

Focus at the local level: local governance and the role of rural animators

Joan Noguera

Institut Interuniversitari de Desenvolupament Local
Universitat de València

Joan.noguera@uv.es

Index

1. From top-down to bottom up: the long journey

2. New factors for territorial development: the case of the new local governance in rural areas

3. Public-Private partnerships (PPP): key example of new local governance

4. A basic instrument for PPP and governance: territorial strategic planning

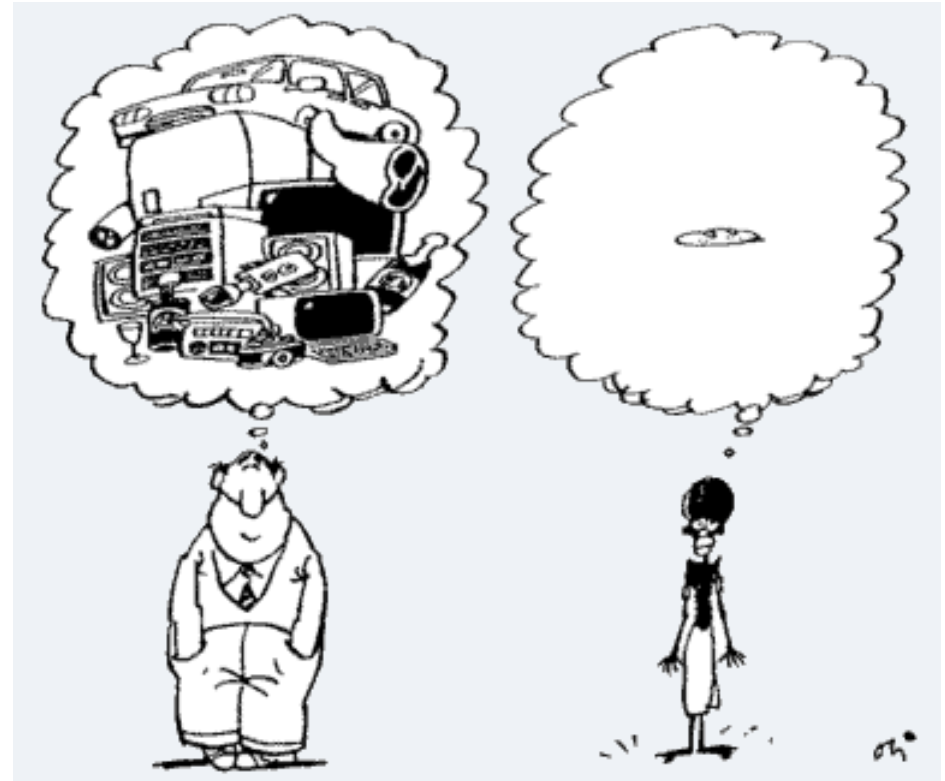
**5. Who does all this?
Profile of the rural animator**

Introduction: on the nature of local development processes

What is development?

- “Economic development is not an objective “per se”. It is a mean to reach wellbeing, according to the culture and conditions of each human group. However, the own concept of wellbeing differs for people living in New York or Maputo. Only those living in New York or Maputo can define their goals in the medium and long term”

(Canzanelli 2001)”



The strategic nature of sustainable development

- **Alice:** “Would you tell me, please, which way I ought to go from here?”
- **Cat:** “That depends a good deal on where you want to get to”
- **Alice:** “I don't much care where”
- **Cat:** “Then it doesn't matter which way you go”

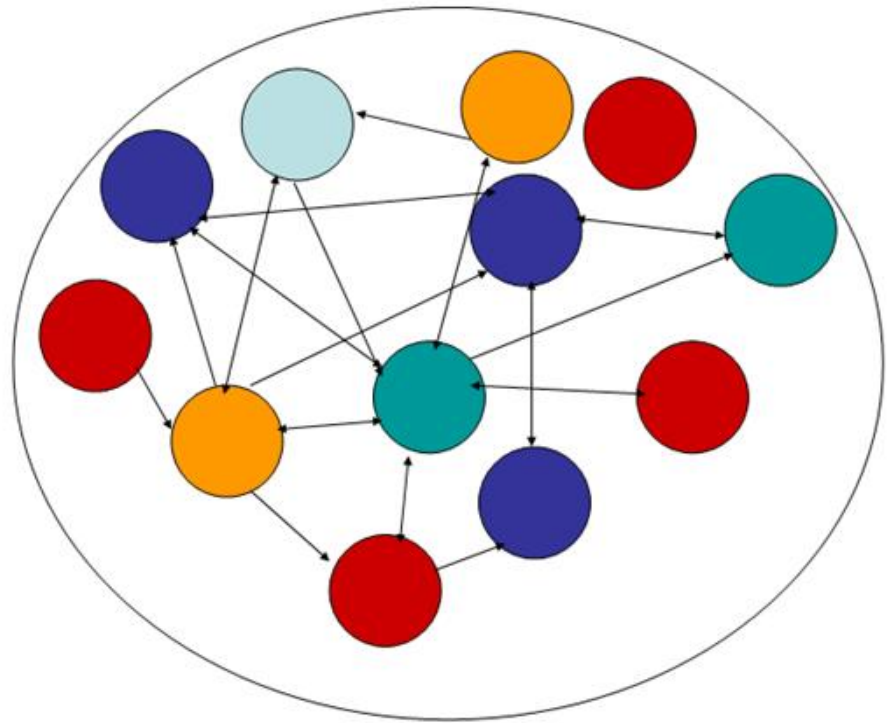
Lewis Carrol (1872) “Alice’s adventures in wonderland”



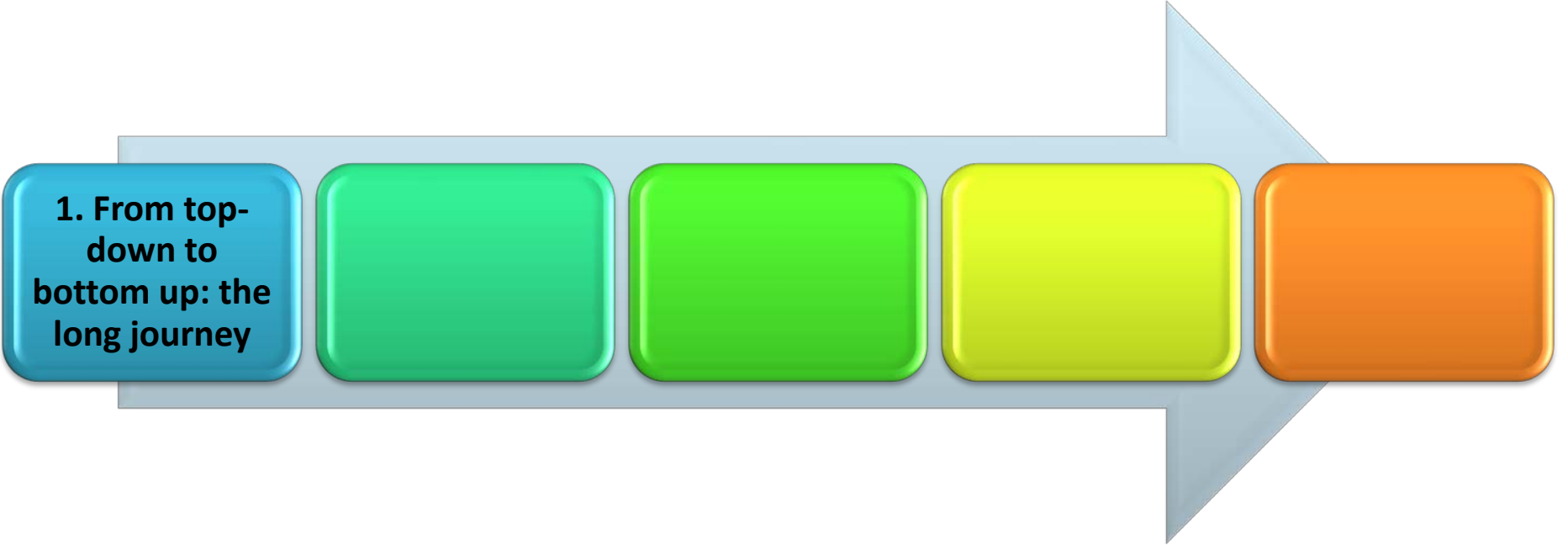
Styles of governance and local development

- “Local development is a process based on alliances among actors, generated in the immediate territory, aimed at promoting change processes to improve the collective wellbeing”

(Van Hermelrick, 2001)



1. From top-down to bottom up: the long journey



1. From top-down to bottom up: the long journey

1.1 The rise of local development

Traditional development policies (top-down) have shown inefficiencies in answering to **key challenges of local systems** (social services, promotion of entrepreneurship, matching job demand and offer, monitoring, etc.). This failure has given way to a **new policy approach** (local development) **characterised by 4 factors**:

Programs and strategies are specific of each territory

Participation and concertation are essential

Programs and strategies are designed and managed by local actors (PPP)

Involve mobilization of local resources and comparative advantages of the territory

Factors that have facilitated the emergence of local development approach:

- Inability of top-down policies to meet the growing demands of local societies and the distortions of local labor markets*
- Progressive development of a set of policy tools, financial programs, plans, etc. facilitating the implementation of local development policies*
- Creation of structures for decision making and management at local level (ADL, partnerships ...)*

TOP-DOWN versus BOTTOM-UP approach

Traditional top-down development policies	New bottom-up development policies
<ul style="list-style-type: none">• top-down decision flow: decisions are taken at “higher” levels• Managed by central and regional governments• Sectoral approach to development• Focus on development of large projects whose effects will be transferred to other economic activities and areas• Financial support, incentives and subsidies are the main factors in attracting business• Lack of references to sustainability: disregard or ignorance of the limits of growth	<ul style="list-style-type: none">• Promoting development in all territories with initiatives coming from the territories• Decentralised cooperation (vertical and horizontal)• Territorial approach to development• Focus on the potential of the area to stimulate a progressive adjustment of the local system to the economic context• Providing favorable conditions for the development of economic activity• Inclusion of environmental awareness in planning and economic policy

However, not everything is POSITIVE. There are also THREATS and CHALLENGES associated to the adoption of local development strategies

