Stage 1 - LEADERSHIP FOR ORGANISATIONS

Module 26 – COE TOOLS FOR GOOD DEMOCRATIC GOVERNANCE

The Leadership Academy is a learning and action programme for mayors, senior officials and elected representatives of local government.

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Centre of Expertise
for Local Government Reform

COUNCIL OF EUROPE

CONSEIL DE L'EUROPE

1 MODULE OVERVIEW

1.1 BACKGROUND

- The development and promotion of new innovative capacity-building tools is among the priorities of the Centre of Expertise for Local Government Reform of the Council of Europe. These tools take inspiration from the best of European practice and enable the reinforcement and evaluation of local authorities' capacities in a variety of areas. The tools are regularly revised and updated.

- The Centre builds on a unique set of European standards and the 12 Principles of Good Democratic Governance. It has a repertoire of 18 capacity-building toolkits representing the practical crystallisation of the Council of Europe standards and best European practice, enabling the evaluation and reinforcement of the capacities of local authorities.

1.2 LEARNING OBJECTIVES

- To gather an understanding on the Council of Europe Tools for achieving Good Democratic Governance.

1.3 LEARNING OUTCOMES

- Participants are familiar with the CoE tools for Good Governance.
- Participants identify which are the tools deemed priority/most relevant for their context.

1.4 DURATION

- 115 minutes

2 MODULE STRUCTURE

2.1 INTRODUCTION

- The CoE framework and tools for achieving Good Democratic Governance are introduced to participants.

2.2 GROUP EXERCISE 1— IDENTIFYING PRIORITY TOOLS

- Participants work in small groups (3-4 people per group) to identify priority areas in which they could apply CoE tools.

2.3 FEEDBACK AND DISCUSSION 1

- Participants are facilitated into a feedback session on the identified priority areas and tools.

2.4 GROUP EXERCISE 2 – REQUESTING THE APPLICATION OF A TOOL

- Participants work in groups to simulate the drafting of a request to the Council of Europe for the application of a relevant tool in their context.

2.5 FEEDBACK AND DISCUSSION 2

- Participants are facilitated into a feedback session on the draft request.

3 WORKING DEFINITIONS

3.1 GOOD DEMOCRATIC GOVERNANCE

Governance can be broadly defined as the traditions and institutions by which authority in a country is exercised. This includes (a) the process by which governments are selected, monitored and replaced; (b) the capacity of the government to effectively formulate and implement sound policies; and (c) the respect of citizens and the state for the institutions that govern economic and social interactions among them[1].

For the purpose of LAP Good democratic governance is a multi-faceted concept, drawing on the 12 Principles, rules and practices as defined by the Council of Europe.

3.2 TOOL/TOOLKIT

In its efforts to support public authorities of Member States to achieve good democratic governance at all levels, the Council of Europe, through its Centre of expertise has developed a number of tools, handbooks and manuals, addressed to policy-makers and practitioner.

These tools take inspiration from the best of European practice and enable the reinforcement and evaluation of local authorities' capacities in a variety of areas. The tools are regularly revised and updated.

All interested bodies are encouraged to use the tools, provided that the copyright is respected, qualified and certified by the Centre experts are used, and the Centre is informed. The Centre can aid in the tools' adaptation, implementation and training of national experts.

3.3 CAPACITY BUILDING

Through its Centre of expertise, the Council of Europe provides capacity-building programmes and policy and legal advice to local, regional and national authorities, in order to support on-going processes of reform of public administration and local government. The Centre is directly connected to the European Committee on Democracy and Governance (CDDG) and therefore has a ready access to high-level government officials from the 47-member States and a reservoir of knowledge.

3.4 URSO

The URSO acronym embodies the paradigm of the Council of Europe with regards to the tools, frameworks and interventions that it fosters in order to support public authorities in Member States in achieving good democratic governance. That is, all CoE interventions and tools aim to be:

USEFUL – providing concrete support and instruments to public authorities in the field at stake.

RELEVANT – strengthening users' capacity in managing existing systems, while providing a standard structure for the setting up a comprehensive strategy.

SUSTAINABLE – supporting the improvement of existing programmes and adapting them to changing contexts and evolving needs.

OWNED – supporting the adaptation to national and local context which empowers local actors to them to use the tool at stake independently and within context-specific practices and procedures.

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[1] Kaufmann, D. et al. (2010). The Worldwide Governance Indicators: Methodology and Analytical Issues, World Bank, Brookings Institution, the International Bank for Reconstruction and Development/World Bank - http://info.worldbank.org/governance/wgi/pdf/WGI.pdf

4 KEY CONCEPTS

4.1 THE TOOLS FOR GOOD GOVERNANCE[2]

4.1.1 CLEAR – Citizens Participation

The Toolkit aims to aid public authorities in understanding their communities' propensity and capacity to participate, as well as their own resources to support this process.

