

## University of Vienna Seminar/VU: Contemporary Challenges in Urban Development

SS 2022 - March 24, 2022

Univ.-Prof. Kerstin Krellenberg

#### Dates and content (to be adjusted if necessary)

10.03.2022	Organization – Framing - Introduction to Sustainable Urban Development at district level
24.03.2022	<ul><li>Input and Exchange from/with Urban Innovation Vienna:</li><li>1. Seestadt Aspern Development/Planning Approach and Evaluation</li><li>2. Decision on how to proceed, including distribution of topics for group work</li></ul>
28.04.2022	Brief update on group work Joint development of the multi-criteria evaluation framework
12.05.2022	Interim presentations of group work Exchange on approaches and Q&A
09.06.2022	Meeting experts, tbd
30.06.2022	Final presentations, Work on Joint Outcome

# 1. Seestadt Aspern Development/Planning Approach and Evaluation

#### Your homework for today

#### Short Feedback on Excursion on March 21, 2022

- What did you notice in the master plan, but perhaps didn't see realized while at Seestadt?
- Aspects that you found quite interesting/innovative, and others that you were skeptical of.

#### → Jointly look at thoughts and photos in Miro

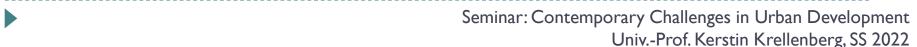
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#### Sustainable urban development

#### Welcome to Herbert Bartik from Urban Innovation Vienna GmbH

- Information on the project strategy evaluation of Seestadt Aspern they are starting now
  - Retrospective/Prospective
  - Benchmarking
  - Key Performance Indicators → to measure "success" plus monitoring
- Open discussion on what is planned and what we can contribute!



# 2. Decision on how to proceed, including distribution of topics for group work

#### Why indicators?

### Why working with indicators? → Evaluate how sustainable the development of Seestadt Aspern (Vienna district)

- Complexity reduction through proxies (metrics)
- Contextualization of goals
- Assessments/evaluation/monitoring e.g. standards, progress
- Comparison
- Communication tools
   e.g. evidence for decision-making



#### **Indicator development**

#### How to develop Indicators?

Variables/criteria

**Indicators** 

**Facilities** 

Benches Number of benches related to total

green space area size

Biotic & abiotic elements

Meadow Share of meadow area of total green

space area size

Trees Share of tree area of total green space

area size

Mostly quantitative but also qualitative

#### Social networks

diverse

 (heterogeneous)
 social networks
 in terms of
 social roles,
 spatial proximity

 and duration of
 relationship

#### Trees in foreyard

- non-existent
- existent (trees, vine, palms etc.)

Krellenberg et al., 2021 Krellenberg & Welz, 2016

#### **Indicator development**

#### From indicators to indices (composite indicators)

Index: aggregation of multiple indicators, normalization, weighting, aggregation, sensitivity analysis

С	oping Capacity	y to flood or he	at		
	Preparedness/ Awareness	Social networks	Knowledge of protection measures	Employment status	
high	took different measures when last event occurred, felt	diverse     (heterogeneous)     social networks     in terms of	was warned / informed beforehand by different people/ institutions and	employer,     entrepreneur	<ul><li>e.g. normalized b</li><li>0 and 1000 score</li></ul>
pacity	well-prepared for it and would improve coping options in future	social roles, spatial proximity and duration of relationship	provides knowledge on protection measures	salaried     employee	
coping capacity	• took no			self-employed	
	measures when last event occurred, felt ill- prepared for last event and would	uniform     (homogeneous)     social networks     in terms of	Was not warned/ informed beforehand by different people/ institutions and	• pensioner	
wol	not improve coping options in future	social roles, spatial proximity and duration of relationship	provides no knowledge on protection measures	unpaid family     labour	Krellenberg & Welz, 2016

e.g. normalized between 0 and 1000 scores

#### How to measure sustainability?

- "safe, resilient, sustainable and inclusive cities"
- Contextualization



Targets	Indicators
11.1 By 2030, ensure access for all to adequate, safe and affordable housing and basic services and upgrade slums	11.1.1 Proportion of urban population living in slums, informal settlements or inadequate housing

#### Methodology:

This indicator integrates the component of the <u>slums/informal settlements</u> that has been monitored for the last 15 years by UN-Habitat in mostly developing countries with a new component - <u>inadequate housing</u> - that applies largely to the developed countries. By integrating these two components, the indicator is now universal and can be monitored in both developing regions.