Social advantages

- (i) **Empowerment** of local society and generation of social dialogue: active participation in the design and implementation of the development strategy
- (ii) Encouraging **greater transparency** in local institutions

Economic advantages

- (i) Generate economic growth and employment that are **more sustainable** due to their greater embeddedness into the territory
- (ii) Generate **higher-quality employment** because of the involvement of local actors in the development strategy and the rooting of economic activity in the territory

Threats and challenges

- (i) **Very demanding in time** (social concertation, establishing coordinating mechanisms between institutions, etc.).
- (ii) Even laying the foundation for consultation and coordination, there is **no guarantee of success**
- (iii) Risk of **not being able to identify, design and implement the most appropriate development strategy** (risk increased by the speed of change)
- (iv) **The participatory approach can "pervert"** with strategies to more structured groups, strategies used by populist politicians, predominance of the need for "short term" results

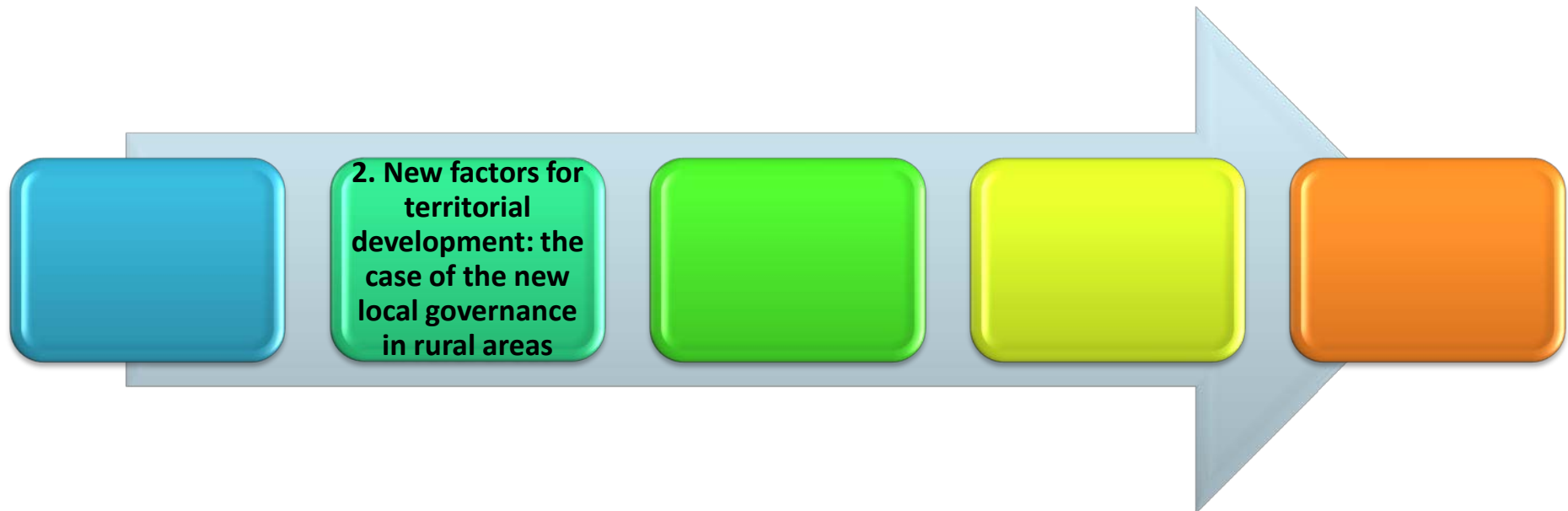
1.4 Conclusion

- At present, the **local development approach** is well established, although **there remain some practical aspects to be solved**
- The local development approach has **important advantages**:
 - Better adaptation to the real needs of each territory
 - Local empowerment
 - Incorporation of the strategic vision
 - More robust development (sustainable)
- However, there are some **threats and challenges**:
 - Incomplete concertation processes
 - Reproduction of the balance of powers
 - Reduced institutional coordination
 - Excessive dependency on individual leaderships
 - Missing strategic guide

Understanding local development requires understanding its nature

- **What it is?:**
 - From an economic focus to an integrated approach
 - Variability depending on time and space
 - Variability depending on social groups and on the culture of a territory (principles and values)
- **¿What is it for?**
 - Improve quality of life of the population
 - Deciding on the future of the territory by defining actions in the present
- **Who is it for?**
 - Local development strategies may benefit particular groups and harm other. Local development must try to promote the interests of all local groups (consensus decisions)
- **What should be?**
 - An integrated, coordinated and sustainable action from all local actors, deriving from a common vision of the future (FTM), finding win-win situations and based on consensus

2. Local governance is a New Factor for Territorial Development



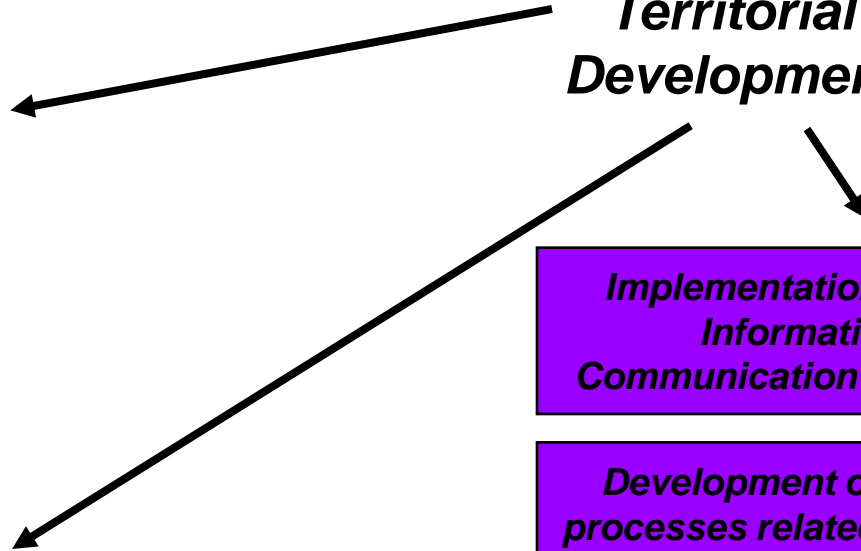
Several NFTD condition the location of economic activity and the success of a particular region

These NFTD (unlike Marshallian factors) depend upon the characteristics of the local context

Hypotheses: there exist peripheral regions with higher economic dynamism than that corresponding to its geographical location and accessible regions with lower dynamism than that corresponding to its geographical location

These “deviations” may reflect the role of NFTD

New Factors for Territorial Development



Implementation and use of Information and Communication Technologies

Development of innovation processes related to the proper functioning of business networks

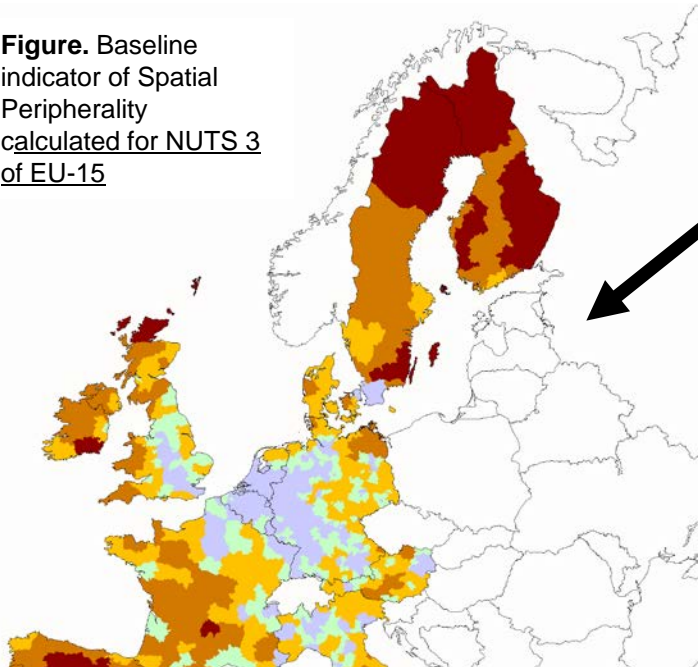
Social Capital or effectiveness of relations between local society

Model of governance

Integration of tourism in development strategy

Hypothesis: accessibility and economic development not form a positive linear correlation

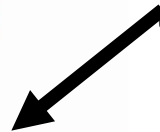
Figure. Baseline indicator of Spatial Peripherality calculated for NUTS 3 of EU-15



source: IRPUD, 2004

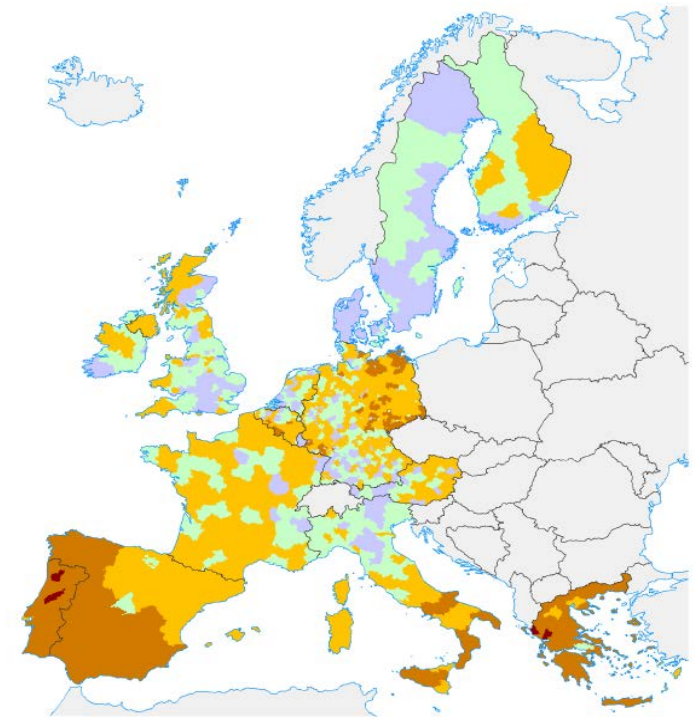
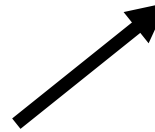
Accessibility:

sum of
logarithms of
accessibility
potential in
three transport
modes: road,
rail and plane