The toolkit is designed to help local authorities by providing a self-assessment instrument to develop effective policy responses.

The self-assessment consists in a number of q guiding questions that relate to the 5 dimensions of analysis that the acronym 'C.L.E.A.R.' embodies:

- **C**an do – that is, citizens have the resources and skills and knowledge to participate;
- **L**ike to – that is, citizens have a sense of attachment that reinforces participation;
- **E**nabled to – that is, citizens are provided with the opportunity to participate;
- **A**sked to – that is, citizens are involved by official bodies or voluntary groups;
- **R**esponded to – that is, citizens see evidence that their views have been considered.

4.1.2 Civil Participation in Decision-Making

The Toolkit aims to channel all the insights and recommendations of the CoE into an integrated framework that guides local authorities and practitioners, through a step-by-step approach, in the design and implementation of context-based strategies to increase a community's civil participation.

In order to achieve these aims, the Toolkit proposes a three-steps process, as follows:

- STEP 1 - Community Evaluation – to contextualise a participatory decision-making process.
- STEP2 – Stakeholders' Identification and Evaluation - to identify stakeholder's' capacities and willingness to engage.
- STEP 3 – Stakeholders' Plotting – to graphically plot each stakeholder on a graph, where his/her interest to engage as well as relevance in the process are clearly identified.

Finally, the Toolkit offers an overview of strategies to activate the processes of participation for different stakeholders, based on the assessment of their potential to engage, and to enhance the level of participation.

4.1.3 ELoGE – European Label of Governance Excellence

The European Label of Governance' Excellence is awarded to local authorities having achieved a high overall level of good governance measured against 12 Principles of Good Governance at Local Level and the relevant benchmark. Local authorities who wish to apply for the Label are evaluated according to the following tools: a benchmark, a survey for citizens, a survey for local elected representatives.

The evaluation allows local authorities to understand their strengths and their weaknesses when providing public services to communities and exercising authority. To improve the quality of local governance, local authorities can use the tools provided by the Centre of Expertise or turn to their colleagues' best practices for inspiration.

The structure of the Programme envisages the following steps:

- Request for accreditation to CoE by national institutions
- Adaptation of the benchmark

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[2] All presented tools and toolkits are available at https://www.coe.int/en/web/good-governance/toolkits#{"25571686":[1],"25571958":[3],"25572012":[2],"25572049":[1],"25572073":[]}

- Training on implementation for adhering municipalities
- Municipalities self-assessment
- Collection and analysis of results from municipalities
- Identification of municipalities closest to the implementation of the 12 Principles
- ELoGE Award Ceremony
- Sharing of experience between municipalities

4.1.4 E-TOOL on Good Governance at Local Level

The project aims to support the on-going process of local government to promote ethical behaviour by locally elected representatives in the EU regions, and to support the improvement and human resources managements of local administrations, based on European standards and benchmarking processes. It aims to develop an eTool on Good Governance at local level, based on the Council of Europe work on this field, in particular the 12 European Principles on Good Democratic Governance and the European label on Governance Excellence.

4.1.5 TNA – Training Needs Analysis and National Training Strategies

The TNA toolkit sets out the four steps in training needs analysis and offers guidance in developing national training strategies for local governments.

The TNA exercises aims to provide support in the identification of problems in the operations of local governments (governance, implementation) which have knowledge gaps or skills gaps as their root causes.

The TNA diagnosis is part of a wider (and on-going) process that aims to provide guidance for the development of national training strategies.

The Toolkits' structure develops as follows:

- Gap analysis (status quo vs desirable state);
- Reasons behind problems, their consequences and background;
- Validity of training activities and hierarchy of their importance for the organization;

- Scope and topics of training and possible organisational solutions.

4.1.6 HRM – Human Resources Management

Modern and effective human resource management is at the heart of good governance at local level. The HRM toolkit is developed, adapted and refined through intergovernmental exchange, experience, field observation and practice. Promoting modern HRM practice will contribute to an efficient and accountable public administration for the benefit of citizens thus making local governments more effective.

This Toolkit is designed for use by human resources practitioners in local authorities, as well as senior management and elected members of local authorities concerned with public service reform and improving people management.

