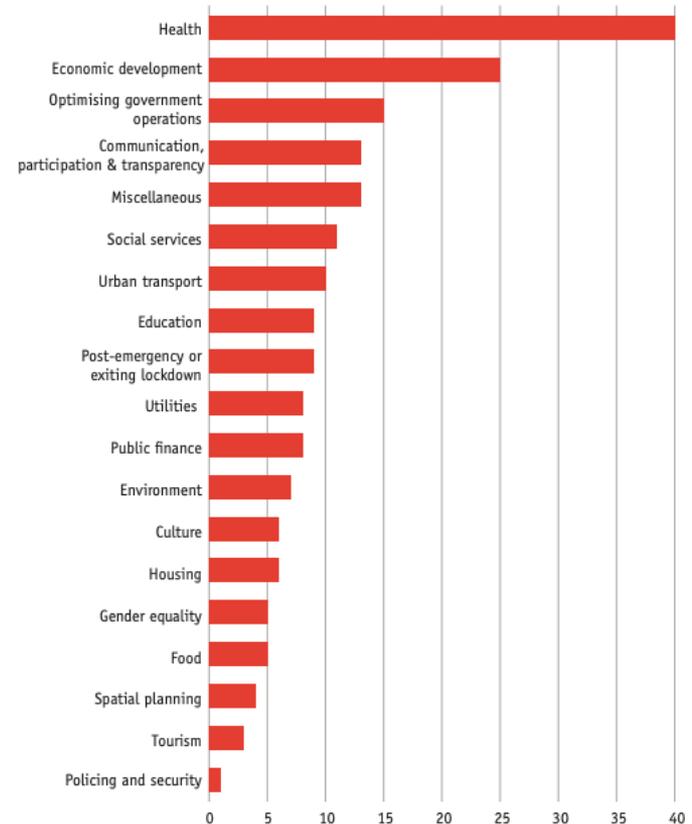


Figure 2: Thematic focus of monitors

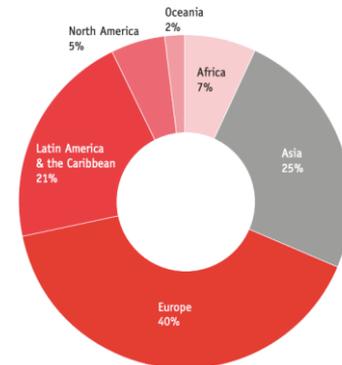
Units: no. of monitors



THE COVID-19 RESPONSE: GOVERNANCE CHALLENGES AND INNOVATIONS BY CITIES AND REGIONS



Figure 2: Geographical distribution of survey respondents



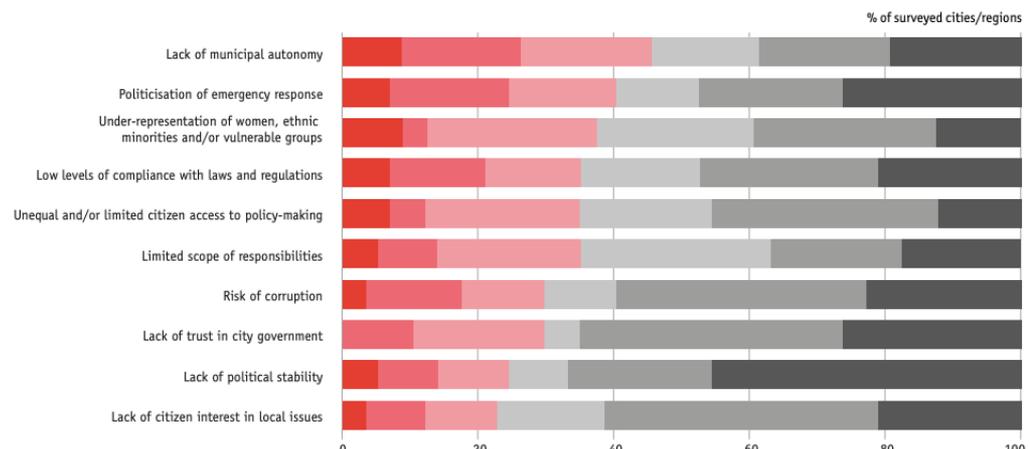
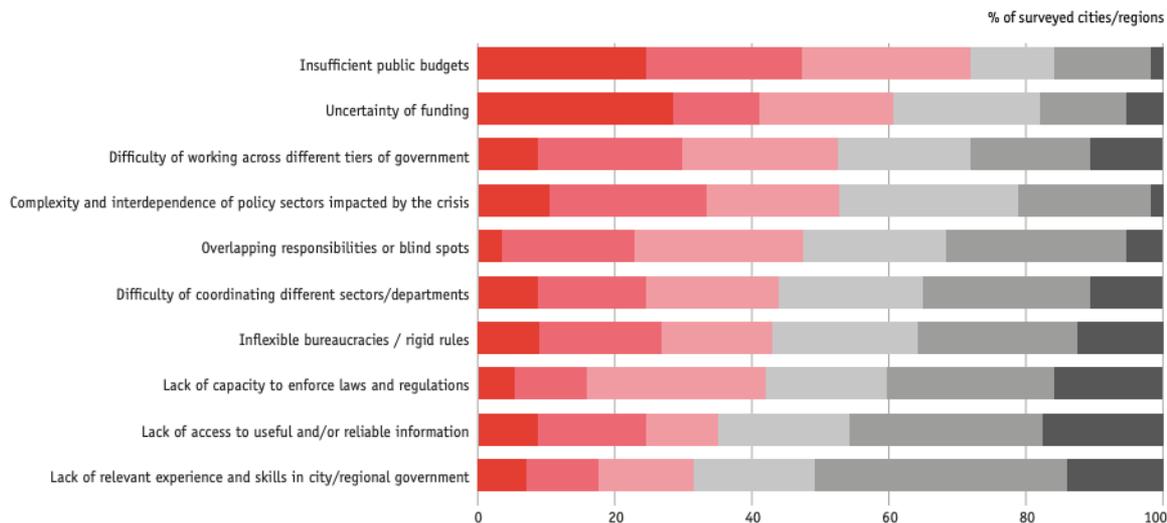
SUMMARY OF MAIN FINDINGS

1. Cities and regions **more frequently identified challenges related to administration, technical management, and innovation** than challenges related to the political domains of democracy, legitimacy, and inclusion.

In particular, many cities and regions highlight **lack of access to financial resources and uncertainty of future funding**, which can make strategic planning difficult.

However, a considerable number of respondents did perceive a lack of autonomy at the subnational level and a politicisation of the crisis to be challenging.

These survey findings were corroborated with findings from the analysis of online resources