Economic development:

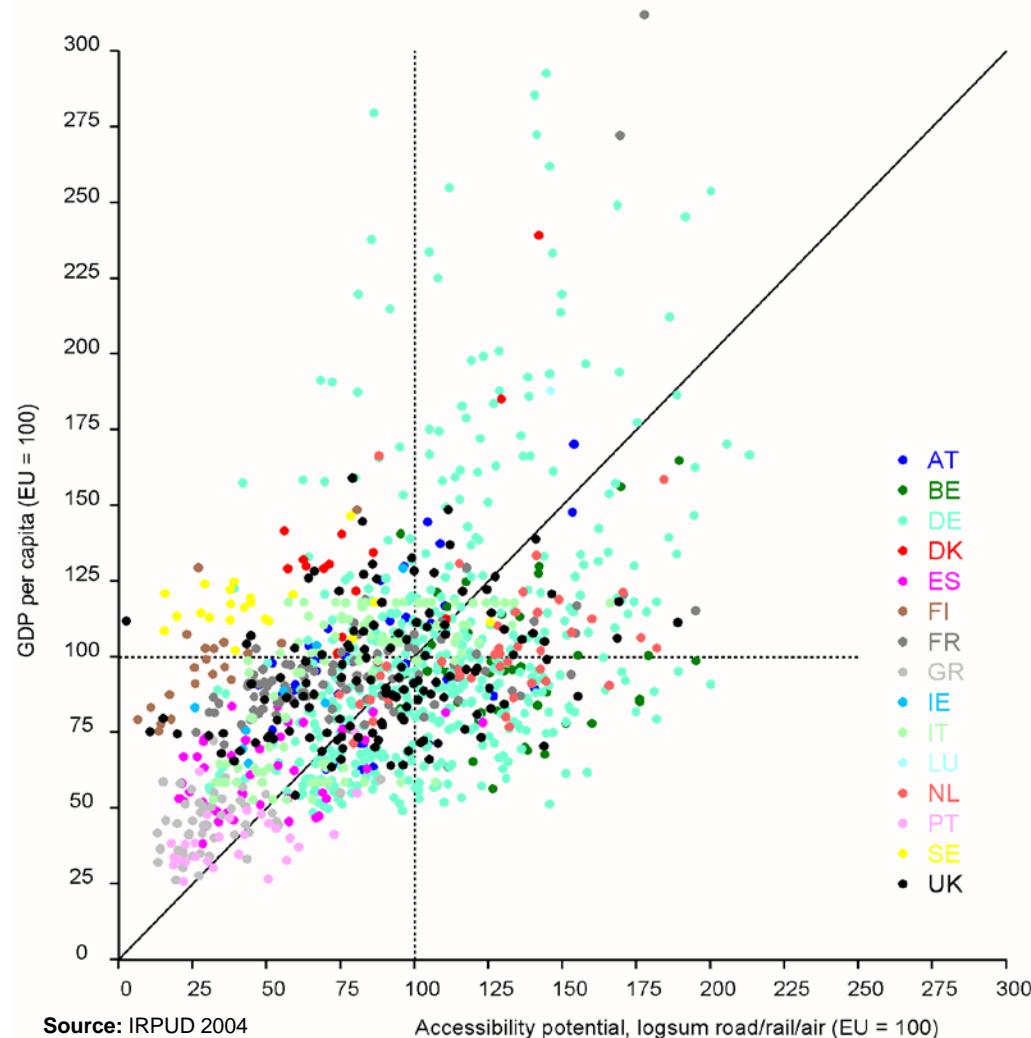
regional
productivity
(GDP per
worker)



GDP/capita (EU=100)

0 <	30	extremely low
30 <	60	very low
60 <	90	low
90 <	110	about average
110 < ...		clearly about average

Figure. Accessibility and GDP per capita (NUTS 3)



Imperfect correlation between multimodal accessibility and GDP per worker

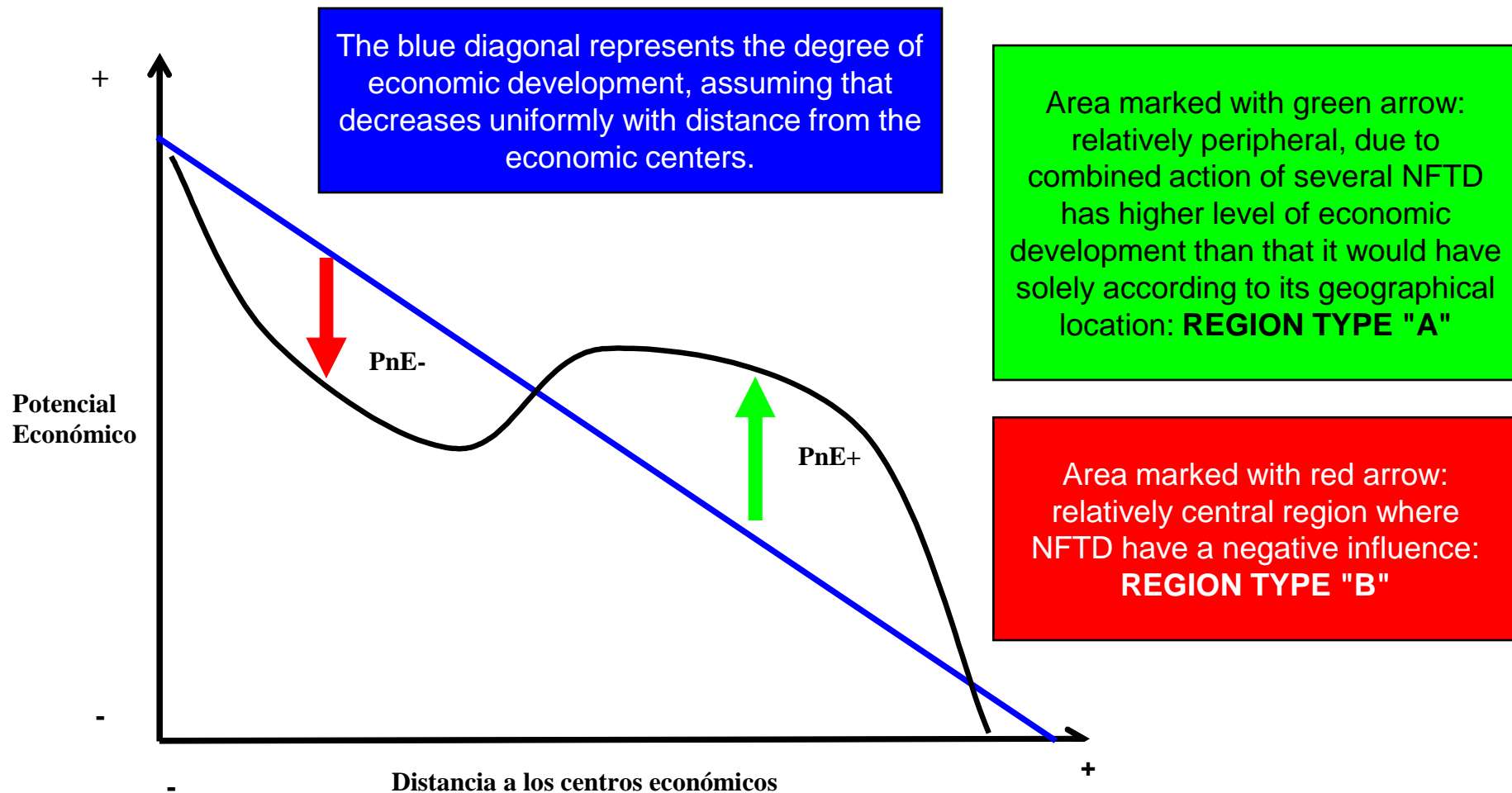


Accessibility must be “only” one of the factors determining dynamism and development

