



**G|M|F** The German Marshall Fund  
of the United States  
STRENGTHENING TRANSATLANTIC COOPERATION

**Report**

2019 | No.24

# EXPANDING EQUITY AND INCLUSION IN URBAN DEVELOPMENT THROUGH TRANSATLANTIC EXCHANGE

GERALDINE GARDNER, IRENE GARCÍA, PAUL COSTELLO



Bundesministerium  
des Innern, für Bau  
und Heimat

**giz** Deutsche Gesellschaft  
für Internationale  
Zusammenarbeit (GIZ) GmbH



Please direct inquiries to:

The German Marshall Fund of the United States

1744 R Street, NW

Washington, DC 20009

T 1 202 683 2650

F 1 202 265 1662

E [info@gmfus.org](mailto:info@gmfus.org)

This publication can be downloaded for free at <http://www.gmfus.org/listings/research/type/publication>.

The views expressed in GMF publications and commentary are the views of the author(s) alone.

Photo credit: [frantic00 \(Shutterstock.com\)](#)

## About the Urban and Regional Policy Program

The Urban and Regional Policy Program (URP) of the German Marshall Fund of the United States (GMF) supports leaders, policymakers, and practitioners in the United States and Europe by facilitating the transatlantic exchange of knowledge for building inclusive, sustainable, and globally engaged cities. URP actively stewards transatlantic initiatives that explore key issues through high-impact gatherings, peer exchanges, and applied research. URP has an extensive and successful history of working cooperatively with public, private, and non-governmental organization leaders to apply these insights to improve local and regional policies and programs. In addition to its headquarters in Washington, DC, GMF has offices in Berlin, Paris, Brussels, Belgrade, Ankara, Bucharest, and Warsaw. GMF also has smaller representations in Bratislava, Turin, and Stockholm.

## About the Urban Institute

The Urban Institute is a leading research organization dedicated to developing evidence-based insights that improve people's lives and strengthen communities. For 50 years, Urban has been the trusted source for rigorous analysis of complex social and economic issues; strategic advice to policymakers, philanthropists, and practitioners; and new, promising ideas that expand opportunities for all. Our work inspires effective decisions that advance fairness and enhance the well-being of people and places. For more information, visit <https://www.urban.org>.

## About the authors

Geraldine Gardner is a visiting senior fellow and former director of the Urban and Regional Policy Program.

Irene Garcia is program officer for the Urban and Regional Policy Program.

Paul Costello is program manager for the Urban and Regional Policy Program.

## Contributors

Joe Schilling (senior research associate, The Urban Institute); Kate Reynolds (policy program manager, Research to Action Lab); Anne Marie Brady (program officer, Urban and Regional Policy Program); Matthew Freeman is consultant at Dialectix).

**Disclaimer:** The work that provided the basis for this publication was supported by funding under an award with the U.S. Department of Housing and Urban Development. The substance and findings of the work are dedicated to the public. The authors and publisher are solely responsible for the accuracy of the statements and interpretations contained in this publication. Such interpretations do not necessarily reflect the views of the government.

Facilitation:



# EXPANDING EQUITY AND INCLUSION IN URBAN DEVELOPMENT THROUGH TRANSATLANTIC EXCHANGE

2019 | No. 24

GERALDINE GARDNER, IRENE GARCÍA, PAUL COSTELLO

Summary.....4

Introduction.....6

Literature Review.....10

Dialogues for Change Project Case Studies .....15

Building a Community of Practice on Equity and Inclusion.....21

Conclusions and Recommendations.....30

Annex: Cited References.....34

# SUMMARY

The Urban and Regional Policy Program (URP) of the German Marshall Fund of the United States (GMF), in collaboration with the Urban Institute, conducted a research project that explores how—and the learning process by which—the principles of equity and inclusion can be incorporated into the design and implementation of urban planning projects, and what role, if any, can transatlantic peer-to-peer learning activities play. The focus of research is GMF’s transatlantic peer-to-peer learning initiative, Dialogues for Change (D4C).

Dialogues for Change is an initiative that grew out of the 2012 joint declaration between the German Federal Ministry for Building, Transport, Nature Conservation and Nuclear Safety (BMVBS) and the U.S. Department of Housing and Urban Development (HUD) to foster transatlantic learning on a variety of urban planning and development topics in support of a shared agenda for integrated sustainable urban development framework.

BMVBS selected GMF to develop and manage an innovative and outcome-oriented city learning network that has engaged over 30 local government managers, urban planners, and an array of nonprofit, philanthropic, and government partners from ten cities (six from the United States and four from Germany) to explore the dynamic practices of integrated urban development under its D4C initiative.

In 2016, GMF launched the third iteration of Dialogues for Change (D4C 3.0), this time with a stronger focus on how best to incorporate the principles of equity and inclusion in the implementation of integrated urban sustainability projects. Over a two-year period, GMF engaged

local leaders in Baltimore, Maryland, Charlotte, North Carolina, and Pittsburgh, Pennsylvania in the United States and Bottrop, Karlsruhe, and Leipzig in Germany, providing a forum to discuss, highlight and amplify promising approaches to strengthen these cities’ civic engagement processes through better participatory strategies and techniques.

Thanks to a research grant awarded in 2017 from the Office of Policy Development and Research/University Partnerships of HUD, GMF commissioned the Urban Institute the analysis of the engagement and learning processes D4C cities have embarked on, to capture the key insights from the D4C activities from June 2017 through June 2018, and to outline the process for integrating equity and inclusion into projects’ design and implementation.

The framework of the initiative provides a unique and timely opportunity to research the actual processes D4C cities have embarked, from which GMF can produce a set of recommendations to support other local governments in their endeavor to create more resilient urban development projects and inclusive communities. This research project and its report address two important gaps in the academic, policy, and planning literature: comparative urban planning practices on equity and inclusion and the study and assessment of transatlantic peer learning among local government staffs and their partners.

Outlined below are the most significant insights and lessons of the report from the following three interdependent perspectives:

- The participants, their teams, and projects;
- The D4C cohort of practitioners and the impact

and influence of the GMF process; and

- The broader, emerging community of practice that seeks to plan, design, and develop more just, inclusive, and equitable communities.

### *Insights and observations of participants at the project level*

Acknowledge that achieving equity and inclusion will be difficult; recognize that planners and planning processes have inherent barriers and tensions they must overcome to become more equitable and inclusive, such as community attendees, history of segregation and separation, misperceptions about ethnic and religious groups, customary top-down approaches to urban planning.

Manage up, manage across, and manage down to ensure that everyone understands the principles of equity and inclusion and their roles in addressing the barriers to equity and inclusion.

Apply the principles and practices of adaptive leadership (D4C Learning Theme) to help cultures, practices, programs, and policies become more equitable and inclusive.

Engage partners—no single entity, such as local government, can achieve equity and inclusion outcomes on their own.

### *Insights and observations regarding the influence of D4C process and cohort—cohort, program, and policy*

D4C's meetings offered participants a forum in which to discuss challenges, test approaches, and get peer feedback, etc. D4C's projects provided the participants with a practical vehicle for the adapting the principles of equity and inclusion in their projects and facilitating peer learning among and across the participants and cities.

D4C empowered participants to bring new perspectives to achieving equity and inclusion using urban planning processes.

Having gone through the D4C process, the participants now have a framework/general approach for how to integrate equity and inclusion in future projects.

Future peer learning or research efforts should assess the long-term impacts of this work to determine if the D4C cohort's preliminary efforts to enhance their equity and inclusion approaches within their projects did produce outcomes that enhanced equity, such as access to new or refurbished neighborhood assets, services, or benefits from the implemented plan, policy or project.

### *Insights and observation in fostering a community of practice on equity and inclusion*

Start with an inclusionary community process as the foundation but note that inclusion without equity is just process and equity without inclusion is inadequate/insufficient.

Understand the relationship between distributional equity policy, program goals, and actions and inclusionary processes and procedures; planners and policymakers cannot achieve equitable outcomes without both inclusion and equitable benefits.

Continue to develop a common language and process for transatlantic peer learning on equity and inclusion. This can be done by facilitating cooperation and knowledge exchange to incorporate equity and inclusion beyond the planning process, to a more sustained and institutionalized practice.

It is critical to have a curriculum that gives participants the grounding in equity and inclusion along with concrete tools and tactics (such as the stakeholder exercises) in which to test these concepts.

Many of these lessons and recommendations on integrating the critical components of equity and inclusion are relevant for other cities in Germany and the United States. GMF should continue to use D4C and its other activities to disseminate the lessons while expanding and formalizing the D4C approach for other cities.

# INTRODUCTION

The Urban and Regional Policy Program of the German Marshall Fund of the United States (GMF), with support from the U.S. Department of Housing and Urban Development (HUD), developed a research project to document, track and assess the integration of equity and inclusion principles into the design and implementation of urban planning processes and projects through transatlantic peer-to-peer learning. This report examines how the third year of Dialogues for Change (D4C 3.0) learning exchanges advanced this goal of integrating equity and inclusion principles in six urban development and planning projects in Germany and in the United States.

By engaging local-level, cross-sector leaders from U.S. and German cities in a multi-year initiative, D4C provided an ideal platform for exploring the participants' experiences, tools, and strategies to integrate the critical components of equity and inclusion into existing projects. An important goal of the research is to better understand the degree to which the transatlantic peer-to-peer exchange contributed to D4C cities incorporating these principles into the design and implementation of projects.

Researchers from the Urban Institute examined D4C's peer-to-peer learning process from 2017 to 2018 and the influence it had on the participants, their teams, projects, cohort, and the emerging community of practice on integrating equity and inclusion into urban planning and development processes and project. To that end, the research questions were as follows.

- How has the transatlantic, peer-to-peer learning process shaped the D4C program participants'

understanding of equity and inclusion as a critical element to sustainable and integrated urban development?

- How have the D4C program participants applied the knowledge gained from the transatlantic, peer-to-peer learning process and incorporated the principles of equity and inclusion into the design and implementation of their six urban projects?
- What benefits have program participants observed/experienced by inserting equity and inclusion principles into their projects? What benefits have program participants observed/experienced by participating in the transatlantic peer exchange?

## GMF's Dialogues for Change Initiative

GMF's Urban and Regional Policy Program has a long history and deep experience with supporting leaders, policymakers, and practitioners in the United States and Europe by facilitating the transatlantic exchange of knowledge for building inclusive, sustainable, and globally engaged cities in the United States and Europe. In 2012 the Dialogues for Change (D4C) initiative emerged as a collaborative led by GMF with the support of the German Federal Ministry for Building, Transport, Nature Conservation and Nuclear Safety; the German Federal Institute for Research on Building, Urban Affairs, and Spatial Development; and the U.S. Department of Housing and Urban Development (and its Offices for Policy Development and Research and the International and Philanthropic Affairs Division (formerly the Office for International and Philanthropic Innovation).

**Figure 1. D4C Learning Themes for Effective Practice and Leadership in Integrated Urban Development Projects.**



D4C seeks to develop a transatlantic network of cross-sector participants who explore crosscutting themes critical to advance the principles and practices of integrated urban development. D4C’s primary objectives include:

- Building a U.S.-German learning network to explore opportunities and challenges around innovative approaches to civic engagement, equity, and inclusion;
- Increasing baseline knowledge and policy dimensions of city plans to create a more productive peer learning environment;
- Inspiring participants with information, tools, and techniques to improve civic engagement processes and outcomes in their home communities by providing a forum to give and receive expert and peer advice;
- Inspiring participants to envision themselves as leaders and starting to establish a framework for lasting change by developing an action plan for city recommendations/projects; and

- Identifying and widely disseminating program outcomes, as well as best/promising practices from participating cities.<sup>2</sup>

Under the D4C initiative there have been two cohorts of city networks which are described in greater detail below.