Application and contextualization in developing and developed countries





### Make cities and human settlements inclusive, safe, resilient and sustainable

#### **Targets**

- II.I By 2030, ensure access for all to adequate, safe and affordable housing and basic services and upgrade slums
- II.2 ... sustainable **transport** systems...
- II.3 ... sustainable human settlement **planning...**
- 11.4 ... safeguard the world's cultural and natural heritage...
- 11.5 ... reduce the number of deaths and the number of people affected by disasters
- 11.6 ... reduce **environmental** impact of cities (air quality, waste)...
- 11.7 ... access to safe, inclusive and accessible, green and public spaces, in particular for women and children, older persons and persons with disabilities

SDG 11

-UN, 2015.

	3DG 11
Targets	Indicators
11.1 By 2030, ensure access for all to adequate, safe and affordable housing and basic services and upgrade slums	11.1.1 Proportion of urban population living in slums, informal settlements or inadequate housing
I I.2 By 2030, provide access to safe, affordable, accessible and sustainable transport systems for all, improving road safety, notably by expanding public transport, with special attention to the needs of those in vulnerable situations, women, children, persons with disabilities and older persons	11.2.1 Proportion of population that has convenient access to public transport, by sex, age and persons with disabilities
112 B 2020	11.3.1 Ratio of land consumption rate to population growth rate
11.3 By 2030, enhance inclusive and sustainable urbanization and capacity for participatory, integrated and sustainable human settlement planning and management in all countries	II.3.2 Proportion of cities with a direct participation structure of civil society in urban planning and management that operate regularly and democratically
I I.4 Strengthen efforts to protect and safeguard the world's cultural and natural heritage	II.4.I Total expenditure (public and private) per capita spent on the preservation, protection and conservation of all cultural and natural heritage, by type of heritage (cultural, natural, mixed and World Heritage Centre designation), level of government (national, regional and local/municipal), type of expenditure (operating expenditure/investment) and type of private funding (donations in kind, private non-profit sector and sponsorship)
I I.5 By 2030, significantly reduce the number of deaths and the number of people affected and substantially decrease the direct	11.5.1 Number of deaths, missing persons and directly affected persons attributed to disasters per 100,000 population
economic losses relative to global gross domestic product caused by disasters, including water-related disasters, with a focus on protecting the poor and people in vulnerable situations	11.5.2 Direct economic loss in relation to global GDP, damage to critical infrastructure and number of disruptions to basic services, attributed to disasters

#### How to "measure"?

Developing countries

#### 11.1.1 Proportion of urban population living in **slums, informal settlements** or inadequate housing

a) Slum households: Slums households are defined as those that lack one or more of the following: durable housing, sufficient living space, easy access to safe water, access to adequate sanitation and security of tenure<sup>28</sup>. The United Nations (2007) proposed the following definitions.

Access to improved water: A household is considered to have access to improved drinking water if it has sufficient amount of water for family use, which is at least 20 litres per person per day. The following criteria are used to determine the access to improved water:

- Piped connection to house or plot
- Public stand pipe serving no more than 5 households
- Protected spring
- Rain water collection
- Bottle water (new)
- Bore hole
- Protected dug well

Access to improved sanitation: A household is considered to have access to improved sanitation if they have access to:

- Direct connection to public sewer
- Proper flush latrine
- Pit latrine with slab, (this condition has a weight of 50% on total of the criterion)
- Ventilated improved pit latrine
- Direct connection to septic tank

**Sufficient living space:** A dwelling unit provides sufficient living area for a household if there are fewer than four people per habitable room. Additional indicators of overcrowding have been proposed: area-level indicators such as average in-house living area per person or the number of households per area. Additionally housing-unit level indicators such as the number of persons per bed or the number of children under five per room may also be used.

.UN, 2015.