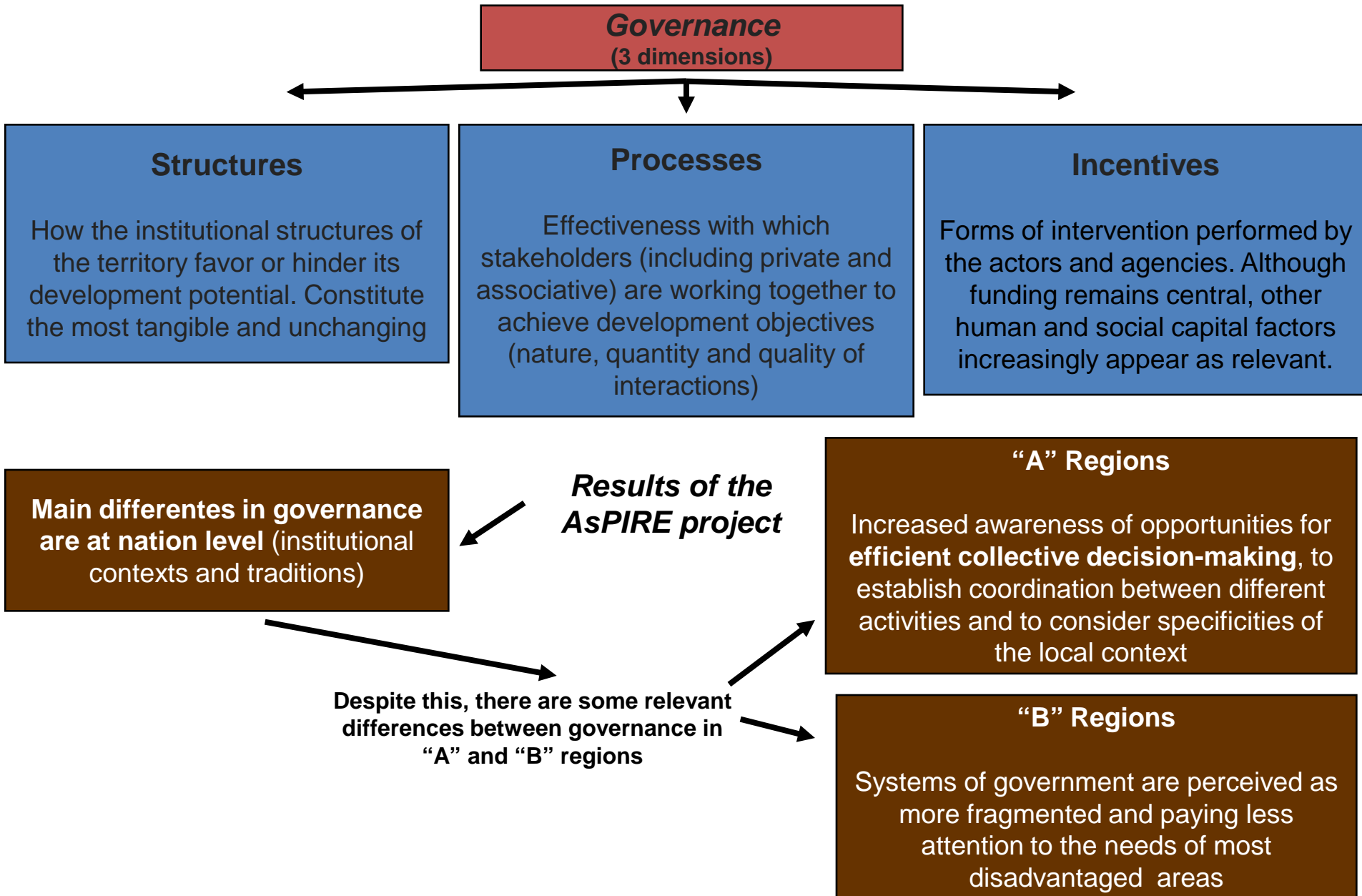


Conclusion → peripherality does not explain regional disparities. Therefore, there must be other “aspatial” factors that are relevant for the development of territories

Figure. Representation of the concept of AsP. Deviations in relation to the expected regional development: Type “A” and “B” regions



Governance as NFTD



Therefore...

The institutional system (governance) is a key element for territorial development

This includes institutional thickness, internal functioning, interrelationships. All this configures the local governance

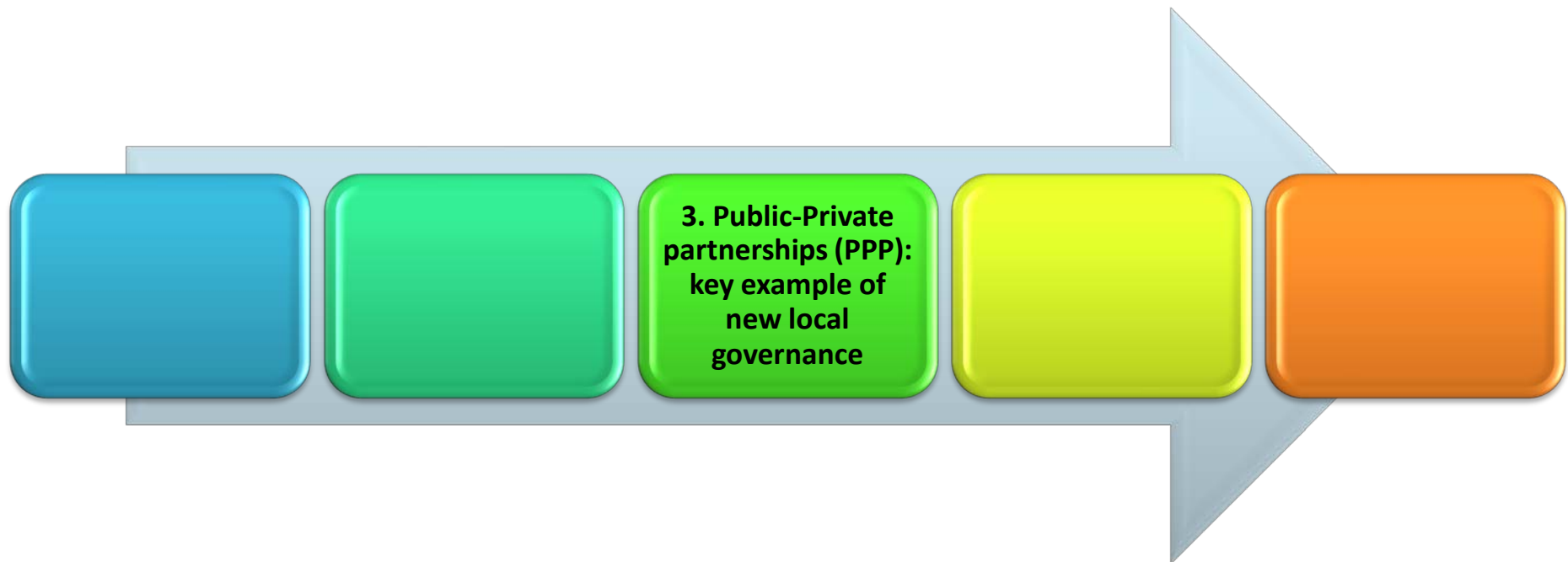
Governance is a DEVELOPMENT FACTOR if it is...

**Dynamic (proactive)
Flexible
Red tape
Cooperative
Coordinated
Strategic (basic consensus)
Technological
Decentralised
Territorial**

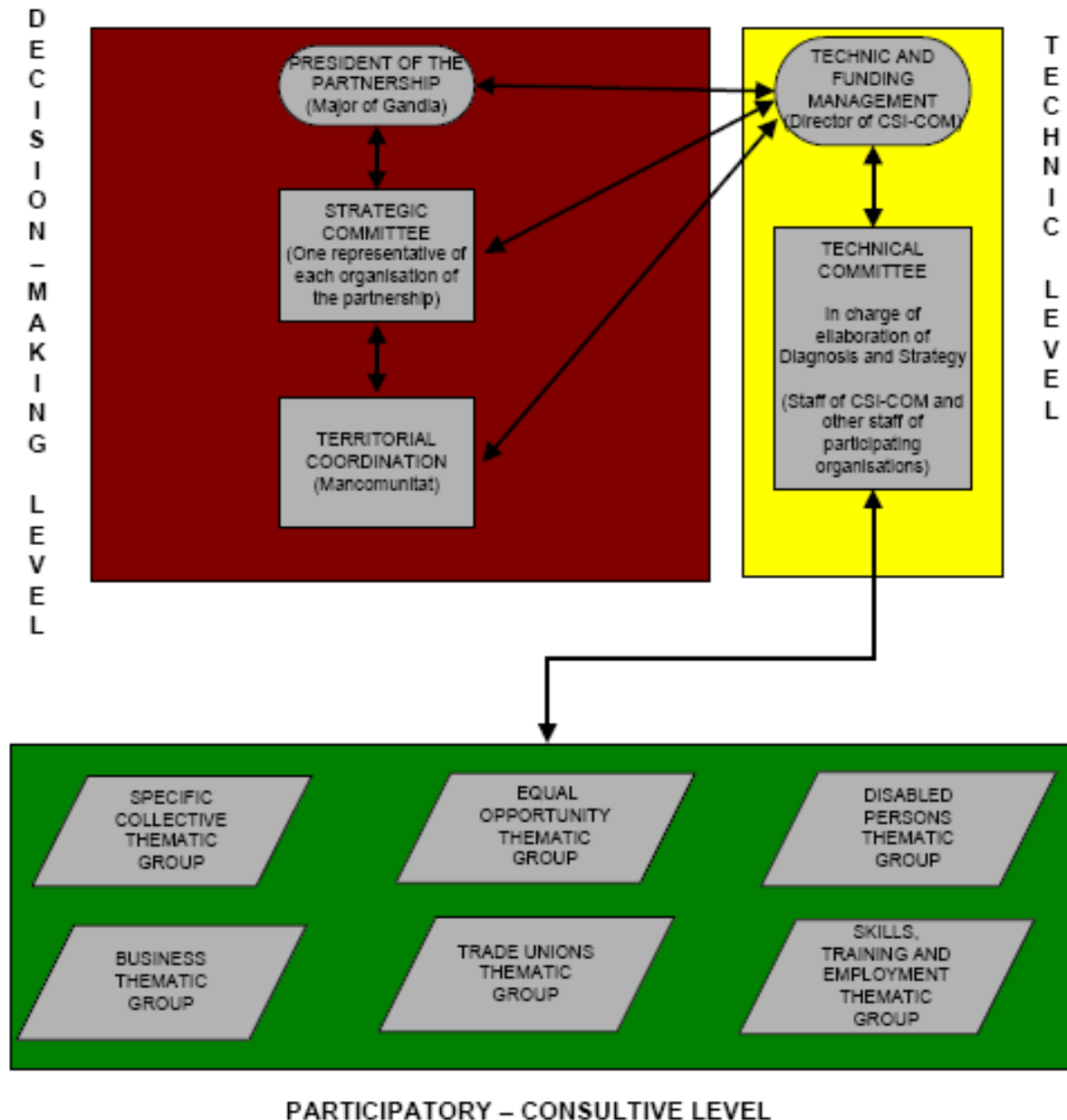
Governance may be HINDERING DEVELOPMENT if it is...

