Workshop Methodology to Assess Transformative Governance Arrangements

Objective: Evaluate the governance structures for a transformative task, analyse the strengths and gaps and identify steps for improvement. As an addition to the online self-assessment questionnaire (done individually), a workshop allows to expand the knowledge base and is a first step to improve governance.

Before the workshop, the organizers should define **a specific transformative task** as the workshop focus (e.g. improving heat management, greening of a public square, creating a refurbishment guideline, securing funds for a project). The understanding of this task should be deepened jointly during the workshop. It helps improve the analysis and achieve a joint vision of what needs to be done. Based on the task, the organisers should define a group of **relevant stakeholders** from the city administration, civil society, academia and the private sector.
During the workshop the groups will assess **the five dimensions** of governance (see Bressers et al. 2016). For this, worksheets are described in more detail below. - Goals and perspectives – Are clear goals defined for transformation? - Instruments and strategies – What policies and strategies are in place? - Actors and networks – Who are the key stakeholders, and how are they involved? - Levels and scales – How well is action coordinated across different levels (local, regional, national)? - Resources and responsibilities – Are roles, cooperation structures and finances well-defined? The suggested **agenda** of the workshop follows three steps: - **Definition of the task** at hand, including the challenges and the envisioned solutions - **Assessment** and discussion **of the governance structures** necessary to perform the task, along five dimensions - **Reflection** of the **takeaways and next steps** to improve the governance structures
After the workshop, organisers can go to the governance recommendations to see which are the most relevant against the backdrop of the workshop discussions and get ideas for further action. As an option, the online questionnaire can be filled in with the scoring results from the worksheets to see which recommendations are the most relevant in accordance with which dimensions need the most work.

The workshop methodology was tested with the UP2030 Pilot City of Budapest to assess the governance structures for heat management in the city. The city involved its climate department, other relevant city departments as well as several external stakeholders in the discussion which extended over an afternoon and a morning of two subsequent days. This enabled an analysis of opportunities to improve heat management by strengthening the strategy implementation and exploring more collaboration modes with different stakeholders, among others.

Possible Workshop Agenda

Timeframe: 8 hours; either on one day or on two half-days

Number of participants: Up to 20 with two parallel groups as in the agenda; with more participants, more groups should work on the governance dimensions in parallel.

Facilitators: 2 facilitators for group work, ideally with experience facilitating group discussions; if more groups are planned in parallel, adjust accordingly

Material: Flipcharts for the problem and solution tree exercises, one flipchart per group with governance dimension worksheets.

| PART 1: 3,5 HRS + 15 MIN BREAK		
Topic	**Method**	**Duration**
Welcome and introductions	A short round to get to know each other; agenda overview	20 min
Short input on transformative governance - Why do we discuss governance?	Presentation, see example slides in Annex II	10 min
Towards a joint vision of the task: - What is the issue at hand? Why are we working on it? - What are the specific challenges we tackle? - What are the reasons for the challenges?	[Problem tree](#)	45 min
Towards a joint vision of the task: - What do we need to tackle the issues identified?	Solution tree: Using the problem tree analysis, reflect what actions can help address the challenges and document this on the respective parts of the tree	30 min
Joint reflection on transformative governance - What governance is needed to achieve this change? - What regulations and strategies are needed? - Who should be involved? How should they cooperate? With what resources?	Plenary discussion documented on sticky notes	15 min
Break		15 min

Assessment of the following in working groups of max. 10: - GOALS AND PERSPECTIVES - INSTRUMENTS & STRATEGIES	- Use the worksheets to collect information on each field and then to score it from 0 to 4 - One working group per dimension	45 min
Presentation and joint reflection on needs/next steps	- Each group briefly presents their results (10 min) - All participants discuss what the learnings are in terms of strengths and weaknesses and what specific actions can help improve the respective governance dimensions (30 min)	40 min
Wrap-up		5 min