*D4C 2.0 (2013–2015)*

D4C 2.0—which included Austin, Texas, Baltimore, Maryland, Flint, Michigan, Memphis, Tennessee, in the United States, and Bottrop, Leipzig, and Ludwigsburg in Germany—was designed to engage local leaders in U.S. and German cities on strengthening their civic engagement approaches, testing new ideas on active planning processes in their communities, and ultimately finding integrated solutions to complex urban development challenges. Workshops were held alternately in the United States and Germany in the participating network cities.

<sup>2</sup> Gardner, Geraldine. 2016. “Civic Engagement Principles for Transatlantic Cities: Inspiration from the Dialogues for Change Initiative 2013-2015.” Washington, DC: The German Marshall Fund of the United States.

## D4C 3.0 (2016–2018)

The D4C 3.0 project—which included Baltimore, Maryland, Charlotte, North Carolina, Pittsburgh, Pennsylvania, in the United States and Bottrop, Leipzig, and Karlsruhe in Germany—continued to build on this successful model and developed a new transatlantic network of cross-sector participants to explore crosscutting themes critical to successful project implementation; these themes are illustrated in the graphic to the right. With integrated urban development as the primary focus, the programming of D4C 3.0 focused on developing and strengthening cross-sector partnerships, both from a peer-to-peer scale as well as a local-to-federal scale, with the overall goal of leveraging these relationships to successfully implement catalytic urban sustainability priorities. Equity and inclusion was one of the four themes that GMF and its facilitator incorporated into the interactive peer learning content while learning themes were phased into the workshop series and knowledge built over time. Equity and inclusion content were also introduced in the Karlsruhe workshop, on June 14–16, 2017, with the core learning activities developed from this workshop being used in the later Pittsburgh workshop, which occurred on May 16–18, 2018.

Participation in D4C 3.0 was based on a specific project that each city’s team was currently implementing locally within the framework of integrated urban development. The project-specific approach enabled participants to share current challenges and successes with the group, test out ideas, share updates on project progress, discuss new challenges, and collectively learn from participants’ professional experiences.

The process and outcome of D4C 3.0 contributed positively to the evolution of each city’s project. In addition, the D4C dialogues provided federal and local government leaders with the opportunity to explore different approaches and processes with regard to how communities could apply and adapt the core principles of the country’s integrated urban development strategy. The German Federal Ministry for Building, Transport, Nature Conservation and Nuclear Safety (BMVBS) also thought the dialogues would enhance their understanding of local government progress, showcase local level

expertise, and then spread these insights among city leaders in Germany and abroad.<sup>3</sup>

## Designing the Research

In response to the three research questions presented above, a logic model was developed to connect the questions in support of a broader theory of change—that sharing knowledge and group problem solving among and across the six communities could serve as an emerging model for practitioners and policymakers in how they can better infuse, integrate, and achieve equity and inclusion within their communities.

The approaches used to collect and synthesize the information from a variety of primary and secondary sources are highlighted below.

**D4C workshops:** These workshops served as the primary vehicles for gathering information for this research project and observed the D4C city team along with the group discussion and exercises where they applied the concepts and principles of equity and inclusion to each of their respective development/urban planning projects.

**Survey:** An open-ended survey was submitted to the D4C participants. The questions sought to better understand the individual perspectives and experiences with equity and inclusion, especially in the context of their projects, their respective knowledge of how cities function on the other side of the Atlantic from their city, and international peer learning

**Case studies and semi-structured interviews:** Considering how central the six projects were to all aspects of D4C, brief case studies about each of the six urban development/urban planning projects were developed and can be read in Chapter 2. Semi-structured interviews were also conducted with D4C participants and partners to get their insights about the design, evaluation, and execution of the program.<sup>4</sup>

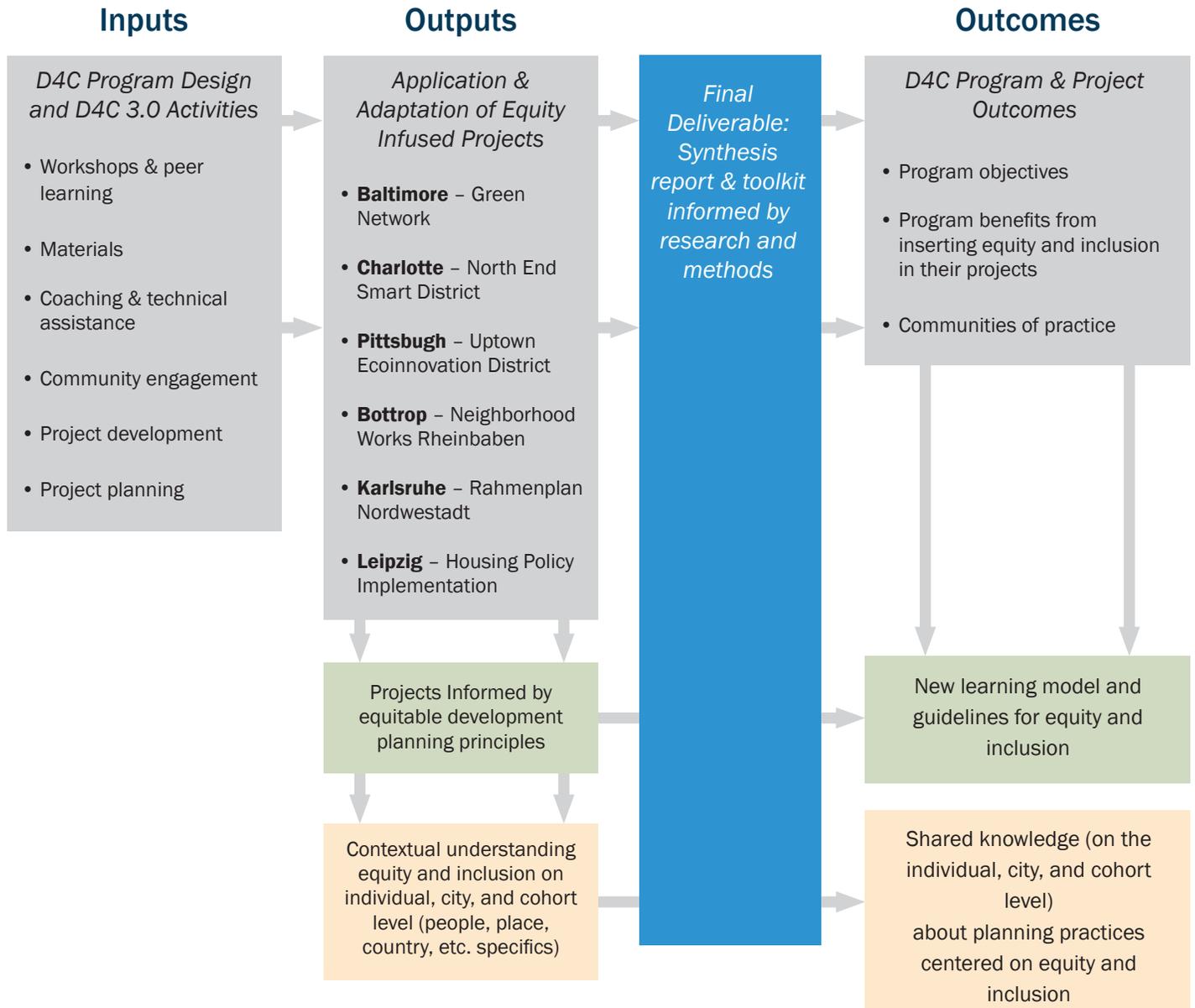
<sup>3</sup> Interview with BMVBS leaders, December 12, 2017.

<sup>4</sup> Dubois, Vincent. 2015. “Doing Critical Policy Ethnography.” In *Handbook of Critical Policy Studies*, Frank Fischer, Douglas Torgerson, Anna Durnová, and Michael Orsini (eds.). Northampton, MA: Edward Elgar Publishing.

Figure 2. Summary of the Research Logic

**Equity and Inclusion**

**Transatlantic Learning Process**



# LITERATURE REVIEW

In synthesizing the primary and secondary information gathered, the literature review served as the intellectual foundation of the work while the logic model designed became the roadmap to answering the three primary research questions. A scan of relatively recent academic literature, policy reports and practitioner guidance helped chart the multiple dimensions of these core concepts and identify important differences in the U.S. and German/European contexts. The literature review also touches upon some of the latest assessment and analysis of policy learning approaches and diffusion of model practices within and among U.S. communities as well as between European and U.S. urban planning communities.

Articulating one clear definition of equity in the planning context is difficult because the diversity of local conditions and requirements rules out standardization. Further, terms that address equity, inclusion, and diversity depend on the context of the place, history, politics, and culture; and these contexts and vary across U.S. and German cities. While there is no single agreed upon definition of equity, there are three types that the literature points to social equity, procedural equity, and distributional equity. Further, in the United States, equitable development and inclusive growth are popular terms to describe a planning or economic development activity used to create equitable outcomes for low-income communities and communities of color, while the term integrated planning is more commonly used in Germany.

## *Equity Principles*

The literature points to three main types of equity in the United States and European contexts: social

equity, procedural equity, and distributional equity.

**Social equity** has to do with public administration and the provision of public services; it is the “fair, just and equitable management of all institutions serving the public directly or by contract, and the fair and equitable distribution of public services and implementation of public policy; and the commitment to promote fairness, justice, and equity in the formation of public policy”.<sup>2</sup> The concept of social equity is rooted in the idea that each person has equal and inalienable rights.<sup>3</sup>

**Procedural or process equity** is the guarantee of due process, equal protection, and constancy. The legal foundations of both Germany and the United States describe a basic right of nondiscrimination and both countries have enacted policies to support this right. In the United States, the Equal Rights under the Law Legislation states, “[a]ll persons within the jurisdiction of the United States shall have ... equal benefit of all laws ... as is enjoyed by white citizens”.<sup>4</sup> In the 1960s a series of civil rights laws were passed to reduce inequalities based on certain protected classes: race, color, national origin, sex, family status, religion, and disability. In Germany, the Basic Law, the constitution of the country since 1949, states that “no person shall be favored or disfavored [by the state] because of sex, parentage, race, language, homeland and origin, faith, or religious or political opinions.”<sup>5</sup>

2 Putnam-Walkerly, Kris and Elizabeth Russell. 2016. “The Road to Achieving Equity: Findings and Lessons from a Field Scan of Foundations That Are Embracing Equity as a Primary Focus.” The Putnam Consulting Group

3 Campbell, Alan K. 1976. “Approaches to Defining, Measuring, and Achieving Equity in the Public Sector.” *Public Administration Review* 36(5): 556–562.

4 42 U.S. Code § 1981

5 Basic Law for the Federal Republic of Germany, Grundgesetz [GG] art. 3 (F.R.G.)

**Distributional equity** focuses on equal access to quality, affordable goods, and services.<sup>6</sup>

In the United States, practitioners in the urban planning field have used some combination of all of these concepts to create definitions of equity in the areas of planning as well as the related areas of economic development,<sup>7</sup> housing policy,<sup>8</sup> and sustainable development.<sup>9</sup> Howard Krumholz was one of the earliest planners to focus on equitable outcomes in his work in Cleveland.<sup>10</sup> He used a social-equity approach, ensuring that public agencies were giving priority attention to provide a range of options to disadvantaged communities. More

“ **A study in 2012 found that 71 percent of all cities in Germany indicated integration policies to be of high or very high importance.** ”

recently, Andrea Jonas has explored the planning conditions that lead to greater social cohesion in the United States and makes connections to Cologne, Germany.<sup>11</sup> The American Planning Association is working on a Social Equity and Inclusive Growth Policy Guide targeted specifically to urban planners

and was published in April 2019.<sup>12</sup>

In Germany, there has been research on planning practices and their effect on “integration,” which in this context means addressing the spatial and distributional inequalities of persons who have migrated to Germany as well as other disadvantaged groups, including those in poverty.<sup>13</sup> Integration as a topic is very high on the agenda of many German cities. A study in 2012 found that 71 percent of all cities in Germany indicated integration policies to be of high or very high importance, with almost 100 percent of large cities reporting this result.<sup>14</sup> Since 2007, Germany has implemented a National Urban Development Policy (Nationale Stadtentwicklungspolitik) that promotes integrated urban development.<sup>15</sup> This policy emphasizes coordinating public investment in place to attract and leverage private investments, ensuring multi-sector participation including citizens, and coordinating various local and regional planning efforts.<sup>16</sup> By bundling scarce resources and aligning these resources with regional, local and neighborhood plans, integrated urban development aims to achieve sustainable and equitable outcomes in cities.<sup>17</sup>

### *Equity and Inclusion in Urban Planning Processes*

The literature on U.S. planning processes concentrates on three areas: the spatial inequities between urban and suburban locations, the role of civic engagement, and achieving equity in cities in the face of economic growth. Spatial equity challenges in the United States have been largely driven by lending practices and housing discrimination, which led to racially concentrated areas of poverty, traditionally in urban areas. For this reason, equity planning literature points to a history of planning interventions at the

6 Kim, Kwan. 1996. “The Political Economy of Distributional Equity in Comparative Perspective.” Policy Working Paper #217. The Helen Kellogg Institute for International Studies; Regional Equity Atlas, “Definitions of Equity”.