**Static (Reactive)
Too Hierarchical
Too bureaucratic
Not cooperative
Uncoordinated
Short term (conflicting)
Low technological
Centralised
Sectoral**

3. Public-Private partnerships (PPP): key example of new local governance



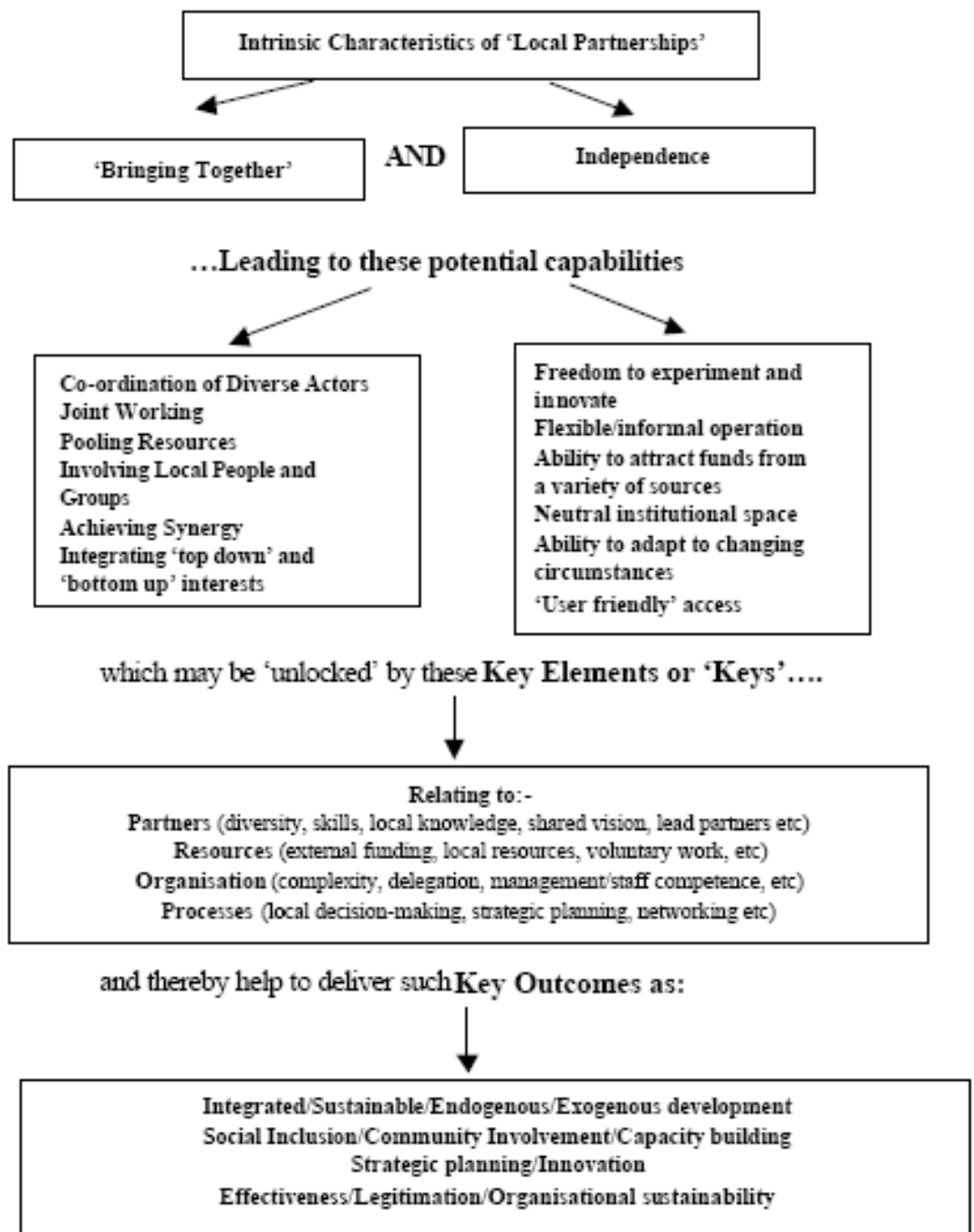
3.1 PPP: an expression of the new governance



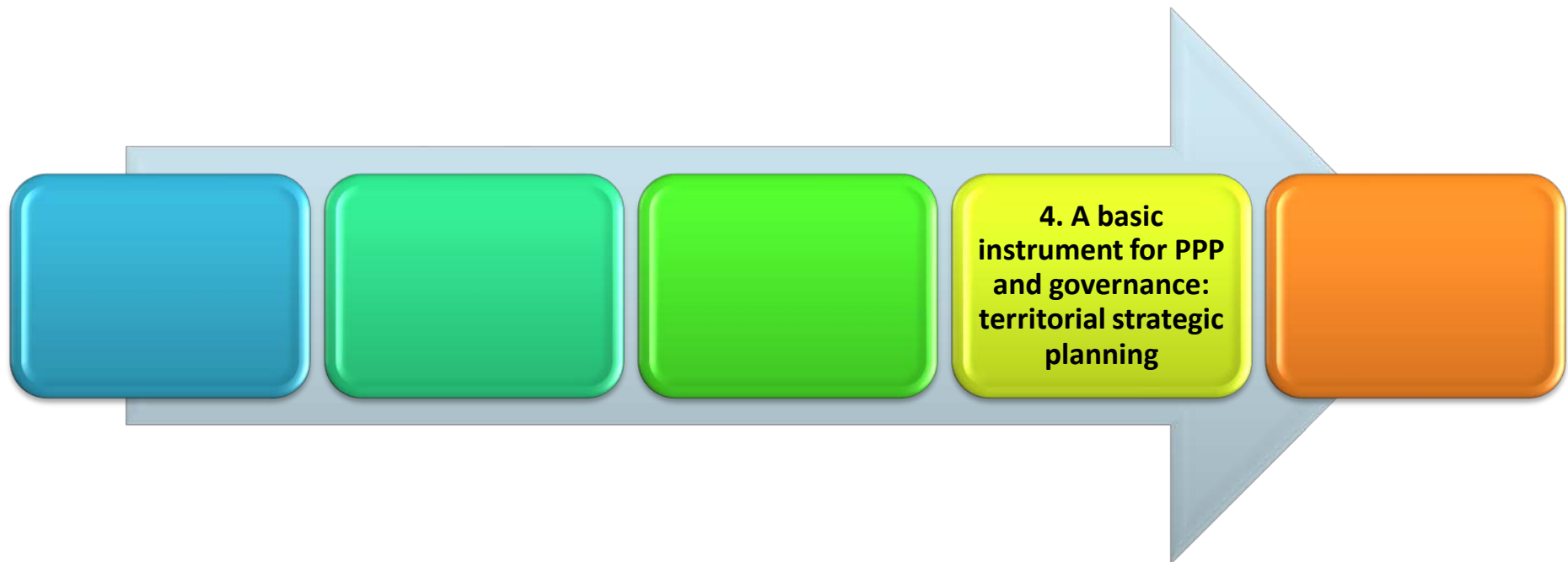
The PRIDE research project
concludes that:

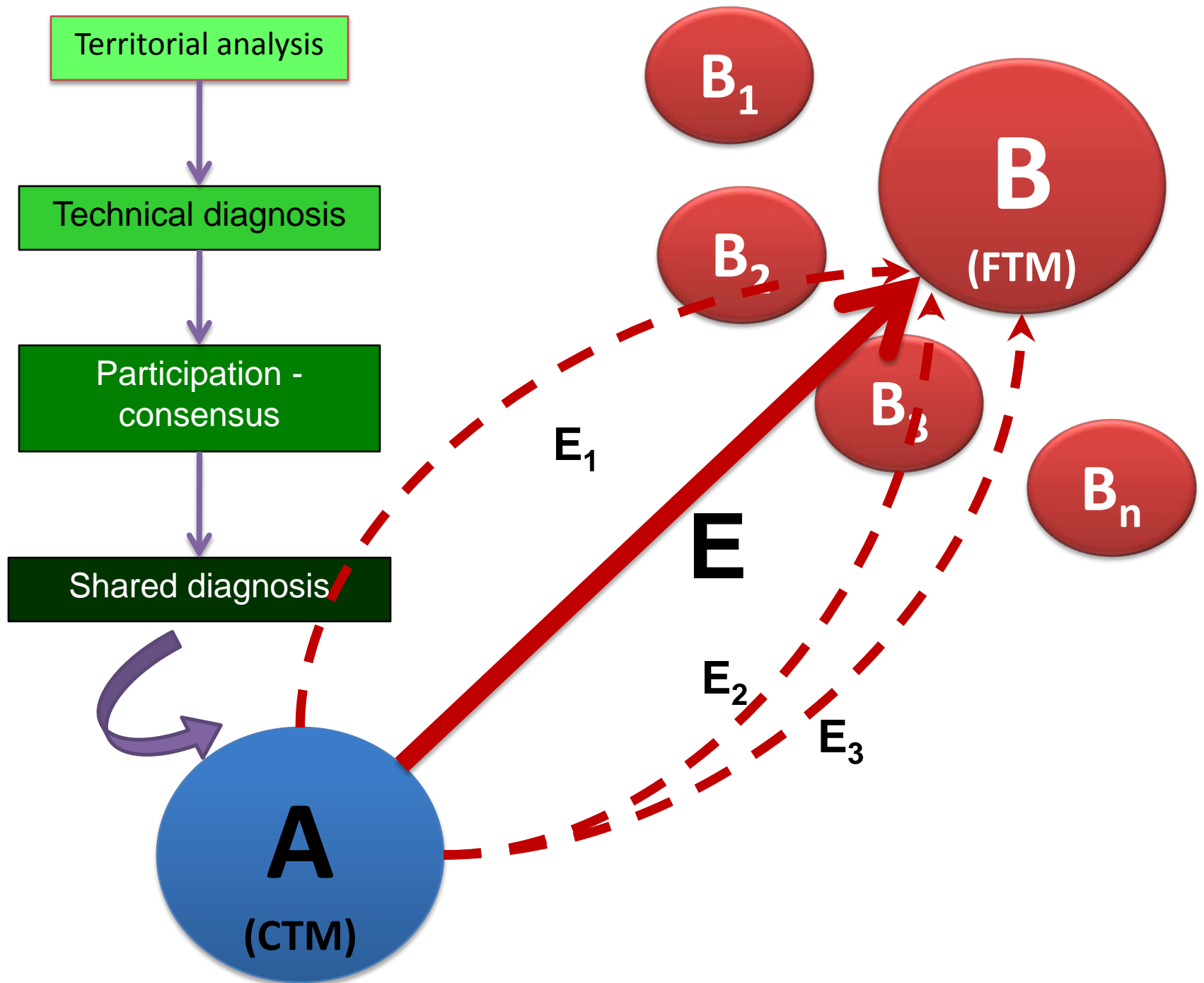
- **Partnerships are a recent phenomenon** (since 1990). Institutionalised local partnerships derive from an institutional shift from top-down to bottom-up policies
- Most identified partnerships were constituted in order to manage a policy or program. In this sense **the partnership process is “top-down”** albeit attempting to promote “bottom-up” involvement.
- **Project-oriented cooperation rather than strategic cooperation.** The main weaknesses of local partnerships is their funding dependency.
- **Most partnerships have a mix of public, quasi-public, civil and private partners.** Public partners seem to have a key role in the constitution of the partnership and in its first stages
- The improvement of cooperation, mutual understanding, exchange of information in areas where the individualism was the previous rule are the **most important outputs**.
- Local partnerships **are becoming the norm rather than the exception** for delivering social, economic and environmental goals in rural areas. Local partnerships can become the effective link between local population and the authorities.