#### How to "measure"?

Developed countries

#### II.I.I Proportion of urban population living in slums, informal settlements or **inadequate** housing

b) Adequate housing: In many developed countries, the definition of slums as provided above is less applicable, and hence a component of adequate housing that is more suitable for other regions will be integrated in the measurement framework for this indicator to ensure that the indicator is universal. According to the OHCHR, the definition of adequate housing<sup>30</sup> includes elements of security of tenure, affordability, habitability, availability of services, accessibility, location and cultural adequacy. Several elements that define inadequate housing are integral to the slum conditions as this already includes overcrowding, access to quality sanitation, access to quality water, living in semi-permanent structures, etc.

Legal security of tenure: Regardless of the type of tenure, all persons should possess a degree of security of tenure, which quarantees protection against forced eviction. harassment threats. legal and other Affordability: Personal or household financial costs associated with housing should not threaten or compromise the attainment and satisfaction of other basic needs (for example, food, education, access to health care).

Habitability: Adequate housing should provide for elements such as adequate space, protection from cold, damp, heat, rain, wind or other threats to health, structural hazards, and disease vectors.

Availability of services, materials, facilities and infrastructure: Housing is not adequate if its occupants do not have safe drinking water, adequate sanitation, energy for cooking, heating and lighting, sanitation and washing facilities, means of food storage, refuse disposal, etc.

Accessibility: Housing is not adequate if the specific needs of disadvantaged and marginalized groups are not taken into account (such as the poor, people facing discrimination; persons with disabilities, victims of natural disasters).

Location: Adequate housing must allow access to employment options, health-care services, schools, child-care centres and other social facilities and should not be built on polluted sites nor in immediate proximity to pollution sources.

Cultural adequacy: Adequate housing should respect and take into account the expression of cultural identity and ways of life.

#### How to "measure"?

#### 11.1.1 Proportion of urban population living in slums, informal settlements or inadequate housing

a) Slum households (SH) will be computed as b) Inadequate housing (IH) will be computed as follows:

$$SH = 100 \left[ \frac{Number\ of\ people\ living\ in\ slum}{City\ population} \right] = 100 \left[ \frac{Number\ of\ people\ living\ in\ inadequate\ housing}{City\ population} \right]$$

#### Unit:

%

#### Data Sources:

Data can be computed from Census and national household surveys, including DHS and MICS for slum component of the indicator. Data for the inadequate housing can be computed by using income and expenditure household surveys that capture household expenditures.

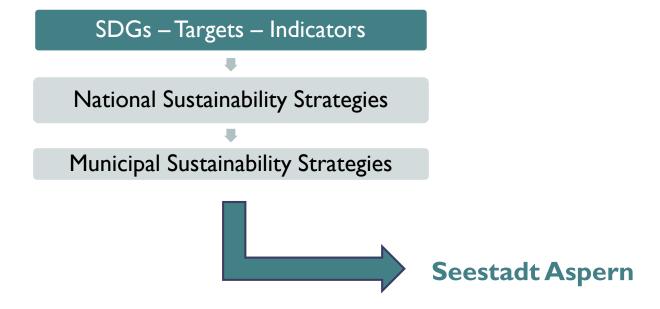
#### Scope:

Local, national, global. Reported in nearly all developing countries (slums) and all countries in the world (inadequate housing).

UNL 2015

#### **Contextualisation**

- Relevance and applicability of indicators for specific contexts
- Measurability and data availability



#### Interaction between SDGs

11.1.1 Proportion of urban population living in slums, informal settlements or inadequate housing



#### Related SDG Targets / Indicators:

Direct re	elation	11.7.2	Public Space Safety for Women		
1.1.1	Poverty rate	16.1.1	Homicide rate		
1.1.2	Poverty rate, national	16.1.3	Population subjected to Violence		
6.1.1	Access to Improved Water				
6.2.1	Access to Improved Sanitation	Indirect r	elation		
7.1.1	Access to Electricity	3.1.1	Maternal Mortality		
8.3.1	Informal Employment	3.2.1	Under-Five Mortality Rate		
8.5.2	Unemployment Rate	3.8.1	Vaccination Coverage		
8.6.1	Youth Unemployment	3.9.1	Population Exposed to Outdoor Air		
10.2.1	Population below Median Income	Pollution	1		
10.1.1	Grow rates of the poorest 40%	4.2.1	Early Childhood Education Programme		
11.2.1	Public Transit Stop Coverage	4.3.1	Participation in formal/non-formal		
11.5.1	Population Affected by Hazardous Events	educatio	on		
11.6.1	Solid Waste Collection	4.5.1	Parity in Education		
11.7.1	Accessibility to Open Public Area	4.6.1	Literacy Rate		
		9.c.1	Mobile Network Coverage		
		17.8.1	Internet Access		
			11/1 2015		