PART 2: 3,5 HRS + 20 MIN BREAKS		
Topic	**Method**	**Duration**
Introduction to part 2	- If taking place on a different day, a short recap of part 1 and agenda overview - If taking place on same day, a post-lunch energizer and agenda overview	10 min
Assessment of the following in working groups of max. 10: - ACTORS & NETWORKS - LEVELS & SCALES	- Use the worksheets to collect information on each field and then to score it from 0 to 4 - One working group per dimension	45 min
Presentation and joint reflection on needs/next steps	- Each group briefly presents their results (10 min) - All participants discuss what the learnings are in terms of strengths and weaknesses and what specific actions can help improve the respective governance dimensions (30 min)	45 min
Break		15 min
Assessment of the following in working groups of max. 10: - RESOURCES & RESPONSIBILITIES	- Use the worksheet to collect information on each field and then to score it from 0 to 4	30 min

	- Jointly or in two parallel groups using the same worksheet, depending on the number of participants	
Presentation and joint reflection on needs/next steps	- If done parallel groups: Each group briefly presents their results (10 min) - All participants discuss what the lessons are in terms of strengths and weaknesses and what specific actions can help	20 min
Break		5 min
Joint discussion of gaps and useful next steps	Use the scoring of the five dimensions to discuss specific steps to improve the two or three lower-scoring ones, e.g.: - Put up all the worksheets and discuss where action is needed most in accordance with the scoring; pick 2 dimensions (15 min) - Gather ideas on the actions to improve the 2 dimensions identified by asking each participant to write and present 2 cards with specific actions (5 min writing + 15 min presentation) - Discuss the different actions as a group and allow for further ideas; options to cluster and / or prioritise the cards on a pinboard – or do this after the workshop (15 min)	50 min
Wrap-up	- Short summary, thanks and next steps	10 min

Annex I: Worksheets to Assess the Governance Dimensions

- Print these worksheets in sufficient size to document the groups discussion on them or draw their structure on a flipchart (see example from the Budapest test workshop below).
- Fill out the different fields with groups of up to 10 people.
- You can bring the printed self-assessment questionnaire to the workshop and use it for scoring guidance.
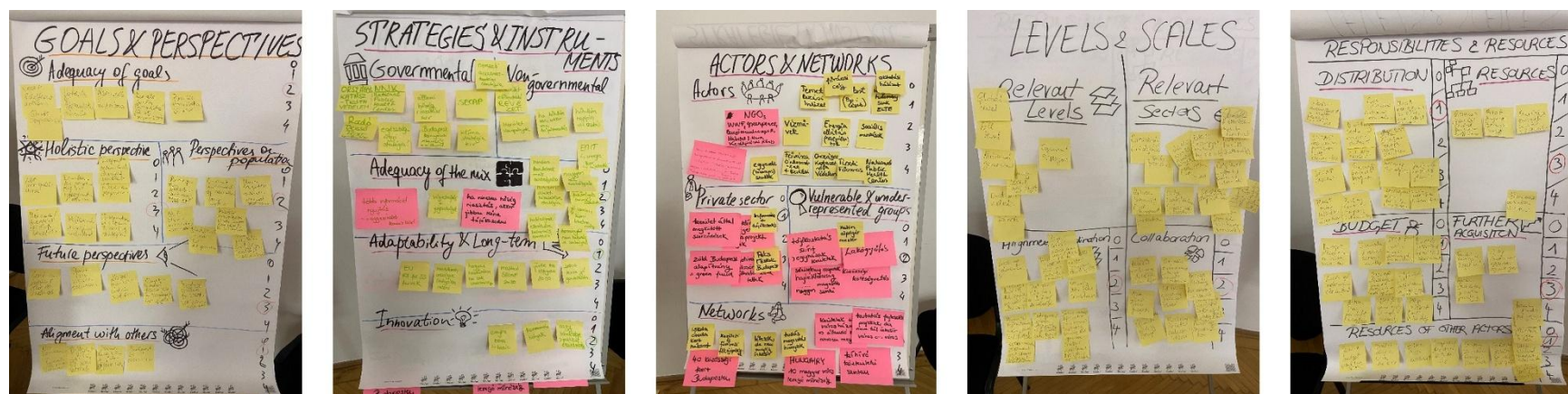
Goals & Perspectives

Are the goals and objectives with regard to the issue in question well-developed?
(SMART – Specific, Measurable, Achievable, Relevant, and Time-Bound)

0
1
2
3
4

Does current political action take a comprehensive perspective on the issue in question?