How partnerships add value to rural development (PRIDE project)

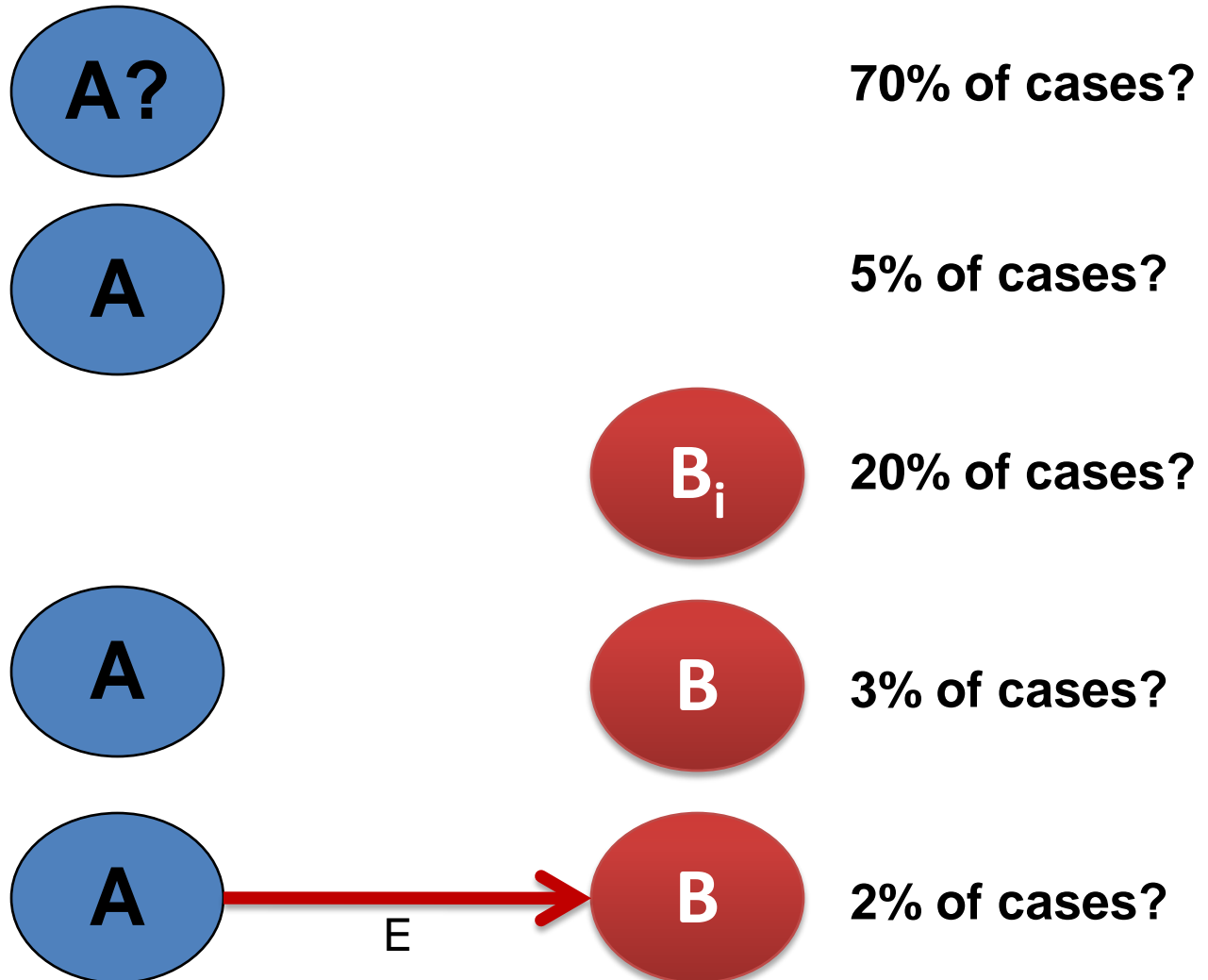


4. A basic instrument for PPP and governance: territorial strategic planning

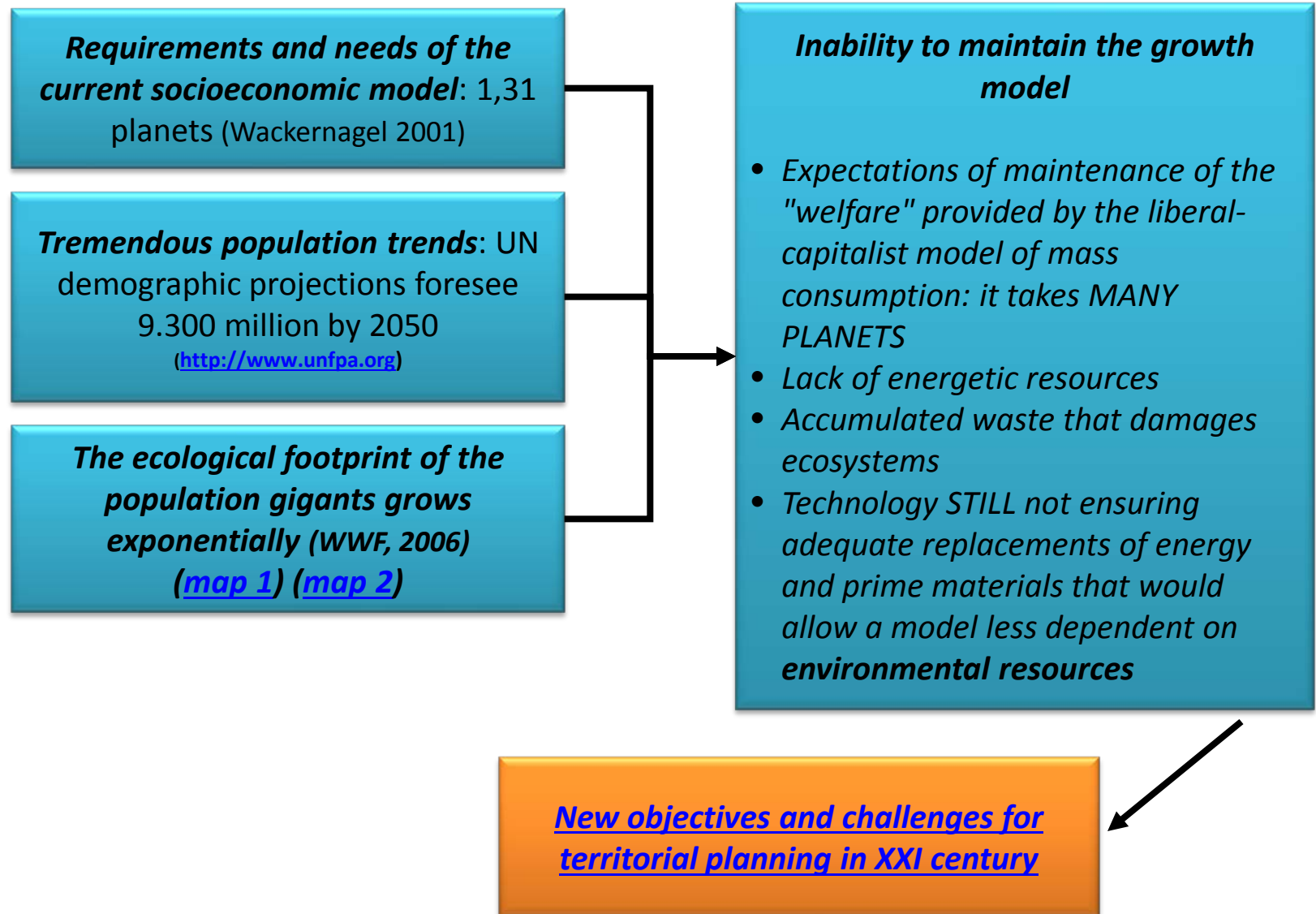




Which is the situation in most rural areas?



4.1 Why do we need territorial planning?



4.2 The need for territorial strategic planning

Adopted from
business practice in
the 1980s



Initial difficulties due to: (i) lack of knowledge in relation to the method; (ii) different context (territories vs companies)

	Companies	Territories
Definition of mission	Concrete description	Complexity and heterogeneity of situations
Level of consensus	Preparation and control of the business plan is controlled by a small group of people	Preparation and control of the community plan involving hundreds of people
Level of public exposure	Not compulsory or necessary	Mandatory and necessary to increase the legitimacy of the Plan
Scope	Clear boundaries: the company	More vague boundaries (administrative? Historic? Functional?, etc.
Evaluation of alternatives	Objective and quantitative indicators	Subjective and qualitative indicators
Degree of complexity	Relatively reduced	More complex, with inertias and non-rational decision making
Availability of resources	Flexibility for resource allocation	Rigidity for resource allocation

A definition of Territorial Strategic Planning

***Sistematic, creative and participative process
that:***

- (i) Establishes the basis for an integrated long-term action
- (ii) define the future model of territory
- (iii) Formulates strategies and courses of action to achieve that model
- (iv) Establishes a continuous system of decision making
- (v) Involves local stakeholders throughout the process

4.3 Benefits and threats of Territorial Strategic Planning

BENEFITS

- *Global and intersectoral vision in the long term*
- *Identifies trends and opportunities*
- *Identifies and prioritises objectives for focusing efforts*
- *Encourages dialogue and debate*
- *Generates commitment to action*
- *Strengthens the social fabric*
- *Promotes coordination between institutions and organizations*
- *Gives high social and political visibility*

THREATS

- ***Voluntariness of the process.*** Success depends on the adoption of the Plan by local actors
- ***Excessive emphasis on economic issues*** generating imbalances between the strategies of competitiveness, equity and sustainability
- ***Deficiencies in the technical analysis,*** due to the complexity of the analysis of the territory
- ***Abuse of negotiation.*** An excessive trading can lead to set aside the thorniest problems
- ***Lack of connection between institutional and business plans.*** Involvement of private actors should be ensured
- ***Lack of interest of decision-makers*** on the continuity to the process, due to the long-term focus