\_\_\_\_UN, 2015\_

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#### **SDG Interaction Trade-offs and Co-Benefits**

Interaction	Name	Explanation	Example
+3	Indivisible	Inextricably linked to the achievement of another goal.	Ending all forms of discrimination against women and girls is indivisible from ensuring women's full and effective participation and equal opportunities for leadership.
+2	Reinforcing	Aids the achievement of another goal.	Providing access to electricity reinforces water-pumping and irrigation systems. Strengthening the capacity to adapt to climate-related hazards reduces losses caused by disasters.
+1	Enabling	Creates conditions that further another goal.	Providing electricity access in rural homes enables education, because it makes it possible to do homework at night with electric lighting.
0	Consistent	No significant positive or negative interactions.	Ensuring education for all does not interact significantly with infrastructure development or conservation of ocean ecosystems.
-1	Constraining	Limits options on another goal.	Improved water efficiency can constrain agricultural irrigation. Reducing climate change can constrain the options for energy access.
-2	Counteracting	Clashes with another goal.	Boosting consumption for growth can counteract waste reduction and climate mitigation.
-3	Cancelling	Makes it impossible to reach another goal.	Fully ensuring public transparency and democratic accountability cannot be combined with national-security goals. Full protection of natural reserves excludes public access for recreation.









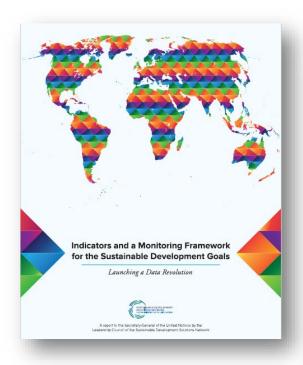


Nilsson et al., 2016

#### Map the interactions between Sustainable Development Goals

Måns Nilsson, Dave Griggs and Martin Visbeck present a simple way of rating relationships between the targets to highlight priorities for integrated policy.

#### **Indicators and Local Implementation**







#### How to measure sustainability? Transformation?

- New tools, other than purely data-driven indicators
- Avoid "greening" by numbers (e.g. measuring environmental parameters with smart technologies)
- Focus on numbers hides effects (e.g. increase in green spaces can lead to inclusion)
- "Living" indicators (e.g. impacts on social movements)

'Don't call me resilient again!': the New Urban Agenda as immunology ... or ... what happens when communities refuse to be vaccinated with 'smart cities' and indicators

Kaika, 2017

#### **CITYKeys Smart City Indicator Themes & Sub-Themes**

- Triple bottom line +
  - People Social Sustainability
  - Planet Environmental Sustainability
  - Prosperity Economic Sustainability
  - Governance Inclusive Cooperation
  - Propagation Scalability & Replicability

**Planet Prosperity** Governance **Propagation** People • Energy & Employment Organisation Health Scalability mitigation Equity Community Replicability Safety involvement Materials, water and land Green economy Access to (other) Multi-level services Climate governance Economic resilience Education performance Pollution & waste Innovation Diversity & social cohesion Ecosystem Attractiveness & competitiveness · Quality of housing and the built environment

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#### **Typology of Indicators**

#### Input

- Resources required for implementation, including quantity, quality, and timeliness
  - Eg: Policy, human resources, materials, funding

#### Process

- To measure whether planned activities took place
  - Eg: Meetings, training courses, distribution of smart meters

#### Output

- Details in relation to the product/output of the activity
  - Eg: Number of smart meters distributed, number of electric busses

#### Outcome

- Measuring the results of the output with regards to the main objective
  - Eg: Outcome of a thermal isolation program could be the number of well isolated dwellings as percentage of the total number of dwellings covered by the program