7 Gourevitch, Ruth, Solomon Greene, and Rolf Pendall. 2018. “Place and Opportunity Using Federal Fair Housing Data to Examine Opportunity across US Regions and Populations.” Washington, DC: Urban Institute.; Treuhaft, Sarah. 2015. “All-In Cities: Building an Equitable Economy from the Ground Up.” Oakland, CA: PolicyLink

8 Rose, Kalima and Teddy Ky-Nam Miller. 2016. “Healthy Communities of Opportunity: An Equity Blueprint to Address America’s Housing Challenges.” Oakland, CA: PolicyLink and Troy, MI: The Kresge Foundation

9 Agyeman, Julian and Tom Evans. 2003. “Toward Just Sustainability in Urban Communities: Building Equity Rights with Sustainable Solutions.” The ANNALS of the American Academy of Political and Social Science 590(1): 35-53

10 Zapata, Marisa A. and Lisa K. Bates. 2016. “Equity Planning or Equitable Opportunities? The Construction of Equity in the HUD Sustainable Communities Regional Planning Grants.” *Journal of Planning Education and Research* 37(4): 411-424

11 Jones, Andrea. 2017. “Neighborhoods in Transition: Insights from U.S. Strategies for Integrated Urban Planning”. German Marshal Fund of the United States

12 On its website, the American Planning Association states that “equity should be core to all planning activities,” but it is not clear how the organization plans to define equity.

13 Bundesinstitut für Bau, Stadt- und Raumforschung (BBSR). *Integration and City Neighborhood Policy*, Bonn: BBSR, 2009-2012.

14 Bundesinstitut für Bau, Stadt- und Raumforschung (BBSR). *Stand der kommunalen Integrationspolitik in Deutschland*, Bonn: BBSR, 2012

15 Bundesinstitut für Bau, Stadt- und Raumforschung (BBSR). *Toward a National Urban Development Policy in Germany*. Bonn: BBSR, 2007

16 Leipzig Charter on Sustainable European Cities. 2007.

17 German Association of Cities. *Integrated Urban Development Planning and Urban Development Management – Strategies and instruments for sustainable urban development*. Berlin: Deutscher Städtetag, 2013

regional scale to tackle these spatial challenges.<sup>18</sup> However, equitable regional planning efforts have limited influence in the United States as there are not always strong regional governance entities, hampering capacity to implement planning efforts at this scale.<sup>19</sup> Therefore, other literature points to the importance of neighborhood-level interventions.<sup>20</sup> Civic engagement is also a strong theme in this research, emphasizing the importance of power and voice in eventual equitable outcomes.<sup>21</sup> This has been evident in the recent 11<sup>th</sup> Street Bridge Planning Process in Washington, DC, in which equitable outcomes are a strong focus and planners consulted a wide range of community stakeholders to develop measurable outcome goals.<sup>22</sup> In Oakland, California, the city, developers and community groups worked closely together to ensure equitable outcomes for a decommissioned army base that was being revitalized.<sup>23</sup> While many development projects in the United States use community benefits agreements, this example was unique in that community organizations also contributed to the implementation of the agreement, ensuring the benefits were realized.

Planners in the United States also focus on improving disadvantaged cities and neighborhoods as a means of promoting greater economic and social equity. The literature finds that pro-economic growth policies absent a focus on equitable outcomes often leads to greater inequity. However, researchers have found that the overall economy improves when integration outcomes improve.<sup>24</sup> Equitable patterns of development are not only compatible with revitalization and economic growth but also help

with enhancing it.<sup>25</sup>

The literature on planning for integration in Germany focuses on place-based interventions in disadvantaged neighborhoods and the importance of citizen participation in equitable outcomes. Spatial segregation of migrants, especially those with refugee status, is an issue across Europe and prevents outward (spatial) and upward (socioeconomic) mobility.<sup>26</sup> The Social City (*Soziale Stadt*) is a development and planning program led at the federal-level in Germany but implemented at the neighborhood level. It draws its theory from the integrated urban development policy mentioned previously, but with a focus on

“ **Planners in the United States also focus on improving disadvantaged cities and neighborhoods as a means of promoting greater economic and social equity.** ”

disadvantaged neighborhoods. The program works across several normally siloed areas to make focused investments in specific places: education, culture and sports, health, economic development, and safety.<sup>27</sup> Planners are granted flexibility in normal program regulations to combine public funding in locally determined areas in order to increase impact and attract private investment.<sup>28</sup>

German planning literature also points to the importance of activating civil society and incentivizing public participation in planning processes as a means of achieving equitable planning outcomes. In both the ideals of the National Urban

18 Poethig, Erika, Solomon Greene, Christina Stacy, Tanaya Srini, and Brady Meixell. 2018. *Inclusive Recovery in US Cities*. Washington, DC: Urban Institute.

19 Zapata, Marisa A. and Lisa K. Bates. 2016. “Equity Planning or Equitable Opportunities?”

20 de Souza Briggs, Xavier, Rolf Pendall and Victor Rubin. 2015. “Inclusive Economic Growth in America’s Cities: What’s the Playbook and the Score?” Washington, DC: World Bank Group; Jonas, Andrea. 2017. “Neighborhoods in Transition: Insights from U.S. Strategies for Integrated Urban Planning.” Washington, DC: The German Marshall Fund of the United States.

21 Poethig, et Al. 2018. *Inclusive Recovery in US Cities*; Greene, Solomon, and Kathryn L.S. Pettit. 2016. *What if Cities Used Data to Drive Inclusive Neighborhood Change?* Washington DC: Urban Institute.

22 Bogle, Mary, et. al. 2016. “Equitable Development Planning and Urban Park Space: Early Insights from DC’s 11th Street Bridge Park Project.” Washington DC: Urban Institute.

23 Rahmen, Sabel. “The Key to Making Economic Development More Equitable Is Making It More Democratic.” *The Nation*. April 26, 2016.

24 Poethig et al. 2018, *Inclusive Recovery in US Cities*.

25 Benner, Chris and Manuel Pastor. 2015. *Equity, Growth, and Community*. Oakland, CA: University of California Press

26 OECD. 2018. “Divided Cities: Understanding Intra-urban Inequalities.” Paris: OECD Publishing

27 Bundesinstitut für Bau, Stadt- und Raumforschung (BBSR). *Zwischenevaluierung des Städtebauförderungsprogramms Soziale Stadt*, Bonn: BBSR, 2017.

28 Ibid.

Development Policy and the Social City program, there are high standards for citizen participation in the planning activities of the focus neighborhoods, with special requirements that socially disadvantaged groups be given a voice in the process.<sup>29</sup> Similarly, in a study of equitable neighborhood planning processes in 2009–2012, researchers concluded that, in order to increase the political participation of migrants in local areas, under-represented groups and new migrants should always be included in neighborhood development discussions and, in the best case, redevelopment efforts should be led by a person with intercultural competencies to foster better long-term integration outcomes.<sup>30</sup> The researchers in this study found that programming offered at local schools, daycare facilities, and faith-based organizations more successfully reached under-represented groups. This aspect has been replicated in a new program called Social Integration in Neighborhoods (*Soziale Integration im Quartier*), which invests in building new social infrastructures such as schools, community centers and sports fields to provide neutral, neighborhood anchors for community togetherness.<sup>31</sup>

### *Policy and Equity*

The literature on planning in both countries points to policies that can be achieved through planning processes, which in turn have an impact on equitable outcomes. In the United States these include strong affordable housing policies, usually aimed at easing land use restrictions, and small business development.<sup>32</sup> The OECD also notes the importance of access to job opportunities by public transit in the United States. While many minorities in the United States live near transit, it typically is not connected to quality jobs.<sup>33</sup> In Germany, similar themes are present in the literature. For example,

research has cited that migrants were better off when place-based strategies, including affordable housing, were created in tandem with local economic and labor market policies.<sup>34</sup> The Leipzig Charter also mentions the importance of public transit to connect disadvantaged neighborhoods to amenities, such as jobs. In Germany, there is also an emphasis on how the built environment can create anchors of togetherness, for example through schools, cafes and community centers.<sup>35</sup> German planners, therefore, aim to create neutral places of convening for people of various backgrounds and are supported with federal funding to do so.<sup>36</sup>

### **Why equity and inclusion as a subject for international city-to-city exchanges?**

The literature review further reveals that U.S. and German cities have approached equitable planning efforts from similar frameworks with some notable exceptions. For example, the United States does not have a national integrated urban development policy to guide planning efforts, though there are smart growth principles and, under the Obama administration, efforts to make aligned, place-based investments in specific disadvantaged places (see the Strong Cities, Strong Communities Initiative, Choice Neighborhoods, Promise Zones, and Neighborhood Revitalization Initiative). Where German and U.S. cities have even more in common is their shared challenges. Challenges of social cohesion, integration, and inequity are shared across German and U.S. cities even though the intensity of the challenge may vary. Although inequality, as measured by the Gini coefficient, is less pronounced in Germany than in the United States, even places with low overall inequality can display high segregation levels.<sup>37</sup> German and U.S. cities are looking for creative strategies and policies to achieve equity of opportunity for their most vulnerable citizens.

Effective transfer of policy ideas, practices and innovation requires the right people in the right place at the right time, which means that policy learning

29 Ibid; Leipzig Charter on Sustainable European Cities. 2007.

30 Bundesinstitut für Bau, Stadt- und Raumforschung (BBSR). *Integration and City Neighborhood Policy*, Bonn: BBSR, 2009-2012.

31 Investitionspakt Soziale Integration im Quartier, [www.investitionspakt-integration.de](http://www.investitionspakt-integration.de).

32 Jones, Andrea. 2017. "Neighborhoods in Transition: Insights from U.S. Strategies for Integrated Urban Planning". German Marshal Fund of the United States; Gourevitch, Greene, and Pendall. 2018, "Place and Opportunity Using Federal Fair Housing Data to Examine Opportunity across US Regions and Populations."

33 Gourevitch, Greene, and Pendall 2018. "Place and Opportunity Using Federal Fair Housing Data to Examine Opportunity across US Regions and Populations.;" OECD. 2018. "Divided Cities: Understanding Intra-urban Inequalities."

34 Bundesinstitut für Bau, Stadt- und Raumforschung (BBSR). *Integration and City Neighborhood Policy*, Bonn: BBSR, 2009-2012.

35 Investitionspakt Soziale Integration im Quartier, [www.investitionspakt-integration.de](http://www.investitionspakt-integration.de).