4.4 Reasons for failure of territorial strategic plans

Many territorial strategic plans FAIL in the implementation phase. Reasons:

1. Lack of “conscience of crisis”

2. Ignorance of the implications of the process

3. The plan is not sufficiently legitimated

4. Somebody instrumentalises the plan

5. The diagnosis contains mistakes

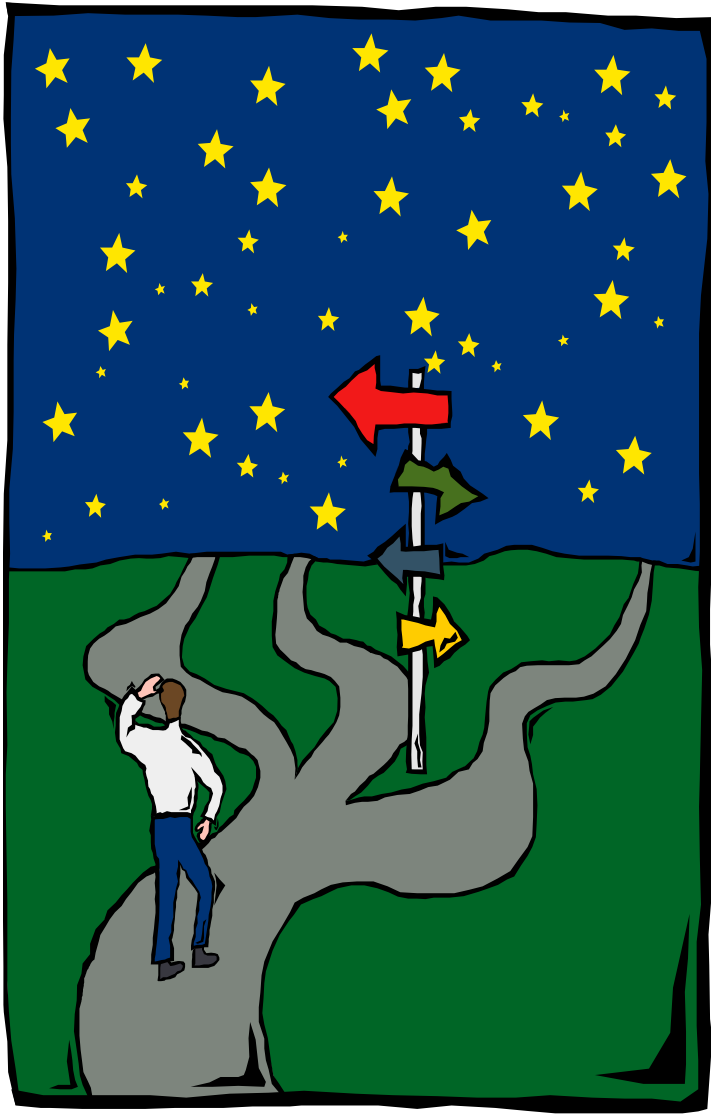
6. The ellaboration process is too long

7. There are not adequate monitoring/evaluation mechanisms

8. Strategies are formulated in a too general way

9. Resources / leaders for the proposed actions are not identified

10. The plan took no account of external factors



**Strategic Planning can
help to unite the
territory's
development potential
in a common and
consensual project**

STRUCTURE OF AN STRATEGIC PLANNING PROCESS

DEVELOPMENT OF "CONSCIENCE OF CRISIS"

Acknowledgement of own problems
Will and compromise for change

CREATION OF THE STRUCTURES OF THE PLAN

- Strategic committee
- Technical team
- Consulting bodies
- Monitorin, follow up and evaluation

VALUES ANALYSIS

- Analysis of values and culture present in the area

FORMULATION OF MISSION AND OBJECTIVES

DEFINITION OF THE STRATEGIC MODEL OF THE TERRITORY

Intuitive development of most suitable strategies to reach mission and objectives

DISSEMINATION AND INVOLVEMENT OF SOCIETY

Meetings with society to inform of process and generate interest, compromise and involvement

INTERNAL AND EXTERNAL ANALYSIS (DIAGNOSIS)

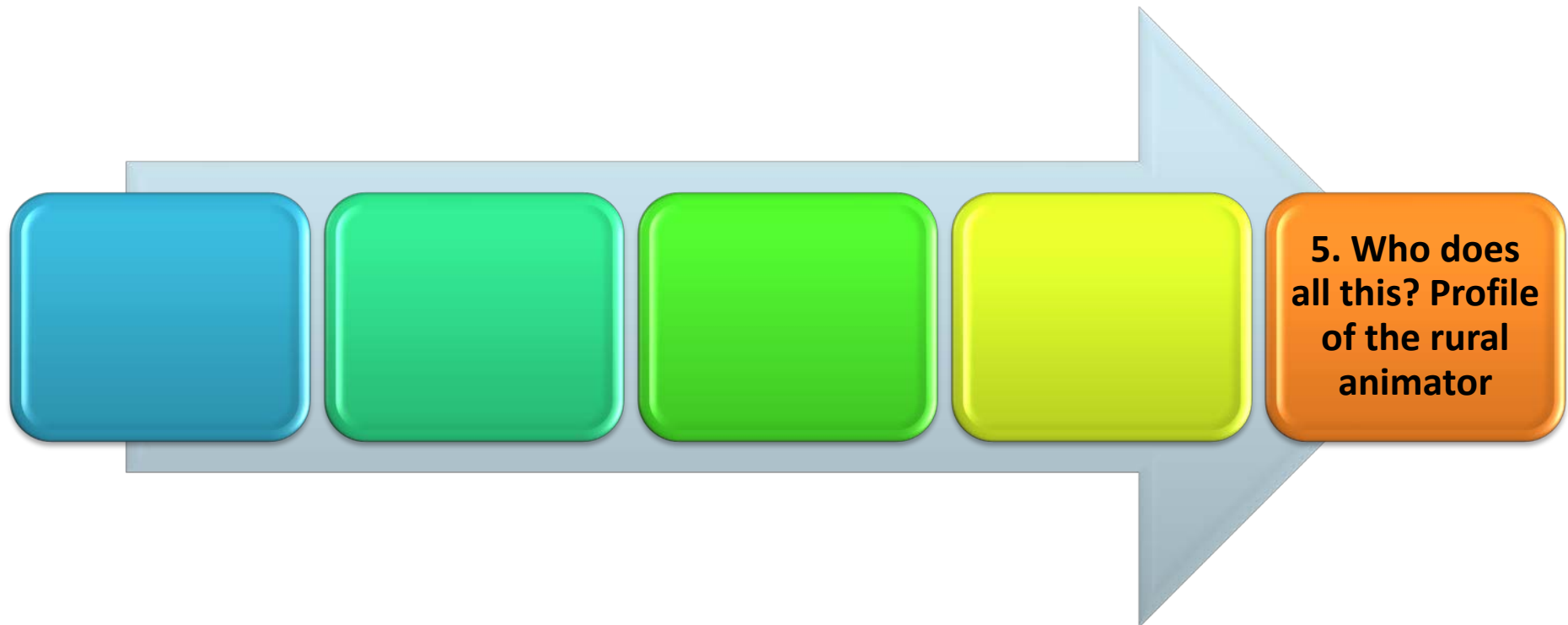
In depth analysis of internal and external situation of the territory

ADAPTING THE STRATEGIC MODEL OF THE TERRITORY AND STRATEGIC PRIORITISATION

Contrasting mission and objectives formulated with reality of the territory (diagnosis) and adaptation of strategies accordingly

IMPLEMENTATION

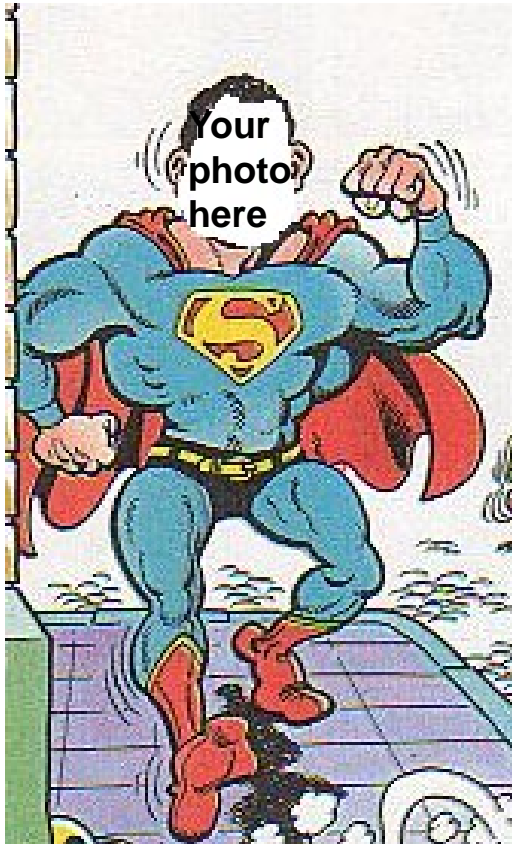
5. Who does all this? Profile of the rural animator



5.1. The profile of the rural animator

Definition: any person whose activities have an impact on the dynamics of local development. Therefore, many local actors can be “animators” at one point. For an animator the academic training is important but not least are the personal skills and abilities

The rural animator
takes.....