#### Impact

- Measuring the quality and quantity of long-term results generated by program outputs
  - Eg: Change in quality of life, reduced energy use, reduced air pollution

Bosch, 2017

#### 'People' Theme Indicators for Smart City Projects

3.2.6 Quality of housing and the built environment

Indicator title	Indicator unit	Definition	Source
Diversity of housing	Simpson Diversity Index/Social Housing	Simpson Diversity Index of total housing stock in the project area	Eurbanlab; LEED
		OR	
		Percentage of social dwellings as share of total housing stock in the project area	
Connection to the existing cultural heritage	Likert scale	The extent to which making a connection to the existing cultural heritage was considered in the design of the project	Eurbanlab; LEED; DGNB
Design for a sense of place	Likert scale	The extent to which a 'sense of place' was included in the design of the project	Eurbanlab
Increased use of groundfloors	% in m2	Increase in ground floor space for commercial or public use due to the project as percentage of total ground floor surface	
Increased access to urban public outdoor recreation space	m2	Increase in public outdoor recreation space (m2) within 500m	OECD; Rotterdam SCP
Increased access to green space	m2	Increase in green space (m2) within 500m	LEED; DGNB; Smart city Wheel; Triple Helix Model; ISO 37151

#### **SDGs**

- 3. Good Health & Well-Being
- I 0. Reduced Inequalities
- II. Sustainable Cities& Communities

#### **Seestadt Criteria**

- Well-designed public space
- Lively ground-floor zones
- Multi-Purpose 'town houses'

#### 'Planet' Theme Indicators for Smart City Projects

3.3.1 Energy & mitigation

Indicator title	Indicator unit	Definition	Source
Reduction in annual final energy consumption	% in kWh	Percentage change in annual final energy consumption due to the project for all uses and forms of energy	Eurbanlab; Concerto; CIVIS, DGNB
Reduction in lifecycle CO2 emissions	% in tonnes	Percentage peduction in lifecycle CO2 emissions achieved by the project	CIVIS; DGNB
Maximum Hourly Deficit	MHDx	The maximum yearly value of how much the hourly local demand overrides the local renewable supply during one single hour	IDEAS

#### 3.3.3 Climate resilience

Climate resilience measures	Likert scale	The extent to which Eurbanlab adaptation options have
		been considered in the
		project

#### 3.3.5 Ecosystem

Increase in green and blue space	% in m2	Percentage icrease of green and blue spaces due to the project
Increased ecosystem quality and biodiversity	Likert	The extent to which ecosystem quality and biodiversity aspects have been taken into account

#### **SDGs**

- 7.Affordable & Clean Energy
- 13. Climate Action
- 14. Life Below Water
- I5. Life on Land

#### **Seestadt Criteria**

Preventing & Adjusting to Climate Change

#### 'Prosperity' Theme Indicators for Smart City Projects

3.4.1 Employment

Indicator title	Indicator unit	Definition	Source
Increased use of local workforce	% in euros	Share in the total project costs that has been spent on local suppliers, contractors and service providers.	Eurbanlab
Local job creation	# of jobs	Number of jobs created by the project	

#### 3.4.5 Innovation

Indicator title	Indicator unit	Definition	Source
Involvement of extraordinary professionals	Likert	The extent to which the project involved professionals normally not encountered in these type of projects	Smart city Wheel
Stimulating an innovative environment	Likert scale	The extent to which the project is part of or stimulates an innovative environment	
Quality of open data	# stars	The extent to which the quality of the open data produced by the project was increased	
New startups	# of startups	The number of startups resulting from the project	Smart city Wheel

#### **SDGs**

- I. No Poverty
- 8. Decent Work & Economic Growth
- 9. Industry Innovation & Infrastructure

#### **Seestadt Criteria**

- Functional Mix & Innovation
- Multi-Purpose 'town houses'

#### 'Governance' Theme Indicators for Smart City Projects

3.5.2 Community involvement

Indicator title	Indicator unit	Definition	Source
Professional stakeholder involvement	Likert scale	The extent to which professional stakeholders outside the project team have been involved in planning and execution	Eurbanlab; Green Digital Charter
Bottom-up or top-down initiative	Yes/no	Has the project idea originated from the local community?	
Local community involvement in planning phase	Likert scale	The extent to which residents/users have been involved in the planning process	Eurbanlab; Green Digital Charter
Local community involvement in implementation phase	Likert scale	The extent to which residents/users have been involved in the implementation process	
Participatory governance	% of people	Share of population participating in online platforms	