36 Ibid.

37 OECD. 2018. "Divided Cities: Understanding Intra-urban Inequalities."

is more art than science. Many international and national organizations and associations have special programs and events to foster the exchange of policy ideas and knowledge among a range of policy actors and across a diverse geography of cities, states, communities, etc. The core research on policy learning established preliminary conceptual frameworks that outline the phases/stages involved with this dynamic process.<sup>38</sup> Additional research examined case studies that offered insights into the ingredients of successful policy transfers as well as the potential pitfalls from ineffective policy transfer.<sup>39</sup> Recent research also identifies the actors and their roles as effective policy transfer must involve willing and engaged actors—those who are seeking and are receptive to new ideas/policy innovations, and those who can export and share their experiences as early adopters.<sup>40</sup>

### *German Equity and Inclusion Challenges*

Germany has been a country of immigration since the 1950s. As of 2015, Germany had the second highest number of immigrants, after the United States<sup>41</sup> and in 2015, Germany admitted over one million refugee seekers. Despite this history, the German government only recognized that it was a “country of immigration” in the early 2000s. Since then the country has moved to a policy goal of integration. This is a change from previous policies, which did not incentivize integration of migrants into mainstream German society as migrants were seen as a way to fill short- and medium-term labor shortages.<sup>42</sup> The 2016 Integration Law, asked German citizens and immigrants to make adaptations to achieve integration, under the maxim *Fördern und Fordern*.<sup>43</sup> Since the early 2000s, federal, state and local levels have been working to achieve integration outcomes for newcomers and long-standing immigrant communities—this includes labor market, residential, and cultural integration with long-term goals of economic self-sufficiency

38 Dolowitz, David and David Marsh. 2012. “The Future of Policy Transfer Research.” *Political Studies Review* 10:339-345

39 Dolowitz, David; Medearis, Dale. 2009. “Considerations about the Obstacles and Opportunities for Formalizing Cross-National Policy Transfer to the United States”. *Environment and Planning* 27(3): 684-597.

40 Soremi, Titilayo. 2016. “Policy Transfer: Revisiting Concepts and Process.” *International Journal of Arts & Sciences* 09(03):377–388

41 United Nations. 2016. “International Migration Report 2015 Highlights.” New York: United Nations Publishing

42 Rietig, Victoria and Andreas Müller. 2016. “The New Reality: Germany Adapts to Its Role as a Major Migrant Magnet.” *The Online Journal of Migration Policy Institute*.

43 Integrationsgesetz 2016.

and cultural assimilation – with varying degrees of success.

### *U.S. Equity and Inclusion Challenges*

The United States has long been a country of diversity due to forced and voluntary migration and has recognized itself as an immigration destination to varying degrees over its history. Despite being a multicultural country from its beginning, the United States has a long history of disenfranchisement of low income and communities of color, which has resulted in income and wealth gaps<sup>44</sup> as well as disadvantaged neighborhoods, as described in the literature review. Historically, the United States has responded to these inequities through civil rights policies and community and economic development initiatives that are implemented at the regional and local level, but largely funded by the federal government. Policies of equity and inclusion have become increasingly

“ **Challenges of social cohesion, integration, and inequity are shared across German and U.S. cities even though the intensity of the challenge may vary.** ”

important in the last decade due to growing unrest. In 2015, there were several protests across the United States against inequality, police brutality, and the criminal industrial complex, with some of the largest in Baltimore, Maryland, and St. Louis, Missouri. Further, community development efforts have sometimes led to displacement and gentrification of disadvantaged groups, rather than increased well-being. Therefore, finding effective equitable planning techniques that can combat such outcomes has become the focus of many U.S. cities.

44 In 2016, the average wealth of white families (\$919,000) was over \$700,000 higher than the average wealth of black families (\$140,000) and of Hispanic families (\$192,000).

# DIALOGUES FOR CHANGE PROJECT CASE STUDIES

This chapter outlines the core components of each city's case study or project for the D4C initiative. As part of the application process to participate in D4C, each city had to propose a project that they would use as the case study for their work in the initiative. This framework of project-based learning is a core component of GMF's approach because it creates a real-time opportunity for applying knowledge and testing concepts learned through expert and peer exchange.

Effective transfer of innovative policies or practices from place to another requires a meaningful dialogue among the actors that are often supported by a third-party intermediary who acts as facilitator of the policy exchange.<sup>2</sup> These intermediaries include professional associations or nonprofit organizations involved in the policy issue or field, such as sustainability or education. The intermediary may design, develop, and host a series of events, activities to create the right environment to foster the exchange between the communities. Some of these activities focus on building a cohort of leaders who have common experiences, problems, and solutions—the peer-to-peer model.

The more effective intermediaries go beyond the initial convenings/workshops by supporting the exchange through case studies, webinars, conferences. As illustrated by D4C some of the intermediaries provide coaching and ongoing strategic guidance to help the practitioners and policymakers transform ideas into action—where they get informally or formally adopted by the recipient community who then adapts the innovation to their local context and dynamics.

2 Wolman, Harold and Ed Page. 2002. "Policy Transfer among Local Governments: An Information-Theory Approach" *Governance: An International Journal of Policy, Administration, and Institutions*, 15(4): 477–501.

Each case study describes the overall project, key partners, and major milestones and activities to integrate equity and inclusion. As mentioned in the previous chapter, each participating city is at a different stage of project implementation. Most of these projects were at the midpoint in their implementation when the summaries were written during the first half of 2018.

“ ***Effective transfer of innovative policies or practices from place to another requires a meaningful dialogue among the actors that are often supported by a third-party intermediary who acts as facilitator of the policy exchange.*** ”

## Baltimore's Green Network Plan

The Green Network Plan seeks to transform vacant properties into green community assets and to connect these spaces to schools, homes, retail districts, and other activity centers.<sup>3</sup> Two representatives from the Green Network in Baltimore participated in the D4C workshops, one being from the city and

3 Baltimore Green Network (BGN). 2018.

Project	The Green Network Plan
D4C Team	Amy Gilder Busatti, environmental planner, Department of Planning, City of Baltimore  Kacey Wetzel, director of programs for outreach and education, Chesapeake Bay Trust
Location	Baltimore, Maryland (citywide)
Type	Urban greening/green infrastructure plan and planning process
Timeline	2016-2018 (planning); 2018 and beyond (implementation)  Formation Formation of the leadership team, advisory team, and subcommittees  Formation Selection of focus areas and outreach to focus area residents  Formation Creation of citywide vision plan  Formation Creation of focus area plans and identification of pilot projects  Formation Development of recommendations  Public outreach (citywide and in focus area communities)  Release of the draft plan for public comment
Resources	The draft Baltimore Green Network plan document is posted for review and public comment: <a href="https://www.baltimoregreennetwork.com/theplan">https://www.baltimoregreennetwork.com/theplan</a>  The executive summary provides an overview of the draft plan: <a href="https://docs.wixstatic.com/ugd/ce643a_1d8ca6989616492b81839f3927309a82.pdf">https://docs.wixstatic.com/ugd/ce643a_1d8ca6989616492b81839f3927309a82.pdf</a>

the other from a local foundation. This project is at an early stage of implementation and involves a physical planning component and, eventually, long-term implementation. The first phase of the planning process (physical planning) began in 2016 and concluded in 2018. As projects have been identified as part of the planning process, existing city agencies and partner organizations have begun to identify funding sources and take initial steps to implement various pieces of the plan over the next several years.

## Pittsburgh’s Uptown Eco-Innovation District

Pittsburgh’s Uptown Eco-Innovation District is an important part of the city’s wider goal of achieving 100 percent renewable energy use in city facilities

Project	100 percent renewable energy use in Pittsburgh by 2035, pilot in the Uptown Eco-Innovation District
D4C Team	Rebecca Kiernan, senior resilience coordinator, Office of Sustainability, City of Pittsburgh  Ben Morris, director, operations work management and performance, Duquesne Light Company
Location	Uptown neighborhood, Pittsburgh
Type	Neighborhood energy plan and planning process district project
Timeline	2016–2035
Resources	For further information, visit <a href="http://www.ecoinnovationdistrict.org/">http://www.ecoinnovationdistrict.org/</a>

by 2030, and citywide by 2035. “The Eco-Innovation District is an opportunity to identify the ways in which redevelopment can improve the environment, support the needs of existing residents and expand entrepreneurship and job growth and aims to achieve equity and inclusion by increasing clean energy access for local residents”.<sup>4</sup> The Uptown Eco-Innovation District is using multi-stakeholder analysis of distributed energy, energy efficiency, and renewable energy, as well as community engagement in the implementation of substation integration development plans. Through this collaborative multi-stakeholder process, as well as other cross-sector collaborations like the Roundtable on Green Energy, the city will begin implementing the identified priorities for energy use in city facilities and in neighborhoods.

The D4C 3.0 Pittsburgh project sought to implement equitable and inclusive energy policies in support of the mayor’s climate action goals for carbon-reduction by targeting greater energy efficiency and/or relative growth in renewably generated electricity. Their goal was to ensure that all community members, particularly the financially vulnerable, stand to benefit in a fair and inclusive manner from any policies/plans promulgated with respect to energy efficiency and renewable energy.

## Charlotte’s North End Smart District

The North End Smart District (NESD) in Charlotte’s 2020 Vision Plan is part of the city’s broader initiative to implement an Applied Innovation Corridor. The industrial history of this area is one of the main

4 Econ-Innovation District. “What Is an Eco-Innovation District?”

reasons for targeting this geography as its smart district. There is a unique cluster of historically and economically important warehouse buildings on the 75-acre site, which are now owned by a single developer and near the city center and many other resources. The developer not only wants to conserve the tangible history of the structures, but also to create an asset for existing community members with cultural offerings, jobs, and training opportunities. To the south of this site is the city’s 25-acre Public Safety Campus. With tens of millions of dollars in government investment, this campus is also home to efforts that aim to provide a distributed energy micro-grid and to promote data collaboration between government agencies to address public safety issues. In the west and northwest of the NESD, there has been significant partnership in reinvesting in the affordable housing sector and in creating a mix of housing types.

To the east in the NESD, the Blue Line light rail has been extended from uptown to the university and is opening March 2018. All of these investments are evolving the area into the technologically savvy Smart District, but Charlotte would like to expand the benefits of the project beyond economic development and address long-term sustainability through opportunities to connect the surrounding communities to this central 100-acre site and maximize the value of all these new amenities and those to come. This effort is being led by the city’s Sustainability Office, and will capitalize on those physical assets by bringing the neighborhoods to the NESD conversation early in the process, before the NESD’s transformation

Project	North End Smart District
D4C Team	Sarah Hazel, assistant to the city manager—special projects, City of Charlotte  Rob Phocas, sustainability director, City of Charlotte  Pamela Wideman, director, housing and neighborhood services, City of Charlotte
Location	North Charlotte
Type	District planning and development project
Timeline	Grant funded project timeline June 2017–July 2018 Project timeline 2016—ongoing
Resources	For further information, visit: <a href="http://northendsmartdistrict.com/">http://northendsmartdistrict.com/</a>

By utilizing Charlotte’s historic strength of cooperation, the city intends to hasten a vision for the NESD on a smart city platform leveraging the sustainability’s plan triple bottom line framework (i.e., people, profit, planet). Using a public-private-plus model (i.e., government-business-non-profit-education), the Charlotte team and its partners seek to create a smart city ecosystem that would:

- Minimize environmental impact,
- Expand economic opportunities for all, and
- Ensure social capital for all.

Charlotte’s Sustainability Office team developed a comprehensive and innovative community engagement strategy to help residents align goals and efforts, and work with partners to develop and implement meaningful “smart” projects. These initial projects, such as Tech Charlotte, Smart Homes, or Healthy Communities, support the larger vision of improved public services and infrastructure through data, technology, and innovative collaborations for a great quality of life for the community. In the words of one community leader, they help to “create a fuss-free life where basic amenities reflect that of other parts of Charlotte and folks living here have an opportunity to enter the new technology workforce the city is hoping to attract to this area.”

## Bottrop’s Neighborhood Works Rheinbaben

Located in the historic coal mining neighborhood of Rheinbaben, the D4C project—Neighborhood Works Rheinbaben—combines intelligent measures to increase energy efficiency and climate-friendly energy production with building modernization that maintains the protected architecture of the historic homes. The project will construct a CHP-based heat network within the neighborhood and renovate and modernize the buildings in energy efficient ways.