Toolkit is structured in five parts designed to introduce, describe and illustrate the main points of human resources management:

- Part 1 – The importance of Modern and Effective HRM;
- Part 2 – Presentation of Standards and HRM Tools;
- Part 3 – Applying Performance Mechanisms and Indicators to HRM;
- Part 4 – Practical Programmes for Improving HRM with Peers;
- Part 5 – case studies of HRM Tools and Good Practices.

4.1.7 LAP – Leadership Academy Programme

The LAP course is an interactive training programme for public authorities to develop leadership for organisations, leadership for strategy and leadership for capacity building.

The Leadership Academy Programme (LAP) is a learning and action course targeting senior officials and elected representatives of public organisation. It is an interactive programme, applying collaborative methodologies to the learning process. LAP is delivered, over a period of six months, in three separate sessions (Leadership for Organisations, Leadership for Strategy and Leadership for Capacity Building) lasting three days, to groups of up to 25 participants.

LAP ultimate objective is to equip participants with the knowledge and the tools to deliver good governance through high-performing local government organisations. LAP is adjusted to local training needs with the aim to focus on learning areas relevant to local contexts whilst ensuring the widespread achievement of CoE training objectives.

The Programme is structured into the following stages:

- Stage 1 - Leadership for Organisations
- Stage 2 - Leadership for Strategy
- Stage 3 - Leadership for Capacity Building

4.1.8 URSO – Monitoring and Evaluation Methodology

Whether laws, decrees or regulations created by elected representatives (i.e. legislative policies), rules, guidelines, principles or methods created by regulatory agencies (i.e. regulatory policies) or practices established within an organisation (i.e. organisational policies), often policies rest on visions and hypothesis. Policies operate within complex systems, which both influence and are influenced by them. The monitoring and evaluation of any public policy and intervention becomes, therefore, essential to examine their content, implementation and impact enabling the understanding of their quality, significance and usefulness.

URSO toolkit intends to contribute to the enhancement of Human Resources Management by providing concrete tools and procedures to be implemented within the Monitoring and Evaluation of the training programmes delivered to public employees.

The Toolkit is structured in two main sections:

- Section 1 - Understanding monitoring and evaluation;
- Section 2 - The monitoring and evaluation methodology

4.1.9 PMP – Performance Management Programme

"Performance management" is a tool to improve the quality of public services for citizens. It allows an organisation to set out what it wants to achieve and how it will deliver its aims. Elected members, officers and the public will all be clear about what success will look like, such as improved roads, better waste collection services and improved recycling.

Performance management processes are used to drive up the standard of public services. The PMP toolkit complements the Strategic Municipal Planning toolkit and can help ensure successful deliver of the community strategy and improved services to citizens. This Toolkit includes concrete examples, a comprehensive methodology and a self-assessment tool.

The Toolkit's structure develops into the following sections:

- Setting a clear strategic direction
- Applying performance management
- Types of performance indicators
- Monitoring, reporting and developing a performance culture
- Case studies
- Self-assessment tools
- Performance management cooperation Programmes - CoE

4.1.10 SMP – Strategic Municipal Planning

A Strategic Municipal Plan sets out the vision and ambitions (aims and objectives) of the Municipality for the medium-term future. In preparing a Strategic Municipal Plan the Municipality has taken care to establish a clear understanding of what local people and other key stakeholders want, what is achievable given the resources and assets of the Municipality and the overall municipal vision to be met.

The Toolkit outlines the steps and actions involved in developing a municipal vision and Strategic Plan as well as the related performance indicators to be developed to make sure that such a plan is successfully implemented, and foreseen objectives met. The Toolkit is based on the conclusions and data collected thanks to Strategic Municipal Planning and Performance Management Programmes implemented by the Council of Europe in Albania, Armenia, Georgia as well as Serbia

The Toolkit is structured in two sections, as follows:

- Section 1 – Introduction to Strategic Municipal Planning
- Section 2 – Steps of Strategic Municipal Planning

4.1.11 BPP – Best Practice in Local Government Programme

The BPP toolkit provides municipalities with ideas and guidance to promote successful, transparent, adequate, replicable and sustainable practice. It focuses on ways in which best practice can be successfully shared with other municipalities. The result is an enhanced reputation of municipalities as leaders in projects and quality service delivery.

The Toolkit is structured in two parts, as follows:

- Part 1- Identifying and celebrating best practice
- Part 2 – Transforming best practice into a training programme.

4.1.12 LGA - Strengthening Capacity of Local Government Associations

European experience shows that decentralisation is needed to deliver high quality local public services, and to improve the quality of life for all citizens. It also shows us that decentralisation is always a difficult challenge, for which there is rarely an end in sight. The national association of local authorities is one of the keys to success in meeting this challenge.