#### 3.5.3 Multi-level governance

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Indicator title	Indicator unit	Definition	Source
Smart city policy	Likert scale	The extent to which the project has benefitted from a governmental smart city policy	Eurbanlab
Municipal involvement - Financial support	Likert scale	The extent to which the local authority provides financial support to the project	DGNB

#### **SDGs**

- I 0. Reduced Inequalities
- II. Sustainable Cities& Communities
- 16. Peace, Justice & Strong Institutions
- I7. Partnerships for the Goals

#### **Seestadt Criteria**

- Well-designed public spaces (interdisciplinary planning)
- Small-scale & diverse (multi-stakeholder collaboration)

#### 'Propagation' Theme Indicators for Smart City Projects

3.6.1 Replicability & scalability

Social compatibility	Likert scale	The extent to which the project's solution fits with people's 'frame of mind' and does not negatively challenge people's values or the ways they are used to do things.	Eurbanlab
Technical compatibility	Likert scale	The extent to which the smart city solution fits with the current existing technological standards/infrastructures	Eurbanlab
Solution(s) to development issues	Likert scale	The extent to which the project offers a solution to problems which are common to European cities	Eurbanlab

#### 3.6.2 Factors of success

Changing professional norms	Likert scale	The extent to which the project changes the professional 'state of the art'	Eurbanlab
Changing societal norms	Likert scale	The extent to which the project changes the norms and values of the society	Eurbanlab
Diffusion to other locations	Likert scale	The extent to which the project is copied in other cities and regions	Eurbanlab
Diffusion to other actors	Likert scale	The extent to which theproject is copied by other parties	Eurbanlab

#### **SDGs**

- I 0. Reduced Inequalities
- II. Sustainable Cities& Communities
- 17. Partnerships for the Goals

#### **Seestadt Criteria**

Functional Mix & Innovation

Bosch, 2017; UN, 2015; aspern Seestadt, 2017

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#### **CITYkeys Conclusions for Project Indicators**

- Amalgamation of indicators from 43 sets for project evaluation
- Addition of 25 project specific indicators
- Of the 99 project indicators, only 20 can be quantitatively related or aggregated to the city level
- For 43 project indicators, no corresponding city level indicator exists
- 'The resulting indicator selection responds to the wishes of cities and citizens for the coverage of their priorities and reflects city (sustainability) goals'
- Mainly utilized impact indicators, with a number of generalized input, output, and outcome indicators

#### **CITYKeys Project Indicators** — Thoughts? Ideas? Critiques?

- How do the CITYkeys Indicators compare to those of the SDGs?
- Where do the CITYkeys indicators excel?
- What challenges do these CITYKeys indicators face in implementation, data collection, and monitoring?
- What indicators conflict with one another, and how can such be overcome?

#### Who would like to work on which topic?

#### High Quality Principles (Seestadt Aspern Master Plan)





#### **Indicators for Seestadt Aspern**

#### **Next steps**

- Work on topics/quality criteria of Seestadt Aspern in groups
- Develop key performance indicators
- Think about which indicators you could assess (2-3), which methods to be used?

#### Please indicate until March 25, 2002 (noon) your topic/preferences

Topic/Quality Criteria	Group composition
Well designed public space	
Lively ground-floor zones	
Functional mix and innovation	
Range of mobility options	
Small-scale and diverse	
Multipurpose "town houses"	
Preventing and adjusting to climate change	

#### For next Session

- Read on your topics (quality criteria) of Seestadt Aspern, specifically for Seestadt Aspern (what information is available) and further general scientific information (journal articles)
- Develop key performance indicators
- Think about which indicators you could assess (2-3)
- Draft ideas which methods you would like to use to assess the indicators?

Please prepare some slides and a max. I0 minutes presentation

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12.05.2022	
	Joint development of the multi-criteria evaluation framework  Interim presentations of group work

#### Literature (cited)

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