Neighborhood Works is part of the broader InnovationCity Ruhr that seeks measurable reductions in CO<sup>2</sup> emissions and tangible quality of life improvements as part of the climate-friendly

urban regeneration process. InnovationCity Ruhr follows a comprehensive approach that reflects the complexity and interdependencies of urban development in a climate-challenged future. The project is situated within a citywide sustainability master plan that comprises 340 project ideas covering five fields of action: living, working, energy, mobility and city planning. Neighborhood Works Rheinbaben is funded by the federal government as a project under the National Urban Development Policy.

InnovationCity Ruhr grew from a competition among German cities, where Bottrop won by proposing to involve almost 70,000 residents in the renewal of its urban center using innovation and practical solutions for sustainable living. Due to the decision to end the German coal mining industry by the year 2018, Bottrop and the Ruhr region found itself in the middle of a far-reaching structural change that

Project	Neighborhood Works Rheinbaben
D4C Team	Christina Kleinheins, head of City Planning Office, City of Bottrop  Alexandro Hugenberg, project manager, InnovationCity Ruhr/City of Bottrop  Klaus Müller, head of department, City of Bottrop
Location	Rheinbaben Neighborhood
Type	Green housing rehab program—energy efficiency and renewable energy
Objectives within Bottrop's timeline	Bringing new technologies in practical use: For example, implementation of energy plus homes, micro-cogeneration plants, heat pumps with PV systems and storage.  Information, advice, and promotion: Offering topic-specific information evenings, individual energy consultations, grant campaigns for example, for district heating and direct promotion of energy-saving building modernization of up to 25 percent of the cost, etc. €1 of public funding creates €7 private investment.  Going into the neighborhood to the people: door-to-door deliberations and thermography campaigns and establishing a neighborhood management. Enhance the project-team by having a workshop to define and redefine the targets and the methods to overcome a moment of stagnation by using the peer-to-peer-learning tools after the Karlsruhe-workshop.  Define the inputs, outputs, and outcomes by using the lessons from the Charlotte workshop.
Resources	For further information (in German only), visit: <a href="http://www.nachbarschaftswerk-rheinbaben.de/">http://www.nachbarschaftswerk-rheinbaben.de/</a>

touches upon economic, social, and local identity issues. InnovationCity was therefore not only to achieve a green urban development project, but also to give the city a vision for its future after the mining industry.

With respect to equity, the project sought to enable homeowners of all social levels to implement energy-efficiency upgrades by giving a high rate of subsidies, and to ensure support and assistance during the entire upgrade process, including planning and building.

## Karlsruhe's Rahmenplan Nordweststadt

Rahmenplan Nordweststadt in Karlsruhe is a strategic plan for the northwestern part of the city, in which most of the housing was built in the 1970s. The plan derives from the citywide Räumliches Leitbild spatial plan, which identifies the need for an increase in housing and housing density. This project seeks to combine the re-densification of housing in the district with a renewal of public and green spaces as well as an assessment of the social infrastructure needs of the residents in the area affected. Overall, the aim is to strengthen the district in a sustainable way, complementing the reconstruction of buildings as needed, with an increase in healthy living conditions to make the area more livable. The process will engage district residents frequently and in different ways to ensure that the direction of the project and the social infrastructure development derives from and correspond to the residents' needs.

The project has made significant efforts at integrating all the different social groups (age, ethnicity, owners, renters, social housing residents) into the public participation processes. Organizing events at different times of the day and in different formats (walks through the neighborhood), and reaching out, specifically to certain groups, to ensure the broadest and most representative participation in the various events.

Project	Rahmenplan Nordweststadt
D4C Team	Sigrun Hüger, division manager—urban development, Department of Urban Planning, City of Karlsruhe  Mario Rösner, head of technical services, Volkswohnung GmbH
Location	Nordweststadt district, Karlsruhe
Type	Housing re-densification
Timeline	March 2016: Green light from the planning committee  June 2016: Contract with the external planning office  August 2016: Analysis of the district/quarter  September 2016: Start of the participation process  October 2016: Site walks with residents  January 2017: Public planning workshop  February 2017: Information planning committee  March 2017: Municipal youth committee (stakeholder)  September 2017: Final presentation to the public  March 2018: Submitted to the planning committee  April 2018: Submitted to the local council
Resources	For further information (in German only), visit: <a href="https://www.karlsruhe.de/b3/bauen/projekte/rahmenplan/nordweststadt.de">https://www.karlsruhe.de/b3/bauen/projekte/rahmenplan/nordweststadt.de</a>

## Leipzig’s Citywide Housing Policy Implementation

Leipzig is one of the fastest-growing cities in Germany, with 10,000 to 15,000 new residents every year and a rising birth rate. This trend is moving Leipzig towards a constrained housing market with increasing scarcity and low-income groups disproportionately affected by rising rents. The arrival of more refugees and the growing population forecasts have made clear that the city needs to prepare to adapt to a new reality, especially in the area of housing. To address this challenge, Leipzig developed a new housing policy through

a comprehensive participation process involving citizens, stakeholders, politicians, and experts, to revise the city’s housing policies so that they could address these new challenges. The dynamic developments of population growth and the changing housing market mean that the housing policy needs to be implemented without delay, in consensus with major stakeholders, and using effective instruments. Leipzig’s urban development department is currently attempting to adopt a new housing policy.

It should be noted that the D4C project work is just one slice of broader effort to put in place different policy instruments to address the city’s challenges around affordable housing. Leipzig had an interagency task force that manages and coordinates all of the city’s efforts, not just the implementation of the housing policy.

Leipzig’s rent index must be approved by law either by the signature of two large interest groups (the association of renters and the association of housing owners) or by adoption by the city council. Because the housing companies pursued their own interests, a compromise could not be reached in a long participatory process. Thus, the city council had to approve the adoption of the rent index. Local political disagreements also surfaced with the acceptance of the new regional housing funds. The housing companies and property owners once again opposed the application of these funds. Hence the city negotiated intensively with the state of Saxony to improve the funding conditions, started to inform, publish and consult about the funding opportunities and started with those stakeholders who were interested. However, the main impulse was given by the city council’s decision of general principal on the compulsory rate for affordable (funded) housing. This result now guarantees a neutrality of treatment and makes it necessary for investors to deal with the realization of funded housing.

Project	Leipzig's Housing Policy Implementation
D4C Team	Stefan Heinig, head of urban development planning, City of Leipzig Karolin Pannike, officer—urban, City of Leipzig
Key Partners	Within the city government: City Planning Office, Office for Social Affairs and Office for Urban Renewal (core team), Office for Municipal Estates; municipal housing company  Outside of the city government: Private property owners/investors/developers; network of alternative housing projects (Netzwerk Leipziger Freiheit) and several related stakeholders (e.g. Fritjof Mothes, urban planner, Stadtlabor/Haushalten e.V.); housing associations, professional associations, politicians, state, and regional government
Location	Leipzig
Type	Citywide urban planning initiative—housing policy and housing instruments
Timeline	Project timeline autumn 2015–spring 2018  October 2015: City Council approval of the housing policy concept  Autumn 2015: Urban Development Department begins implementation of the policy  Autumn 2016: Strategy updated according to new population prognosis  Spring 2017: Delivery of a first evaluation  March 2017: Publication of prognosis of housing demand until 2030 (within monitoring report)  March 2017: Urban Development Department held stakeholder discussion of instruments reserved for strong growth/dense housing market  August 2017: Integration of housing policies into the city's updated integrated urban development concept (included in the general goals and in particular spatial strategies for the use of housing policy instruments). City council approvals related to specific instruments (compulsory rate of affordable (funded) housing in newly developed areas, restriction of rent rises)  Spring 2018: Update of housing policy concept with a revised set of housing policy instruments  Project milestones:  Facilitate the process of implementing the housing concept  Develop and put into operation of instruments with the jurisdiction of the team  Strengthen the process of engaging the other city offices (cross-silo)  Create reliable coalitions with stakeholders (cross-sector)  Test new methods for stakeholder workshops  Share Leipzig experience of transitioning from a shrinking to a growing city
Resources	The Leipzig 2020 Plan included public input from residents and businesses to create a well-rounded and extensive concept for the future development of the city. For further information, visit: <a href="https://english.leipzig.de/construction-and-residence/urban-development/leipzig-2020-integrated-city-development-concept-seko/">https://english.leipzig.de/construction-and-residence/urban-development/leipzig-2020-integrated-city-development-concept-seko/</a>

# BUILDING A COMMUNITY OF PRACTICE ON EQUITY AND INCLUSION—INSIGHTS AND PRELIMINARY LESSONS FROM D4C

The curriculum and interactive nature of the workshops put the emphasis on equity and inclusion within the context of the participants' projects. Workshops included a blend of topics that covered core concepts of organizational development, leadership development, change management, etc., along with the core principles and strategies for social equity and public engagement. Many of these topics were presented in the context of strategies and techniques that urban planners could not only understand but more importantly, adapt and apply to their projects to move them one or two steps closer to broader integration of equity and inclusion. Below are outlined a few of the topics and core concepts highlighted in the workshop curriculum to further equity and inclusion.

**Stakeholder engagement:** Every city project affects a diverse group of people, each of which has different needs and may be impacted by the project in different ways. Oftentimes, citizens who feel that they might be negatively impacted by a project will oppose or object to its implementation. Integrated urban development projects are distinctive because of their different socioeconomic and environmental considerations and objectives. Therefore, if cities want to ensure an adequate engagement strategy, consensual solutions, and stakeholder buy-in, it is critical to look at the multiplicity of communities (internal and external), how they are committed to the project, their preferred outcome, best and high values, as well as loyalties and potential losses.

**Communication and storytelling:** Compelling storytelling and effective communication strategies can help convey a message that generates interest, channels the communities' fears and concerns (e.g. about gentrification, climate change, inequality,

etc.), improves communication of the project and empowers the different communities with a stake on the project. The better one can communicate the solution(s) or innovation(s), and describe the decisions, actions and expected results involved in the implementation of the project, the better the chances for city representatives to get stakeholders on board.

**Adaptive leadership:** Cities are dynamic, which means that there can be unpredictable changes at the neighborhood and city level that affect a project's implementation. Handling these changes in an adaptive manner is essential. This requires diagnosing the changes appropriately (is it a political issue or merely a technical one), recognizing when finding a solution requires more effort or research, and being able to balance the priorities of different stakeholders. As an effective leader, it will be paramount to be change one's own approach to help others, especially decision-makers, see a problem or challenge at the same level of importance or urgency, and to encourage them to act.

**Equity and Inclusion:** From the planning perspective, equitable development generally refers to a range of approaches for creating communities and regions where residents of all classes, genders, sexual orientations, races, and ethnicities participate in and benefit from decisions that shape the places where they live. Equitable development emphasizes that all residents should be protected from environmental hazards and enjoy access to environmental, health, economic, and social necessities such as clean air and water, adequate infrastructure, and job opportunities. To achieve this, equitable development approaches usually integrate people-focused strategies (efforts that support community residents) with place-

focused strategies (efforts that stabilize and improve the neighborhood environment).

Yet, incorporating these principles into the planning process of integrated urban development projects is not enough. Equitable outcomes require that intentional strategies are put in place to ensure that everyone can participate in and benefit from decisions that shape their neighborhoods and regions.

## Incorporating Equity and Inclusion principles in the D4C Projects

Discussion of the teams' projects in their cities became the primary vehicle for facilitating peer learning and testing different approaches to equity and inclusion. Each project offers important insights and preliminary lessons for how local government and its partners can design and execute sustainable urban development. In particular, the cities used concepts of social equity (ensuring that the city was extending public services in a fair and just manner), procedural equity (inclusionary outreach, and community engagement processes), and distributional equity (expanding access and investments to disadvantaged communities). Examples of how these concepts were expressed in different workshops are provided below.

### *Social equity*

- Leading on equity from the public sector even when city leaders face opposition from interest groups (Leipzig).
- Examining the type and power of the language used with specific populations and ensuring that the program was being described in terms that were clearly understood and avoiding language that has negative associations from the previous city to disadvantaged population interactions (Pittsburgh/Charlotte).