The toolkit offers the means to analyse and transform the performance of LGAs, developing a strategic plan and improving the functioning and organisation.

The toolkit's structure develops as follows:

- Analysis of the LGA
- Transforming the LGA
- Planning in the LGA
- The functions of the LGA
- Organisation in the LGA

4.1.13 PEB – Public Ethics Benchmarking

PEB is a practical tool that helps committed local authorities to improve local public ethics standards and compliance with them in the short to medium term. The Handbook draws on the on the experience of European countries and on other

sources. The toolkit helps committed authorities to build ethical infrastructure in public administration, assess corruption risks, and improve public ethics standards.

This toolkit consists of two essential parts. The first one deals with the most important issues related to the prevention of corruption risks in public administration. The second part presents the Public Ethics Benchmark and the methodology of its application. Both parts may be used together or separately, depending on the scale of the project and local context.

4.1.14 LFB – Local Finance Benchmark for Local Authorities

Good local government depends on sufficient financial resources and good financial management procedures that enable local authorities to offer services adjusted to their citizen's expectations. LFB is an analytical and diagnosis tool, based on CoE Rec on financial management, addressed to local authorities.

LFB is an external evaluation tool. At local level it supports evidence-based decision making by local officials helping them make best use of available resources.

The tool is structured in two main evaluation streams, as follows:

- Financial resources (e.g. Local taxation, Fiscal equalization, etc.)
- Financial management (e.g. Fiscal strategy, Budgeting framework, etc.).

4.1.15 LFB – Local Finance Benchmark for and Central Authorities

Country level benchmarking of local financial resources and financial management. The LFB toolkit is an analytical instrument for policy makers for developing accountable and efficient local finance system.

At central level LFB is an analytical instrument for policy makers for developing accountable and efficient local finance system.

4.1.16 IMC – Inter-municipal Cooperation

IMC is when two or more municipalities agree to work together on any of the tasks assigned to

them in order to gain mutual benefits. The term, IMC is a relationship between two or several local authorities having a status of legal persons, endowed with competences, powers and resources.

The toolkit presents templates and frameworks to take municipalities through each step of the process to create, establish, implement and evaluate IMC.

The Toolkits' structure develops into the following sections:

- Understanding IMC
- Creating an IMC-friendly environment
- Initiating IMC
- Legal forms for IMC
- Financing IMC
- Accountability
- Deciding on and Implementing IMC
- Case studies

4.1.17   Territorial Amalgamation

Territorial reforms have become a major feature of public administration reform in recent decades in Europe. The toolkit focuses on the reforms of the first tier of government, namely municipal/communal level, targeting actors who are considering amalgamation as a possible remedy to problems stemming from territorial fragmentation, or who are involved in the process of amalgamation or reorganisation.

The toolkit aims to provide data, examples and 'lessons learned' on amalgamation processes, such as:

- Discussion on the pros and cons of amalgamation;
- Decisional tree approach in developing an amalgamation reform;
- Steps of the amalgamation process;
- Evaluation of reform processes.

The Toolkits' structure develops into the following sections:

- Review of local government reforms in Europe 1950 to 2015
- Amalgamation: a good or bad idea?
- Introducing the 'decisional tree'
- Territorial reform step by step

- Evaluation of the reform
- The 'dodecalogue' of territorial reform

4.1.18   CBC – Cross-Border Cooperation

Cross-border cooperation (CBC) is a concerted process of building neighbourly relationships between local stakeholders and authorities on either side of a border, with a view to overcoming such problems and fostering harmonious development of neighbouring communities.

The toolkit serves as a step-by-step guide on how to turn cross-border projects into concrete realities:

- how to carry out feasibility studies?
- how to finance cross-border projects?
- what types of obstacles may arise and how these can be overcome?
- how to nurture a cross-border friendly environment?

The Toolkit is structured into the following sections:

- Understanding CBC
- The International Environment
- Creating a CBC-friendly environment
- Initiating CBC
- Establishing CBC
- Financing CBC
- Accountability
- Case-Studies

4.1.19   C2C – City to City Cooperation

City-to-City Cooperation is the full range of processes initiated by city institutions and civil society organisations engaging in international relations with the aim of representing themselves and their interests to one another.

The toolkit aims to provide a step-by-step guide on how to initiate and develop cooperative actions to the mutual benefit of the cities engaged in the process. It support cities to identify the operative framework within which C2C action can originate, develop and be assessed from a goal- oriented perspective.