From “**Tarzan**”, its ability to “live in the jungle”

From “**Macguiver**”, its ability to combine simple elements of the environment to get spectacular results

From **Sherlock Holmes**, perseverance to discover possible resources and capacity for observation, analysis and deduction

From **Kung Fu**, the ability to combine his energy and the one of the opponent to target the resulting effort

From **Indiana Jones**, perseverance and unwavering faith in the pursuit of social cohesion and territorial excellence

From **Asterix and Obelix**, defending the village against the empire

From **Almodvar** the passion and forcefulness to project him/herself through their works

The ethic and professional profile of a local animator is... (Izquierdo 2003)

A **public operator serving the community**, coordinating and developing integrated development operations

A **technician** of the organization and promotion of development

Neutral from a political point of view his work is oriented towards the growth of technical, organizational, cultural or economic capacities of the territory

In a context of growing importance of integrated approach to development, is **the first professional profile that fits the requirements of this approach**

5.2 The skills of the rural animator

- The **scope of action** of the local animator is **broad**.
- Potentially, it can cover **all dimensions of development** (social, economic, cultural, environmental, etc.).
- Ideally, local development processes need of **working teams** composed by technicians and experts covering a diversity of issues.
- However, **this is not the norm**, particularly in the case of rural areas where the economic and population size of municipalities or counties is reduced.
- **In most cases, rural animators work by their own**, having to face problems, opportunities and challenges that go from the loss of economic activity, to the presence of valuable, unexploited natural resources.
- Moreover, **the spectrum of policies, programs and resources become bigger and bigger**, and information and knowledge at this respect means increased development opportunities

Having acknowledged that rural development animation should be the subject of a working team, what follows is a **brief description of the skills and attitudes needed to efficiently promote rural development from a bottom-up approach** (Izquierdo, 2002)

1

Driver of strategic thinking and planning. Able to drive a strategic planning process. The strategy is the heart of development processes.

2

Intuitive observer. It is the main tool to understand the complexity of local relationships. Allows for an early perception and understanding of processes. The knowledge of reality that provides the local observation - intuition is a vital complement to that achieved by reason or by statistical analysis.

3

Circumspect analyst. The analysis of the spatial and social dynamics is essential for a correct diagnosis. The quality of analysis depends on: (i) the knowledge and mastery in the used of techniques and methods of social and spatial analysis; (ii) the ability to select, sort, prioritize, interpret and interrelate the elements and objects of analysis; (iii) the availability of means, resources and analytical tools; (iv) the ability to guide the analysis as a tool applied to developing a diagnosis and a proposal for development strategies

4

Accurate diagnostic. Rigorous pronouncement on the status of the territory analyzed to determine its weaknesses and development resources. A bad diagnosis is the result of a wrong analysis, of the inability to interpret information correctly and has dire consequences.

5

Flexible planner. The features of a good plan are: (i) adapted and adaptable to the territory; (ii) flexible to incorporate new features or variations in case of structural changes; (iii) participatory; (iv) comprehensive, targeting all areas of development; (v) endogenous, enhancing local resources for the benefit of local society; (vi) proposing a comprehensive and cooperative project; (vii) social, pursued collective welfare; (viii) giving priority to the most disadvantaged (solidarity).

6

Bold manager. The job of a local animator requires a management tool and a plan to manage. The new animator will have to demonstrate his/her utility and function in a hierarchical and sectorial institutional structure. He will have to achieve the basic instruments of work

7

Versatile promoter. Initiator that proposes, organizes and mobilizes people and resources to serve a specific purpose (local development). Must be resourceful to detect aspects of the forgotten or underexploited territory that can be triggered by innovative activities. Must be creative to imagine and promote attractive activities. Must have leadership ability to convince about the goodness of the projects and get the necessary support and enthusiasm

8

Concertator conciliator. Concertation is the process of dialogue, negotiation and communication between different entities and interests in the territory in order to agree on a common project of development. Conciliate means to adjust to reconcile opposing spirits. The reconciliation is a precondition for the concertation

**6. “Bonus” section: 10 recipes
to promote local development
processes**

2.1 Visión Estratégica

- ▣ Actitud proactiva frente al futuro;
- ▣ Prioridad de lo importante sobre lo urgente o lo políticamente rentable,
- ▣ Posicionamiento común.
- ▣ Concretar en procesos de planificación estratégica territorial desde el entorno local (Planes Estratégicos “bien hechos”, etc.).
- ▣ Trabajar a la dimensión territorial más adecuada en cada caso
- ▣ Crear un observatorio socioeconómico local
- ▣ NO MULTIPLICAR PROCESOS



2.2 Concertación

- El modelo territorial de futuro sólo puede definirse de forma compartida y consensuada con los agentes del territorio.
- Esto implica.....
 - Compromiso a nivel político (no apropiación)
 - Compromiso a nivel de las principales instituciones del territorio
 - Implicación de las organizaciones sociales y económicas
 - Avanzar hacia un modelo de democracia participativa real

2.3 Apuesta por la calidad territorial

- Establecimiento de parámetros de calidad para los productos y servicios ofrecidos desde el territorio
- Desde un enfoque estratégico y consensuado
- Mejora el posicionamiento competitivo del territorio, optimiza sus potencialidades y orienta la acción en una dirección común
- Existen experiencias:
<http://www.calidadterritorial.com>



2.4 Mejora de la gobernanza local

- ▣ El escenario actual de cambios acelerados, relaciones globales, competencia creciente, etc., hace necesario un nuevo modelo institucional:
 - Dinámico
 - Flexible
 - Desburocratizado
 - Cooperante
 - Tecnológico
 - Descentralizado
 - Territorial

- ▣ Hay que huir de configuraciones institucionales desfasadas:
 - Elevada jerarquización
 - Excesiva burocracia
 - Compartimentación sectorial
 - Descoordinación
 - Partidismo
 - Atomización de competencias

2.5 Optimizar la estructura y funcionamiento de la administración local

- Con frecuencia los recursos disponibles en la administración local se encuentran mal ubicados o no se ajustan a las necesidades de gestión
- Mejorar la estructura y organización interna de acuerdo con las necesidades de gestión y con la carga de trabajo real
- Adquisición, cuando sea necesario, de las capacidades o competencias profesionales necesarias (vía formación específica o contratación)
- Establecimiento de métodos y protocolos de comunicación y coordinación entre los distintos ámbitos de la gestión local.

2.6 Integración en redes territoriales o temáticas

- Favorece el intercambio de conocimiento y experiencias y los procesos de aprendizaje
- Existen multitud de oportunidades vía proyectos y redes de cooperación
- Mejor si se sustentan en estrategias comunes y no responden a acciones puntuales de intercambio

2.7 Impulsar la función de las ADL

- ***Coordinación y apoyo logístico y técnico a los órganos de gobierno, de participación y de asesoramiento***
- ***Impulso de actuaciones estratégicas del proceso de desarrollo (plan estratégico)***
 - Formulación del Pacto (compromiso) de desarrollo local
 - Constitución de los órganos de gobierno, de participación y de asesoramiento
 - Elaboración y gestión del plan estratégico de desarrollo
- ***Movilización y mediación entre recursos locales y emprendedores***
- ***Integración de las políticas sectoriales***
 - Mejorar su eficacia y rendimiento
 - Proponer estrategias puente y convenios para estimular la cooperación inter-administrativa
 - Impulsar el diseño de planes y proyectos conjuntos
 - Funcionar como “observatorio” de la realidad local

- ***Promoción de las redes locales de empresas***
 - Mejora de empresas locales y creación de mecanismos de cooperación para configuración de redes de empresas
 - Apoyo a procesos de comercialización, calidad total, formación, fomento de nuevos productos, búsqueda de mercados, tramitación de permisos, etc.
- ***Intervención social, animación sociocultural e innovación***
 - Intervención social → para integrar colectivos y atender problemas de marginación o exclusión
 - Animación sociocultural → para dinamizar asociaciones que trabajan en el territorio.
 - Promoción de la innovación → novedades que contribuyan optimizar el uso de los recursos de desarrollo
- ***Captación de fondos y programas de desarrollo***
 - Esencial → diversificar las fuentes de financiación, pero enmarcándolas en los objetivos del PEDL.
 - La gerencia debe ejercer la función de una oficina de proyectos para conseguir financiación para sus propuestas de desarrollo.

2.8 Actuar sobre la base económica local

- Establecer estrategias para adecuar oferta de empleo y la cualificación de la demanda con una visión prospectiva basada en la estrategia territorial
- No utilizar excesivos recursos en promover el empleo a través de iniciativas “puntuales” (obra pública, etc.)
- Utilizar los recursos disponibles para contribuir a generar actividad económica y empleo más “sostenibles” (mejorar procesos, cualificaciones, orientaciones productivas, calidad y cantidad de los servicios disponibles para empresas y ciudadanos, etc.)

2.9 Buscar soluciones más eficientes en la provisión de servicios

- Utilizar el ámbito territorial más adecuado para hacer viable y menos gravoso cada servicio básico
- Las mancomunidades y otras estructuras supramunicipales son ámbitos idóneos para:
 - la provisión de servicios,
 - el planeamiento estratégico
 - la cooperación en diversos ámbitos
- Explorar fórmulas innovadoras de provisión de servicios:
 - Gestión con criterios de empresa
 - Introducción de calidad en gestión de procesos

2.10 Proyectar siempre como objetivo la mejora de la calidad de vida de la población

- Objetivo final que debe considerar cualquier actuación pública
- Debe cuidarse especialmente la política social para evitar al máximo los posibles “dramas personales” derivados de la crisis:
 - Plantear una estrategia ambiciosa de atención a los colectivos más necesitados
 - Cultivar y primar la responsabilidad social de las empresas

Conclusión

- La excelencia en el desarrollo desde el territorio se alcanza a través de:
 - Visión y acción estratégica: MTF
 - Creación de marcas de calidad (territorial)
 - Gobierno participativo en todas sus dimensiones
 - Gobernanza inclusiva y de consenso (al menos en los temas estratégicos)
 - Replanteamiento del funcionamiento de la estructura institucional
 - Inserción en redes territoriales o temáticas
 - Creación de redes locales
 - Mejora de la relación entre oferta y demanda de empleo
 - Innovación y eficacia en la provisión de servicios a la población y a las empresas

Esto solo se logra con un cambio de enfoque y un horizonte a medio y largo plazo

Exercise

- 1. Are you aware of any strategic development process where you live/work/study?
 - * If there is not, which are the reasons
 - * If there is an strategic development process,
- 2. How would you characterise governance in rural areas of your country?
- 3. Which is the roadmap towards a more strategic local development?
 - * How could be increased the perceived need for drawing a future territorial model
 - * If there is a dominance of the "urgent" over the "important". How could this be overcome
- 3. In your opinion/experience which are the most relevant skills for a rural animator? Which of these are usually present? Which usually lack?
- 4. Are local decision makers ready to allow for a more participatory approach in strategic decisions for development? Which are the main strenghts and weaknesses to achieve a real participatory democracy at local level?

Role play