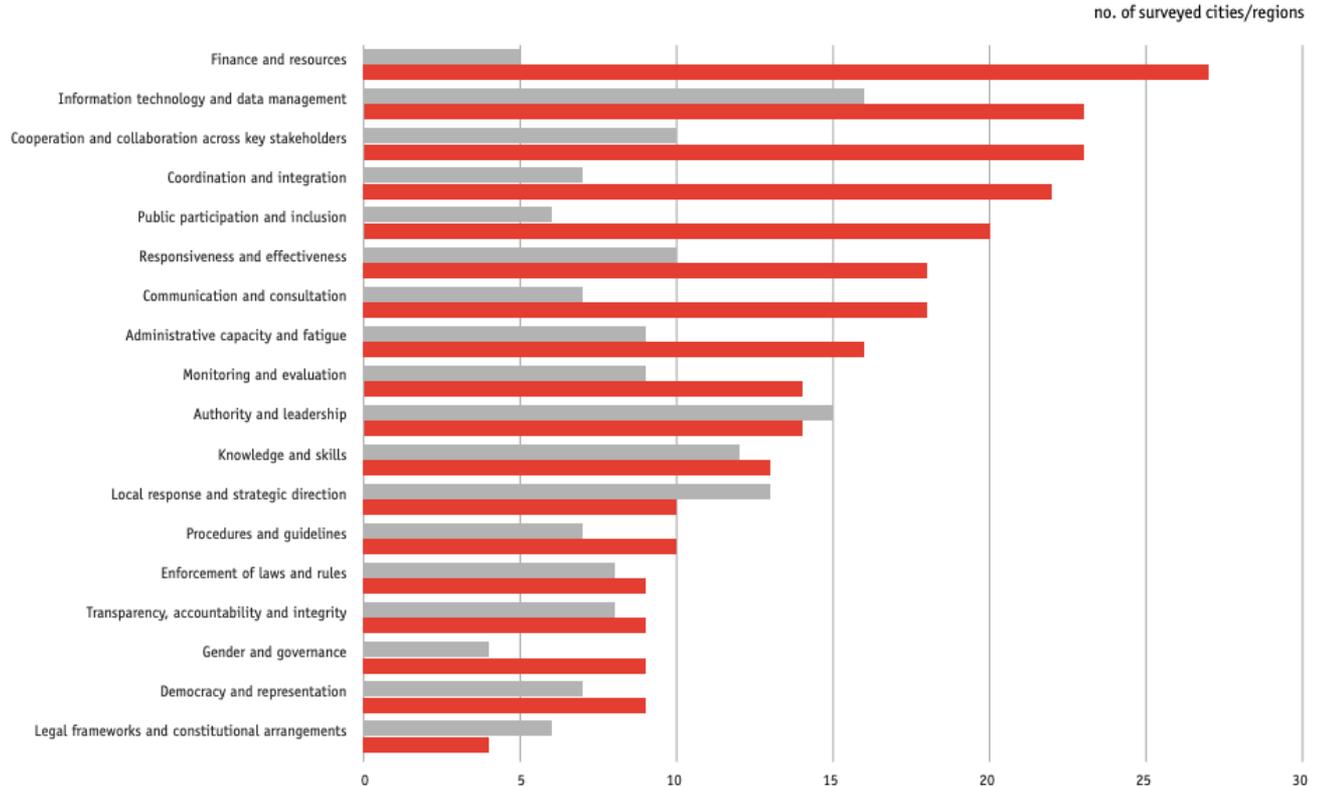


2. Cities and regions reported **most emergency governance innovations in (1) ‘authority and leadership’** and (2) ‘cooperation and collaboration with key stakeholders and (3) IT and data management

3. The **most often reported knowledge gaps in emergency governance are related to ‘finance and resources’, ‘public participation and inclusion’, and ‘coordination and integration across government units**

Figure 10: Survey Results - Knowledge gaps and innovative practices by emergency governance domain

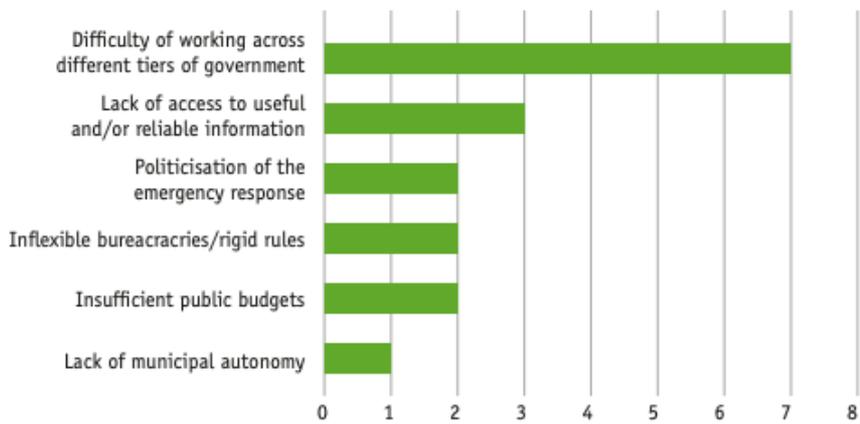
Grey = Highly innovative practices; Red = Knowledge gaps