### *Procedural equity*

- Using a stakeholder map/inventory to understand the diversity within stakeholder groups and target outreach to each sub-group (Bottrop).

- Having a neutral, third-party facilitator to manage difficult conversations between the city and the neighborhood (Karlsruhe).
- Reducing burdens on participation by holding community meetings in the community affected by the new project as well as providing childcare and meals at meetings (Charlotte).

### *Distributional equity*

- Targeting resources for new green investments in traditionally under-resourced neighborhoods, rather than strong neighborhoods (Baltimore).

### *Strategic use of leadership styles*

- Using an adaptive leadership style to make mid-course changes in the project based on the feedback of disadvantaged communities (Baltimore).
- Coordinating with other city departments/government agencies and collaborative with cross-sector partners to achieve their projects' goals of equity and inclusion (Leipzig and Charlotte).

Each project involved various dimensions of the design, development, and/or implementation of a local government adopted plan. Most of the participant projects had a district or neighborhood focus, though Baltimore's Green Network Plan and Leipzig's Housing Policy were the only projects with a citywide focus. Sustainability and its multiple dimensions were also consistent areas across all of the projects covering substantive sustainability planning topics such as energy-efficient housing, renewable energy, urban greening, green infrastructure, and smart city redevelopment/revitalization (which indirectly involved transportation access and equity). The use of a project-based learning model for the D4C initiative signals the importance to GMF (and by extension to HUD and the BMVBS) of both the increase in the participants' personal knowledge of equity and the influence of that knowledge on how they approach their projects.<sup>2</sup>

<sup>2</sup> Comments from interviews with GMF and BMVBS experts.

Below are discussed some of the more important insights into how the D4C participants tried to integrate equity and inclusion into each project.

## **Bottrop: Neighborhood Works Rheinbaben**

The Bottrop project sought to expand access to its energy efficiency renovation/refurbishment program for homeowners of all social levels by offering a high rate of financial assistance and subsidies, and by providing technical assistance (such as a free energy audit) and guidance on architectural preservation, financial, construction, systems, environmental, etc. throughout the entire process of renovation. Despite setting these important equitable goals, the Bottrop team initially found it difficult to convince individual homeowners to take advantage of the resources and technical assistance to refurbish their homes in more energy efficient ways.

This case offers an important insight in the relationship between distributional equity and procedural equity/inclusion—even with attractive program incentives to expand access (distributional

**“ Bottrop realized that they must devote significant attention to make the community engagement process more diverse, representative of the neighborhood residents, and inclusive.**

equity), Bottrop had to go back and refocus its attention on more inclusionary outreach and community engagement (procedural equity). During and then after the Karlsruhe workshop,<sup>3</sup> the Bottrop team had to reexamine and rethink how it could more effectively identify and engage with

<sup>3</sup> Comments/feedback from Bottrop team re Karlsruhe workshop. “The workshop in Karlsruhe gave us practical input to push our project forward.” “It gave us space for peer exchange as it is always the most helpful [aspect] in each workshop.”

more diverse stakeholder groups which might then encourage homeowners to participate in the energy efficiency program.

Based on exercises and discussions from D4C workshops, Bottrop realized that they must devote significant attention to make the community engagement process more diverse, representative of the neighborhood residents, and inclusive. Multiple forms of outreach were used, which included branding, educational, activation, and communications strategies to reach diverse and multiple groups of homeowners. Below are a few insights and lessons captured from the Bottrop team.<sup>4</sup>

- The team applied the D4C stakeholder inventory, maps, and analysis worksheets and exercises to segment/subdivide the stakeholder groups as that offered a deeper understanding about the differences; thus, the Bottrop team could customize its outreach strategies and messages to different audiences. Stakeholders included: owners/tenants, tradespeople, Muslim mosques, clubs/associations, politicians, City of Bottrop, Christian churches, small businesses/agencies, social services partners, street collectives, energy consultants, etc.
- Storytelling techniques discussed during D4C workshops helped Bottrop frame a stronger, more compelling narrative about the assets of the Rheinbaben neighborhood.
- The Bottrop team learned to explain the program in more direct, simple ways so the diverse neighborhood residents could understand the program’s benefits.
- Moreover, Bottrop was able to identify, enable and support local champions from important stakeholder groups, neighborhood residents, and housing associations as they often have the trust of local stakeholders and neighbors. Bottrop team worked closely with a local homeowner and neighborhood activist to engage others on his street and his owner association. They used his house as a model for the scope of the project and he personally contacted his neighbors and

<sup>4</sup> Sources include Karlsruhe GMF Equity and Inclusion Worksheets; Bottrop team presentation and power point; and Bottrop case study.

distributed the invitation for neighborhood meetings and other events. He also coordinated a survey about participation and spoke to neighbors at the kick-off meeting.

## Leipzig: Citywide Housing Policy

Leipzig's newly adopted housing policy (*2015 Wohnungspolitisches Konzept*) underwent extensive public engagement through a series of consensus building, cross-sector collaborations.<sup>5</sup> As part of the formal city council adoption process (it approved the policy in October 2015), the city convened an interdepartmental working group and managed a comprehensive participation process consisting of four public events with 80 to 260 participants each, six multi-stakeholder workshops (e.g. cooperative housing associations, housing companies, developers, private initiatives, alternative housing projects, etc.) along with contributions from outside researchers and experts from other cities.

“ **Leipzig's D4C project has a strong focus on distributional equity as it explicitly aims for inclusion in the city's growing housing market and expanding spatial-social inclusion.** ”

Leipzig's D4C project—implementation of the city's new housing policy—has a strong focus on distributional equity as it explicitly aims for inclusion in the city's growing housing market and expanding spatial-social inclusion. The new policy establishes a series of different policy and program instruments designed to foster the expansion of the city's housing stock as an overall strategy to prevent increasing housing costs and to specifically intervene against increasing housing segregation by

<sup>5</sup> Stadt Leipzig Dezernat Stadtentwicklung und Bau. 2015. "Wohnungspolitisches Konzept Fortschreibung".

income and community. A central goal behind these policy and program instruments is the maintenance and creation of a balanced social mix in all areas of the city. Planning and policy instruments under development by the City of Leipzig include the following.

- In new housing developments, the developers must set aside 30 percent of the housing units as affordable housing on all sites where new building law creates a legally binding land-use plan.<sup>6</sup>
- Foster the use of city housing funds via information, publication, consulting etc.
- Foster the sale of municipal/public property that could be used to develop affordable housing.
- Restrict rent increases (which requires authorization from the state government of Saxony).
- Protect certain existing neighborhoods from rising housing costs/gentrification by adopting a law/policy that gives tenants greater rights (still under consideration and discussion by state and local officials).
- Create and maintain the social balance in distressed neighborhoods by creating integrated district concepts and investing strategically in these areas.

The Leipzig team applied several insights and lessons from D4C to provide deeper and broader inclusion of the relevant stakeholders among other city departments and with external partners. For example, given that different city departments/offices oversee different housing policy instruments, the Leipzig team had to coordinate interdepartmental meetings and working groups where they applied many of the core principles of adaptive leadership.

Beyond the city departments, the Leipzig team had to identify the many diverse stakeholders and their underlying interests in supporting or opposing

<sup>6</sup> In Leipzig, there is a stipulation that new developments that require new land-use plans must build at least 30 percent of their units using this grant, lowering the overall price of those units.

implementation of the housing policy, so the team could develop specific actions for each stakeholder group. After applying D4C's stakeholder analysis curriculum, peer learning sessions, and exercises, the Leipzig team learned that many of the housing stakeholders did not believe the housing policy and its implementation would have a positive impact on the housing development in the city. This belief was based in the traditional housing associations' fear of rising vacancy rates as well as negative public attitudes by private property owners.

Leipzig had to navigate these and other conflicting/opposing perspectives and ensure the inclusion of diverse perspectives and voices in their engagement process, which included two large workshops with stakeholders and experts (August 2016 and March 2017) and several smaller events related to specific topics, such as the federal housing funds (Wohnraumförderung), Leipzig's rent index, support of alternative housing projects (Netzwerk Leipziger Freiheit), and establishing the criteria for selling municipal land for housing development. Below are critical observations from the Leipzig team that are based on insights, lessons learned, and discussions that were part of D4C activities.

- Consensus building and collaboration on policy implementation was difficult even though the city had previously completed a comprehensive public engagement process to adopt the housing policy. Implementation involves so many different policy instruments that different stakeholders would oppose one or more of the interventions.
- Given the conflict and tension over implementation, the city of Leipzig had to make a firm decision to further the equity and inclusion goals, especially for vulnerable groups. Municipal government should not stop its engagement with stakeholder groups when consensus may seem difficult or impossible to achieve, but sometimes the local government must take initiative by passing and implementing new policies that further equity and inclusion.
- Strong political support on the city council to implement the housing policy by requiring a compulsory rate of funded housing, which was

a difficult decision. This act of leadership by the city council helped ensure that critical private and nonprofit housing stakeholders each have their own share in creating socially responsible urban development.

- Considering the multi-city departments involved with implementation, Leipzig created a new unit within the administration with the special knowledge of the stakeholders that helped to bring new housing projects under the new housing policy to scale. The city and its municipal housing corporation did not have enough experience to ensure development in new and complex urban areas would also be equitable. The person in charge of the new unit had knowledge from private investors-side. It would have been far more difficult to start the development of the large areas in Leipzig with the normal process of setting up a legally binding land-use-plan.

## Karlsruhe: Rahmenplan Nordweststadt

One of the important steps for the Karlsruhe project was to assess the neighborhood needs for the project, but it was difficult to analyze its challenges given the large area of the targeted neighborhood and its diverse buildings and populations. Based on the neighborhood's assets, conditions, characteristics identified in this assessment, the Karlsruhe team developed a plan with specific tasks, goals, and guidelines for more equitable and inclusive development.

The D4C work sessions helped guide the Karlsruhe team in preparing a stakeholder inventory to identify the critical groups and individuals in the neighborhood (e.g. tenants and building associations; Volkswohnung and Eigenhandbau community, housing perspectives for Rennbuckel and Weingarten, etc.) and potential partners and other supporting organizations (e.g. hospitals, churches, municipal youth committee and immigrant integration office). Important stakeholders within the city government included representatives of local city council groups, department of parks and recreation, traffic planning, and social services). As they started their engagement, Karlsruhe identified a

neighborhood steering group/committee comprised of these important stakeholders mentioned above that helped the team focus their project at the critical early stage of its development.

A tactic they borrowed from the D4C discussions was having a neutral mediator to manage the process and facilitate the difficult conversations with the neighborhood. They were especially helpful in guiding the neighborhood steering committee and residents in translating complex and technical planning and development terms.

“ ***The Karlsruhe team developed a plan with specific tasks, goals, and guidelines for more equitable and inclusive development.*** ”

Despite these initial engagement efforts, the Karlsruhe team felt the tenants of social housing were still underrepresented in comparison to owners of single-family homes (procedural equity). Thus, they had to adjust their approaches. One technique they learned from D4C sessions is to describe the project in terms that are clear and relate to the diverse groups involved. They heard from the community that it is important to be clear on the project's timeline. Another tactic was to organize the areas of social rental housing construction on August-Bebel-Straße and involve them in a supplemental planning and participation process to address their special concerns.

One of the community concerns, especially for single-family homeowners, is the densification of the district. The Karlsruhe team felt it made good progress in explaining the rationale and benefits of having more housing units in the district especially with the social, creative, and ecological upgrading of the district's open spaces providing the owners and the tenants with new amenities. According to the team, “We have succeeded in developing a common leitmotif: ‘an attractive, ecological multi-generational

district’. Thanks to the successful process, the district has now become a model project for the ‘Green City’”. By describing all the project's assets and benefits, the Karlsruhe team felt it would enable them to accelerate planned projects for the process of enhancing the scope for housing development as funding now seemed a top priority.