0
1
2
3
4

Does setting the goals s include an appropriate procedure to consider different groups of the population?

0
1
2
3
4

Do the goals account sufficiently for the future, including possible "unknowns"?

0
1
2
3
4

Are goals on the issue in question shared by/match with other stakeholders (e.g. civil society, commercial chambers, etc.)?

0
1
2
3
4

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Strategies & Instruments

Please **list** relevant instruments and strategies in place. If possible, also think about non-governmental actors who often have their own strategies.

Is there an **appropriate mix** of regulatory, strategical, economic, co-operative and informational instruments?

0
1
2
3
4

Do these instruments allow to plan in the **long term**, adapt to change and deal with uncertainties?

0
1
2
3
4

Do these instruments promote **innovation** for transformative change?

0
1
2
3
4

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Actors & Networks

Please list the **actors outside the city administration** that are relevant for the area in question.
Identify the most important ones. Does **appropriate mode of interaction** with them exist with regard the area in question?

0
1
2
3
4

Is the **private sector** involved and takes active roles in the area in question?

0
1
2
3
4

Is there an effective mode of including the needs and perspectives of **the vulnerable and under-represented groups** in decision-making processes?

0
1
2
3
4

Do **networks** exist and are they utilised effectively where stakeholders work with the city on the area in question?

0
1
2
3
4

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Levels & Scales

Please list the **relevant political levels**, indicating roughly where the legislative and executive competences lie.

0
1
2
3
4

Please list the **different sectors** involved in the area in question and the mechanisms bring them together.
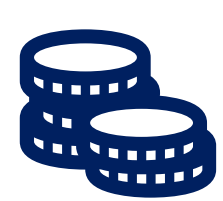
0
1
2
3
4

Are existing political levels **well-aligned** for effective action? Are appropriate **coordination** mechanisms in place?

0
1
2
3
4

Do the relevant sectors and units **collaborate** well?

0
1
2
3
4

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Resources & Responsibilities

Are the roles and responsibilities for the issue in question clearly and appropriately distributed?	0 1 2 3 4
Are the main actors tasked with responsibilities well-equipped to take them (e.g. time, skills, organisational support, technology/tools)?	0 1 2 3 4
Is sufficient budget allocated to the tasks and/or units involved in the issue in question?	0 1 2 3 4
Are there workable procedures in place to acquire additional resources if needed (incl. financial, human, knowledge)?	0 1 2 3 4
Is there sufficient allocation of financial and human resources to the issue in question by private actors?	0 1 2 3 4

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Annex II: Presentation Slides on the Basics of Transformative governance

Five Dimensions of Governance

Goals & Perspectives

Are goals and objectives defined well (comprehensive, differentiated, fit for the future, aligned with stakeholders)?

Strategies & Instruments

Are the instruments appropriate to pursue the goals (adequate mix, long term, innovation, also by non-public actors)?

Levels & Scales

Which political levels have a mandate? Which sectors are involved and how? Are these well-aligned / coordinated?

Actors & Networks

Which other stakeholders are involved? How are vulnerable groups considered? Which networks exist?

Resources & Responsibilities

Are the resources and responsibilities well allocated (clarity, enough time and skills, budget, procedures, also by private sector)?

See Bressers et al. 2016

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General scoring scale

0 / None – Nothing is yet established or available.

1 / Initial – There are some initial structures or efforts, but not yet a steady mode.

2 / Basic – There is a basic working structure or mode that is able to perform to a basic standard.

3 / Good – The existing structure or mode work well.

4 / Advanced – The existing structure is sophisticated and well-developed, well above average.