EMERGENCY GOVERNANCE FOR CITIES AND REGIONS

Figure 1: Governance challenges referenced during Live Learning Experiences

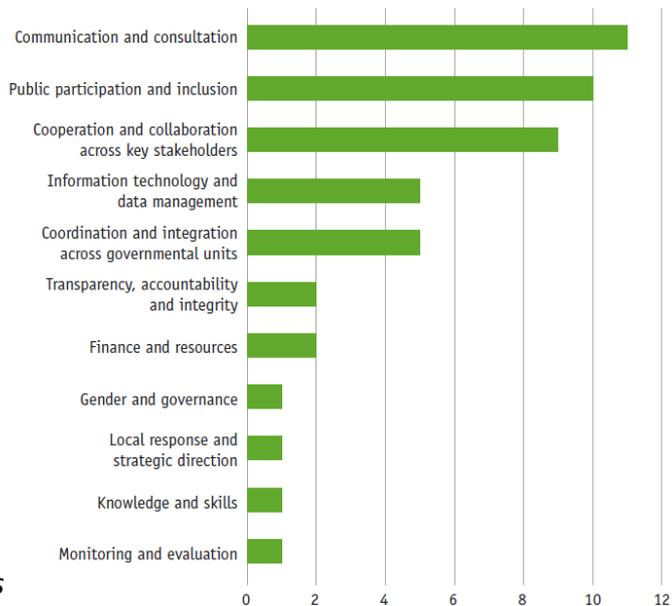
Number of mentions by participating cities and regions



Access the Live Learning Experiences Knowledge Hub [here](#) for over 40 hours of idea-sharing on urban responses to the COVID-19 challenges by almost 100 cities and regions

Figure 2: Emergency governance innovation registered during Live Learning Experiences

Number of mentions by governments for key emergency governance domains



THE BARCELONA DEAL: BUILDING A CITY-WIDE CONSENSUS TO GUIDE THE COVID-19 RECOVERY



Overview: innovating in cooperation and collaboration across key stakeholders

Virtual roundtables brought together over 200 city stakeholder groups and all 7 parties in the city council

What are the main objectives?

Collectively define the principles to guide the recovery from the economic crisis over the next 18 months, highlighting the importance of dialogue and co-responsibility

What governance challenges does it address?

Overcome partisan divides over the vision for the city and the inflexibility of the slow and rigid decision-making and participatory structures

What are emerging lessons?

Compromise constructs a way out of a crisis and provides opportunities for new participatory decision-making tools even in crisis times. A trade off is that follow up is required to move from high-level visions to concrete policy proposals

Watch [here](#) the interview with Laia Bonet, Barcelona's Deputy Mayor of Barcelona for the 2030 Agenda, Digital Transition, Sports, Territorial and Metropolitan Coordination, and International Relations

BOGOTÁ'S CITIZEN CULTURE: ESTABLISHING TRUST THROUGH OPEN COMMUNICATION

What are the main objectives?

Empower the public to feel ownership of the measures being introduced. Sharing data to ensure a transparent approach

What governance challenges does it address?

Overcome low citizen trust while in the early stages of the mandate

How is it innovative?

Emphasis on listening and learning: a two-way conversation. Adoption of a pedagogic, caring approach to make core messages clear and accesible to all

What are emerging lessons?

Trust can be built by integrating citizen culture into public policy by combining clear communication with social research to adjust policies and acknowledging success and failures at the individual and city level.

Watch [here](#) the interview with Luz Amparo Medina, Director of International Relations for the Capital District of Bogotá.



GAUTENG MULTI-LEVEL GOVERNANCE: REGIONAL COORDINATION OF COVID-19 RESPONSES

What are the main objectives?

Coordinate the emergency response across a heavily decentralised system of governance

What governance challenges does it address?

Ensure a cohesive and unified strategic direction at the provincial level while enabling local context-specific policies

How is it innovative?

Combination of central strategic direction and granularity to locally tailor emergency response, enabled by research partnership that made data available at the province level to guide strategy

What are emerging lessons?