## Baltimore: Green Network Plan

With respect to increased understanding of equity and inclusion, the Baltimore project involved concrete strategies to expand access and additional investments for green spaces in disinvested neighborhoods (distributional equity) and public engagement tactics and approaches to ensure its green network plan reflects the city's diverse community in the planning, design, and implementation process (procedural equity). Compared with the other D4C cities, Baltimore confronts serious socioeconomic and environmental challenges based on a long history of racial segregation, population loss, and economic decline. Considering these realities, it was perhaps even more important that Baltimore's D4C project reflect such a comprehensive approach by blending inclusionary planning processes with distributional land use equity as defined in the literature review and the essence of D4C's goals and mission.

By focusing on distributional equity, Baltimore's D4C team could intently engage residents in areas that did not have access to informal and formal green spaces; thus, the plan highlights the targeting of resources for new green investments in traditionally under-resourced neighborhoods. Participants noted that they could redirect the resources, which has been a shift in the strategy of “building from strength” or leveraging resources in an already well-resourced neighborhood. The plan also recognizes how these new green investments can be leveraged to address other community deficits, such as transportation, affordable housing and other elements of equitable development. The D4C workshop, while not directly informing the strategy for distributional equity in the Green Network Plan, created a space for the program participants to think about the implementation of distributional equity in their project which ultimately advanced their understanding of equity.

Perhaps Baltimore's most significant use of D4C curriculum and technical assistance involved how it applied the principles of adaptive leadership to address several of their challenges with other city department and the green network's many external partners. By the summer of 2017, the city's planning department had formed a Green Network Plan advisory leadership team and advisory team to assist with communications and outreach, land use and urban design, implementation of the plan and especially with

“ **Perhaps Baltimore's most significant use of D4C curriculum and technical assistance involved how it applied the principles of adaptive leadership.** ”

funding and financing. At the early meeting, they had to start slow and build trust and reciprocity and then as the project progressed more responsibilities could evolve and expand. The Baltimore team observed that the number and diversity of stakeholders combined with the dynamic nature of the project meant pursuing adaptive leadership in order to identify and reach consensus on problems where there was no clear solutions or experts. Some of this adaptive thinking led the team and the advisory council to adopt a policy lens of equity and inclusion when assessing issues and opportunities for implementing the Green Network plan.

The D4C workshops further allowed the space for Baltimore participants to hear other cities' methods of engaging residents and consider applying and adjusting those engagement strategies to their project. They were able to weigh the benefits of meaningful engagement with residents against the costs and risks of delaying a project deliverable's timeline. The workshops allowed participants to brainstorm ways to be flexible in project planning to allow enough time for meaningful outreach and engagement for residents through the various stages of the project.

For example, the Baltimore team delayed some of its activities so it could spend more time engaging residents before taking further implementation steps. Baltimore also benefited from hearing how other cities in the cohort related on story-telling as an integral process of sharing information.

Finally, the D4C process provided examples of co-leadership in community planning efforts which allowed the Baltimore team the space to think about applying a similar model to its Green Network project. During the summer of 2017, the primary leader for the Green Network Plan was starting new planning department assignments and responsibilities which required the Baltimore team to adopt the co-leadership model they learned about in Karlsruhe. As co-leaders, the city and the foundation then were able to engage more partners in Baltimore and enable the city to focus on the Green Network Plan's regional relationships.

Baltimore participants shared that the workshops were immensely valuable in creating space for them to think about the big picture of their project and reflect on the ways in which they were engaging with audiences, and to brainstorm, problem solve and workshop difficult aspects of their project with other cities.

## **Pittsburgh: Uptown Eco-Innovation District**

The Pittsburgh project sought to implement equitable and inclusive energy policies (distributional equity) in support of the mayor's climate action goals of carbon-reduction by greater energy efficiency and/or relative growth in renewably generated electricity. The goal of the team at D4C was to ensure that all community members, particularly the financially vulnerable, stood to benefit in a fair and inclusive manner with respect to the city's policies/plans regarding energy efficiency and renewable energy. One of the ways the Pittsburgh team improved its understanding of equity and inclusion was by D4C's exposure to new leadership models. For example, the team applied the concepts of adaptive leadership in developing an action plan that would look forward as to what neighborhood changes might result from its project and how to ensure those changes would be fair, just, and equitable, and not impose undue burdens on the

neighborhood's most vulnerable residents.

The Pittsburgh team took full advantage of the D4C workshop “scenario lab” where it shared the challenges and issues mentioned above with the cohort. Other D4C teams offered fresh perspectives and also helped validate strategies the Pittsburgh team was already considering. The scenario lab format gave the team increased confidence that these tested strategies would work.

**“ The Pittsburgh project sought to implement equitable and inclusive energy policies in support of the mayor’s climate action goals.**

The Pittsburgh team also increased its understanding of inclusion by acknowledging the role that language plays in a describing a project when communicating the goals and scope of the project to residents (procedural equity). For example, neighborhood residents were confused about describing the project as a pilot. Instead, the Pittsburgh team used the term “kick start” to help make the project more relatable and clearer to neighborhood residents.

Another insight on equity and inclusion from Pittsburgh project was the myriad of different communication strategies (e.g. sending an letter from the mayor thanking community members for their participation) that could be used to gain input into the project even from residents who might disagree with the project’s direction. The team were also able to observe how other D4C cities struggled with including equity and inclusion in their projects, which helped it realize that its experiences were not isolated.

## Charlotte: North End Smart District

The Charlotte team’s ambitious project to develop and design a smart district required extensive public management, urban design, and engagement

strategies and activities that were grounded in common principles of equity and inclusion. In essence, it had to build a network of stakeholders around a type of development (smart district) that few local residents had heard of, let alone knew much about. The concept of a smart district touches on a number of different topics and types of projects, such as smart homes, healthy communities, efficient neighborhood access to transportation, and technology or green jobs. All of these dimensions of a smart district, however, lend themselves as opportunities for expanding the assets and opportunities to those residents (distributional equity), who are predominately African American and Latino and have largely not benefited from such city investments in the past.

Now that implementation of its smart district has been launched, the Charlotte team must focus on securing and diversifying funding to carry out the smart district’s myriad of development projects. This means the team is working on a public relations/ social marketing campaign that shows the value of the project to audiences that can invest in it or influence those who can.

Considering the diversity of projects under the smart district concept, the Charlotte team had to develop and cultivate new partners, relying on its professional and personal networks. The team also had to navigate interdepartmental/interagency silos, in which the concepts of adaptive leadership were very helpful. Thus, it created a working group that involved cross-sector stakeholders (e.g. public, nonprofit and private) along with internal city team meetings. These led to neighborhood meetings with representatives from relevant neighborhood groups and multiple city departments; at times there would be project specific design meetings. In many respects, this intricate smart district management structure was influenced by D4C sessions that related to adaptive leadership and project design

The team’s collaborations with the community provided opportunities for early input into these for projects. This improved buy-in, community ownership, pride of place, and sustainability. However, Charlotte, like many major cities in the southern region of the United States has a long history of racism and segregation that makes it hard when launching a new development project as

broad and as comprehensive as the smart district. Some residents thought the smart district was just another attempt to take their property and community. Thus, it has been a steep learning curve for the Charlotte team as it encountered the following barriers and challenges.

**“ Charlotte had to build a network of stakeholders around a type of development that few local residents had heard of, let alone knew much about.**

- Time constraints; it takes time to communicate, develop shared decision-making models, and recruit participants.
- Ups and downs with partners who were not immersed in racial-equity training and have made some well-meaning, but hurtful assumptions.
- Tough conversations about race, including why the team sought to track the race of participants to ensure diverse representation, and a variety of other related topics including the reality of mistrust of government that stems from a history of racial injustice.

With respect to its understanding of equity and inclusion, the Charlotte team drew the following insights and lessons on how to incorporate racial equity into their Community Engagement Blue Print.

- Ask community leaders to identify the best time for public meetings.
- Be mindful of religious or cultural schedules.
- Hold meetings in the district, rather than expecting folks to come to City Hall.
- Reduce barriers to participation by families by including free childcare. The city now has a

blueprint to do this that minimizes liability and risk for the first time.

- Ask community leaders to play a major role in crafting the message for their communities. One neighborhood leader wrote and produced a North End Smart District video<sup>7</sup> that had a very different vibe, showcased the neighborhood, and featured residents as the cast. Community leaders also co-created the goals for the second all-community meeting and crafted an interactive session relating to each of the kick-start projects for the meeting.
- Think about the power of language and its relationship to the history of the community. For example, Charlotte no longer calls the projects “pilot projects”, as many in the community felt like the word meant the government was testing something on a community mostly made up of people of color.
- Use community-sourced vendors when possible and take every meeting as an engaging to make connections with people, schools, businesses etc. City staff identified the lack of community-sourced vendors and are providing applications for people either apply to become vendors or share with businesses they know in the area. This will help the team continue to make connections with the existing businesses and institutions like caterers and schools.
- Invest in people and co-creation. As Charlotte has developed stronger relationships and partnerships with colleagues in the city government, residents, community organizations, and private-sector partners, it is the goal that other departments and programs use this model, too.
- Invest resources in multiple modes of communication. This includes door to door, conference calls, flyers, emails, NextDoor, etc.
- Leverage partnerships and stay flexible to seize opportunities

The team’s Community Engagement Blue Print has also been shared and scaled in various departments and projects beyond the D4C project.

<sup>7</sup> “Smart District Ad”

# CONCLUSION AND RECOMMENDATIONS

This chapter captures insights for this emerging transatlantic community of practice and lays out lessons learned from D4C for advancing equity and inclusion.

## Guiding Principles

First, it is imperative to recognize the significant barriers that exist for government at any level to pursue an equity agenda. Seeing as one goal of any equity agenda is to increase the participation of marginalized populations, it is imperative to recognize how broken the relationship is between government and residents in many places. City representatives must be able to recognize the role the government played in creating, perpetuating, or reinforcing the marginalization they now seek to fight. In this regard, city representatives must work to:

- Proactively acknowledge whatever historical injustices have created the current inequities the city is seeking to solve;
- Move away from top-down practices that position government as the paternalistic problem solver and communities as ignorant of what is best for itself to a more cooperative relationship; and
- Rebuild trust between marginalized communities and government.

When cities cannot be honest about the history that has led to mistrust and/or antagonism between their residents and themselves, it is impossible to rebuild those relationships.

Second, there needs to be a common understanding of what an equity agenda means among local government leaders, the private sector, and citizens. This means that anyone working on this issue will need to manage in all directions within their organizational hierarchy: managing up, down, to their peers, as well as with external stakeholders. To recap from the lessons presented earlier in this document:

**Social equity** focuses on outcomes, to ensure that all public policies and public services are treating all people fairly;

**Procedural or process equity** is the guarantee of due process and equal protection, ensuring that everyone has a seat and a voice at the table in matters that affect them individually or as a community; and.

**Distributional equity** focuses on equal access to quality, affordable goods, and services.

Two particular challenges arise with understanding the language of equity. One arises from the international context of D4C, where linguistic and historical differences can hinder the ability to create a shared understanding of goals. Words like “equity” and “inclusion” have different connotations and historical uses; for example, German D4C participants shared that equity is understood often in reference to providing equal access to people with disabilities. D4C participants spent time unpacking these definitions and find the right language to use that would be useful to their projects and unique contexts. The simplest common transatlantic understanding settled upon for a meaning of equity is that the term encourages a focus on outcomes, where no one’s identities (race, ethnicity, migration status) are statistically predictive of their outcomes.

The second challenge to manage is the potential professionalization of the language of equity. Communities need to understand and have ownership of the city's goals and ensure that a new class of professionals who impose their vision of equity on communities without their understanding or participation is not created. A common understanding of terms and goals must be shared not only within the city staff but also between the city and community members.