The Toolkit is structured into thefollowing sections:

- Understanding C2C
- Functions of C2C
- Initiating C2C
- Fostering C2C
- Monitoring C2C
- CoE Centres and Programmes
- Case-Study: Dundee (UK) – Zadar (HR)

4.1.20 LAP for CBC – Leadership for Cross-Border Cooperation

The Toolkit was developed within the Leadership Academy Programme (LAP) as a specific training tool, providing trainers and trainees with knowledge, case-studies and exercises focusing on CBC. The Leadership Academy Programme (LAP) is a learning and action course targeting senior officials and elected representatives of public organisation.

The toolkit is specifically designed to improve the leadership capacity of mayors and senior officials to promote cross-border cooperation.

The toolkit provides an overview of existing tools and frameworks, while enriching them with new methods and instruments with a specific focus on training. The toolkit structure allows practitioners to better "decode" existing materials and stimulates them to increase their leadership skills in order to ensure efficient and sustainable CBC processes:

- Becoming a CBC promoter
- Understanding the CBC process
- 6 steps to initiate a CBC process
- Knowing the CBC context
- Knowing the CBC stakeholders
- Engaging the CBC community
- Exercises
- A LAP programme

4.1.21 EDEN - online tool for Cross-Border Cooperation

EDEN is a database containing best practices of CBC collected from European actors.

EDEN is a database containing best practices of CBC collected from European actors. The best practices have been collected by the Council of Europe and ISIG (Istituto di Sociologia Internazionale di Gorizia) with a questionnaire sent to the CBC offices of more than 20 European countries.

EDEN is based on the principle that knowledge is power, giving to policy-makers and administrators the opportunity to learn from their European colleagues. Having to face an obstacle arisen during the implementation of a CBC activity, the institutional actor can now consult this database, look for similar issues and obstacles, and see what solutions have been found by other institutions.

5 EXERCISES

5.1 EXERCISE 1 – GROUP EXERCISE 1 – IDENTIFYING RELEVANT TOOLS

- For each tool, try to explain:
    - o Why is the selected tool USEFUL?
    - o Why is the selected tool RELEVANT?
    - o What is the tools' potential for SUSTAINABILITY?
    - o What is the tools' potential for being OWNED?

	TOOL	IS THE TOOL URSO? WHY?			
		USEFULNESS	RELEVANCE	SUSTAINABILITY	OWNERSHIP
1.	CLEAR – Citizens Participation				
2.	Civil Participation in Decision-Making				
3.	ELoGE – European Label of Governance Excellence				
4.	E-TOOL on Good Governance at Local Level				
5.	TNA – Training Needs Analysis and National Training Strategies				
6.	HRM – Human Resources Management				
7.	LAP – Leadership Academy Programme				
8.	URSO – Monitoring and Evaluation Methodology				
9.	PMP – Performance Management Programme				
10.	SMP – Strategic Municipal Planning				
11.	BPP – Best Practice in Local Government Programme				
12.	LGA - Strengthening Capacity of Local Government Associations				
13.	PEB – Public Ethics Benchmarking				
14.	LFB – Local Finance Benchmark for Local Authorities				
15.	LFB – Local Finance Benchmark for and Central Authorities				
16.	IMC – Inter-municipal Cooperation				
17.	Territorial Amalgamation				
18.	CBC – Cross-Border Cooperation				
19	C2C – City to City Cooperation				
20	LAP for CBC – Leadership for Cross-Border Cooperation				
21	EDEN - online tool for Cross-Border Cooperation				

- Choose within your group 1 priority Tool that you could apply in your communities/organisations.

5.2 EXERCISE 2 – GROUP EXERCISE 2– REQUESTING THE APPLICATION OF A TOOL

- Simulate in your group the formulation of an official request to the Council of Europe for the application of the tool chosen in the previous exercise.
- Use the following guiding questions to structure the justification of your request:

		DETAILS
1. Who?	Identify the actors that could be in charge with future implementation/application of the tool • *Do you have a direct contact with the identified actors?* • *Are they local or central authorities?*	
2. What?	Give a detailed description of the context in which you want to apply the tools. • *What are the needs?* • *What are the potential beneficiaries?*	
3. Why?	Give evidence-based justification on why the tool would address the identified needs.	
4. When?	Identify a feasible timeframe for the application of the tool.	
5. How?	Identify the steps needed for the preparation and implementation of the tool.	

6 REFERENCES

Kaufmann, D. et al. (2010). The Worldwide Governance Indicators: Methodology and Analytical Issues, World

Bank, Brookings Institution, the International Bank for Reconstruction and Development/World Bank - http://info.worldbank.org/governance/wgi/pdf/WGI.pdf

Council of Europe - Current tools on Good Governance:

https://www.coe.int/en/web/good-govern-
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