Innovative MLG based on emphasis on focused leadership and tight coordination mechanisms and a data-driven, ward-based response



Screenshot of the [interview](#) with Mduzuzi Mbada, Head of the Policy Research & Advisory Services Unit, Office of The Premier of Gauteng Province

SEOUL DATA ANALYTICS: DEPLOYING BIG DATA AND TECHNOLOGY TO RESPOND TO COVID-19



Ji-hyun Kim, Manager of the Smart City Division of the Smart City Policy Bureau, Seoul Metropolitan Government.

What are the main objectives?

Seoul Smart City Platform to reduce virus transmission by using big data and engaging the public via innovative technologies and prepare for the next stage of the pandemic

What governance challenges does it address?

Overcome sectoral siloes in the SMG, which used to prevent information from being shared, and increase coordination while also communicating with the public

How is it innovative?

The speed, accuracy and integration of Seoul's contact tracing system sets it apart. It also swiftly pivoted mechanisms already in place to support the emergency response

What are emerging lessons?

Institutional flexibility and absence of excessive bureaucracy allowed SMG to repurpose SSCP for emergency response. Protecting users from infringement of privacy rights will remain a key issue when innovating with big data analytics.

THE IMPACT OF THE COVID-19 PANDEMIC ON SUBNATIONAL FINANCES

SUMMARY OF MAIN FINDINGS

1. **The emergency amplified old problems and created new ones:** insufficient funds are now more volatile and demand to be faced is higher while cities are less able to generate revenue

Scissor effect: on average, the cities and regions in the survey sample reported a **5% increase in expenditure and around a 10% decrease in revenue.**

- Financially independent subnational governments may have suffered **higher income losses:** the source of revenue associated with higher income losses was from tariffs and fees (-22% on average), followed by revenue from rent or sale of assets (-18% on average). Intergovernmental fiscal transfers were less affected (-8% on average).

- The financial challenges of subnational governments have been **exacerbated in some countries by restrictive regulatory environments**

- 21% of the cities/regions in the sample **borrowed money to tackle the emergency.** A majority (58%) chose not to, despite being able to had they wished, but the remaining 21% did not borrow due to legal constraints (15%) or lack of access to financial institutions (6%).

2. Local governments have **significant responsibility for financing policy sectors which are either inelastic in their demand or tend to have even higher demand** during an emergency. Repercussions of reallocating capital investments to finance operational responses challenge financial sustainability and prosperity

Figure 3: Responsibility for financing different policy sectors across tiers of government

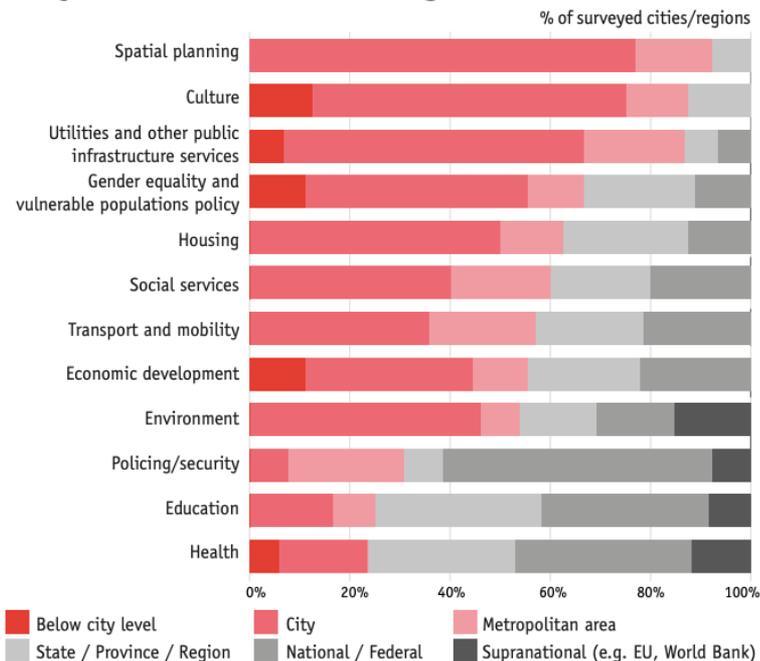
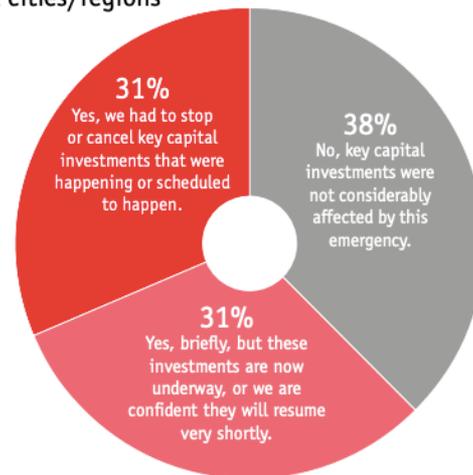