The final principle is to be adaptable in working to define an equity agenda because the causes and solutions to inequality are context dependent. D4C 3.0 included the adaptive leadership theory<sup>2</sup> in its curriculum because of this. The theory posits that there are technical challenges, where we know who the experts are who can diagnose the problem and propose solutions, and there are problems that require adaptation or change in order to understand and solve. Part of the reason there is no progress on particularly vexing challenges, such as climate change or social equity, is that they are treated as if they are technical challenges, when in fact they are adaptive challenges that require organizational and individual change in order to solve. Creating equity is clearly an adaptive challenge, which requires a different kind of leadership than many cities are prepared for. While D4C proves that peer learning is valuable, it also shows that solutions cannot be cut and pasted from one city to another; rather, they must be adapted and shaped to meet unique context and needs. Thus, there are a set of key principles for using an adaptive leadership framework. Cities must be prepared to:

- Resist simple answers to complex problems;
- Remain flexible and willing to change policies, processes, and approaches;
- Build allies and teams outside of traditional silos; and
- Lead from “the middle,” learning to use influence and marshal allies regardless of the positional power one may or may not have.

<sup>2</sup> Heifetz, Ronald, Linsky, Marty, and Grashow, Alexander. 2009. *The practice of adaptive leadership: Tools and tactics for changing your organization and the world*. Boston: Harvard Business Press.

## Helpful Tools

Through the D4C process, GMF (with consulting support from Dialectix) developed a set of helpful tools to assist participants in incorporating an equity framework into their projects according to the above principles.

### *Stakeholder Analysis*

The fundamental goal of a stakeholder analysis is to ensure that the benefits of any initiative do not unfairly benefit some residents at the expense of others. One of the specific tools D4C taught and the participating cities found helpful was a repeated use of stakeholder mapping and analysis.

A thorough stakeholder analysis can help with process equity and distributional equity. At its most basic, it is a listing of every stakeholder who will be impacted by a city project. It ensures that outreach for any city process is not haphazard but the result of a thoughtful analysis. It is immensely helpful to ensure process equity as participation in any city process can be compared against the list of relevant stakeholders. Stakeholder mapping can be used to further an equity agenda, as was done during D4C workshops, by adding a lens of benefit and loss. By analyzing who among the stakeholders stands to lose and who stands to gain, distributional equity issues can become clear and then addressed. To undertake a stakeholder analysis, cities need to:

- Make an exhaustive list of all the stakeholders affected by or interested in a project, from residents to institutions, to politicians, or investors;
- Apply an equity lens, think through, from the stakeholder's perspective, whether they will receive positive or negative benefits from a project; and
- Check in with the stakeholders to see if the intuition was correct from their perspective (which is a simple way to get started on thinking about the disparate impacts a project may have on the people impacted).

## Storytelling

Storytelling is a tool that can be used to effectively to communicate a project and the use of an equity lens. Given the often technical elements of any government-led initiative, garnering community support can be a challenge. And considering how equity is becoming yet another technical term used by practitioners and not embraced by community members, it is imperative that those working to incorporate equity into their work find ways to communicate effectively with people that do not share their technical expertise.

Research shows that human brains process narratives more effectively than data, and so telling a compelling story can help make a project more memorable and understandable, and hopefully increase buy-in. To use storytelling so as to better communicate the benefits of and progress made in a project, cities must:

- Remember the importance of perspective and the meaning of words;
- Learn the history of the community early in the process;
- Adapt the language to their audience, speaking to their facts, feelings, and values;
- Use examples that challenge the norm and create a positive impact to plant ideas;
- Work with the community to create a story of the benefits of the project for the community, and include citizens in the stories (as opposed to abstract ideas) in order to increase relatability for the audience; and
- Communicate how the project aligns with wider goals.

## Building Cross-sector, Diverse Teams

It is impossible for any one city agency to promote equity alone. The ability to create allies in the community and in other agencies is crucial to the successful implementation of an equity agenda.

A recognition that any city initiative is necessarily

limited in its perspective can be helpful in identifying other stakeholders that might be natural partners in ensuring success. The challenge of building a team is often related to the limited time most people have in working on their own priorities, let alone those of others. The core challenge in how to build a cross-sector team is to figure out how to understand and communicate a project in ways that help others see how it helps them reach their goals. Using an empathy-based approach to understand where different stakeholders are coming from can help build a stronger coalition. Ways to implement this include:

- Using a stakeholder map to identify potential team members who can help you advance the goal, and
- Answering the question: “How does it help them to advance the project?”

## Peer-to-Peer Dialogues

One of the clear successes of the D4C process is that creating a community of peer cities that are clearly committed to shared goals of equity and inclusion helps with the implementation of equity and inclusion goals. Wherever possible, cities should do the following.

- Seek out other cities, domestically or internationally, from which they can compare practices, tools, and lessons, to ensure that their projects are creating equity.
- Look for others who share similar values are aligned with the guiding principles as outlined above.
- Develop relationships to establish trust so that they can share with each other what is working and what is not.
- Connect with non-profit organizations and industry associations that are working to develop equity principles and process guides. For example, the American Planning Association is working to develop an equity framework to guide urban planning practice in the United States

A goal of peer-learning activities such as D4C is to

---

cultivate the exchange of innovative policies and programs so that cities can demonstrate meaningful local impact of international engagement. This report highlights the value of outcome-oriented peer-learning programs and identifies the need for additional comparative research on equity and inclusion planning practices. Such research would explain how cities learn from each other, what type of activities facilitate policy learning, and how they go through the processes of an adaptation of equity-oriented policy and practice across the Atlantic. Studies about transatlantic policy learning would fill a huge void within the academic fields of policy diffusion and policy innovation in the United States and in Germany. How participant cities share and implement innovation solution to such common challenges such as equity and inclusion would further bolster the great work the BMVBS, GME, and HUD already support.

# ANNEX. CITED REFERENCES

Agyeman, Julian, and Tom Evans. 2003. "Toward Just Sustainability in Urban Communities: Building Equity Rights with Sustainable Solutions." *The ANNALS of the American Academy of Political and Social Science* 590(1): 35-53

Basic Law for the Federal Republic of Germany, Grundgesetz [GG] art. 3 (F.R.G)

Benner, Chris, and Manuel Pastor. 2015. *Equity, Growth, and Community*. Oakland, CA: University of California Press

Bogle, Mary, et. al. 2016. "Equitable Development Planning and Urban Park Space: Early Insights from DC's 11th Street Bridge Park Project." Washington DC: Urban Institute.

Campbell, Alan K. 1976. "Approaches to Defining, Measuring, and Achieving Equity in the Public Sector". *Public Administration Review* 36(5): 556-562.

de Souza Briggs, Xavier, Rolf Pendall and Victor Rubin. 2015. "Inclusive Economic Growth in America's Cities: What's the Playbook and the Score?" Washington, DC: World Bank Group

Dolowitz, David; Medearis, Dale. 2009. "Considerations about the Obstacles and Opportunities for Formalizing Cross-National Policy Transfer to the United States". *Environment and Planning* 27(3): 684-597.

Dolowitz, David and David Marsh. 2012. "The Future of Policy Transfer Research." *Political Studies Review* 10:339-345

Dubois, Vincent. 2015. "Doing Critical Policy Ethnography." In *Handbook of Critical Policy Studies*, Frank Fischer, Douglas Torgerson, Anna Durnová and Michael Orsini (eds.). Northampton, MA: Edward Elgar Publishing, Inc

German Association of Cities. 2013. *Integrated Urban Development Planning and Urban Development Management – Strategies and instruments for sustainable urban development*.

Bundesinstitut für Bau, Stadt- und Raumforschung (BBSR). *Integration and City Neighborhood Policy*, Bonn: BBSR, 2009-2012

Bundesinstitut für Bau, Stadt- und Raumforschung (BBSR). *Stand der kommunalen Integrationspolitik in Deutschland*, Bonn: BBSR, 2012

Bundesinstitut für Bau, Stadt- und Raumforschung (BBSR). *Toward a National Urban Development Policy in Germany*, Bonn: BBSR, 2007

Bundesinstitut für Bau, Stadt- und Raumforschung (BBSR). *Zwischenevaluierung des Städtebauförderungsprogramms Soziale Stadt*, Bonn: BBSR, 2017.

Germany. *Investitionspakt Soziale Integration im Quartier*, [www.investitionspakt-integration.de](http://www.investitionspakt-integration.de). Accessed 4 Dec. 2018.

Gourevitch, Ruth, Solomon Greene, and Rolf Pendall. 2018. "Place and Opportunity Using Federal Fair Housing Data to Examine Opportunity across US Regions and Populations." Washington, DC: Urban Institute.

Greene, Solomon, and Kathryn L.S. Pettit. 2016. *What if Cities Used Data to Drive Inclusive Neighborhood Change?* Washington DC: Urban Institute

Gustafsson, Jan. 2017. "Projects as a policy tool: a policy ethnographic investigation in the field of education in Sweden." *Nordic Journal of Studies in Educational Policy* 3(3): 241–252.

Jones, Andrea. 2017. "Neighborhoods in Transition: Insights from U.S. Strategies for Integrated Urban Planning" San Francisco, CA: The German Marshall Fund of the United States

Kim, Kwan. 1996. "The Political Economy of Distributional Equity in Comparative Perspective." Policy Working Paper #217. The Helen Kellogg Institute for International Studies.

Leipzig Charter 2017. [https://ec.europa.eu/regional\\_policy/archive/themes/urban/leipzig\\_charter.pdf](https://ec.europa.eu/regional_policy/archive/themes/urban/leipzig_charter.pdf)

Mackenzia, John, Poh-Ling Tan, Suzanne Hovermaa, and Claudia Baldwin. 2012. "The value and limitations of Participatory Action Research methodology." *Journal of Hydrology* 474: 11-21.

OECD. 2018. "Divided Cities: Understanding Intra-urban Inequalities." Paris: OECD Publishing

Poethig, Erika, Solomon Greene, Christina Stacy, Tanaya Srini, and Brady Meixell. 2018. *Inclusive Recovery in US Cities*. Washington, DC: Urban Institute.

Putnam-Walkerly, Kris and Elizabeth Russell. 2016. "The Road to Achieving Equity: Findings and Lessons from a Field Scan of Foundations That Are Embracing Equity as a Primary Focus." The Putnam Consulting Group

Rahmen, Sabel. "The Key to Making Economic

Development More Equitable Is Making It More Democratic." *The Nation*. April 26, 2016.

Regional Equity Atlas, "Definitions of Equity", <http://regionalequityatlas.org/toolkit/definitions-of-equity>

Rietig, Victoria and Andreas Müller. 2016. "The New Reality: Germany Adapts to Its Role as a Major Migrant Magnet." *The Online Journal of Migration Policy Institute*

Rose, Kalima and Teddy Ky-Nam Miller. 2016. "Healthy Communities of Opportunity: An Equity Blueprint to Address America's Housing Challenges." Oakland, CA: PolicyLink and Troy, MI: The Kresge Foundation

Soremi, Titilayo. 2016. "Policy Transfer: Revisiting Concepts and Process." *International Journal of Arts & Sciences* 09(03):377–388

Treuhart, Sarah. 2015. "All-In Cities: Building an Equitable Economy from the Ground Up." Oakland, CA: PolicyLink

United Nations. 2016. "International Migration Report 2015 Highlights." New York: United Nations Publishing

United States Code, Chapter 42, § 1981

Wolman, Harold and Ed Page. 2002. "Policy Transfer among Local Governments: An Information-Theory Approach" *Governance: An International Journal of Policy, Administration, and Institutions*, 15(4): 477–501

Zapata, Marisa A. and Lisa K. Bates 2016. "Equity Planning or Equitable Opportunities? The Construction of Equity in the HUD Sustainable Communities Regional Planning Grants." *Journal of Planning Education and Research* 37(4): 411-424.

**G | M | F** The German Marshall Fund  
of the United States  
STRENGTHENING TRANSATLANTIC COOPERATION

---

Washington • Ankara • Belgrade • Berlin  
Brussels • Bucharest • Paris • Warsaw

[www.gmfus.org](http://www.gmfus.org)