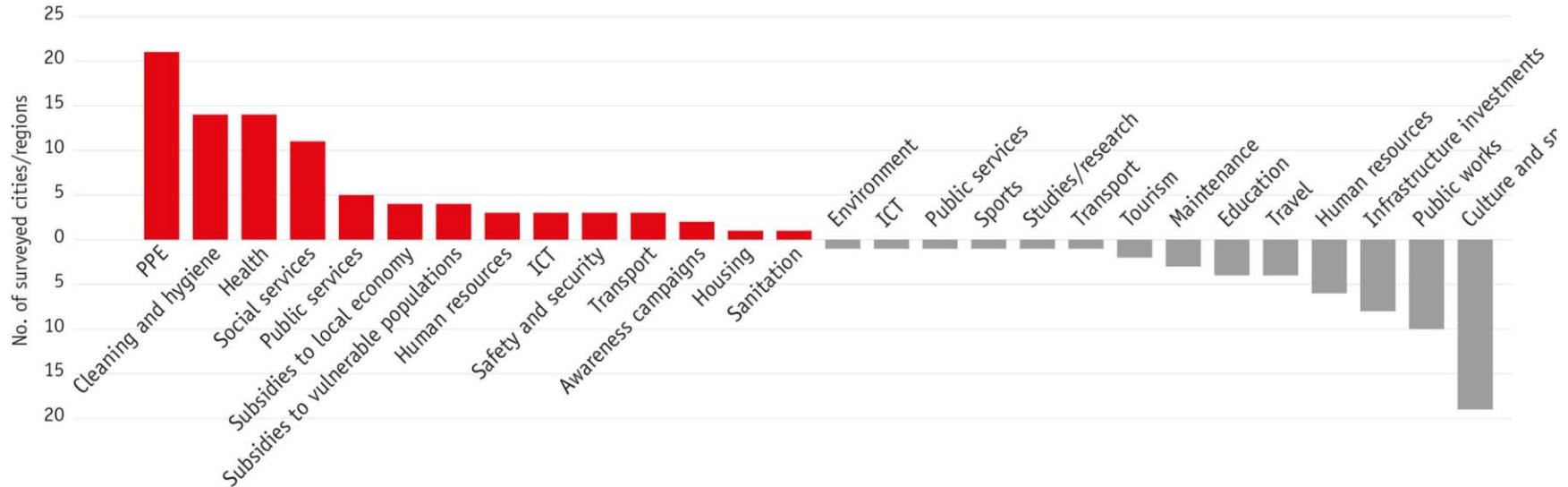
Figure 5: Postponement of capital investments (e.g. in infrastructure, housing, environment) to focus on emergency response

% of surveyed cities/regions



Prioritized and de-prioritized expenditure during the COVID-19 emergency response

Emergency Governance for Cities and Regions



3. The **national economic recovery packages** will give an indication of the positioning of city and regional governments, not only in the recovery, but also **in the configuration of postpandemic governance**

4. Finances are likely to remain strained for some time to come and **cities and regions will be required to innovate.**

This is the focus of the upcoming PB3 – stay tuned!

thank you

[Emergency Governance for Cities and Regions](#)

Ainara Fernández Tortosa
a.fernandez@uclg.org

Philipp Rode
p.rode@lse.ac.uk