

Getting Residents Engaged

Mechanisms of Public Engagement in Urban Innovation

Results of the Third Workshop for Thought Leaders



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Chapter I Main Topics in Urban Innovation

The Guangzhou International Award for Urban Innovation (the Guangzhou Award) was set up in 2012, against a global backdrop of increasing urban innovation. Four sessions have already been held, in 2012, 2014, 2016 and 2018, and these have made significant contributions towards the comprehensive, harmonious and sustainable development of cities and local governments within the context of constant economic and social change. The Workshop for Thought Leaders is an important event that is held in conjunction with the Guangzhou Award, aiming to provide urban innovation leaders with a platform for exchanging urban innovation experiences and realizing cooperation in the field of urban innovation. The first session (2015) was themed "Changing Cities and Urban Innovation Leadership", the second session (2017) themed "Future-oriented Urban Transportation Innovation", **and the third session (2019) themed "Urban Renewal and New Urban Vitality". This report presents the results of the third Workshop for Thought Leaders.**

(I) About the Guangzhou Award

The Guangzhou Award is co-sponsored by Guangzhou City, United Cities and Local Governments (UCLG), and the World Association of the Major Metropolises (Metropolis). It aims to promote the exchange of advanced experiences in urban innovation and development, commend the successful practices of cities and local governments in promoting innovative development, advocate scientific concepts for urban innovation and development, and promote the comprehensive, harmonious and sustainable development of cities around the globe.

The first session of the Guangzhou Award was held in 2012, and has been followed by another three sessions, one every two years. These four successful sessions of the Guangzhou Award have attracted the active participation of cities around the world. This report summarizes the practical case studies from 2016 (the third session) and 2018 (the fourth session). Participating cities came from every continent but with the focus on Asia and Europe, as shown in Table 1-1.

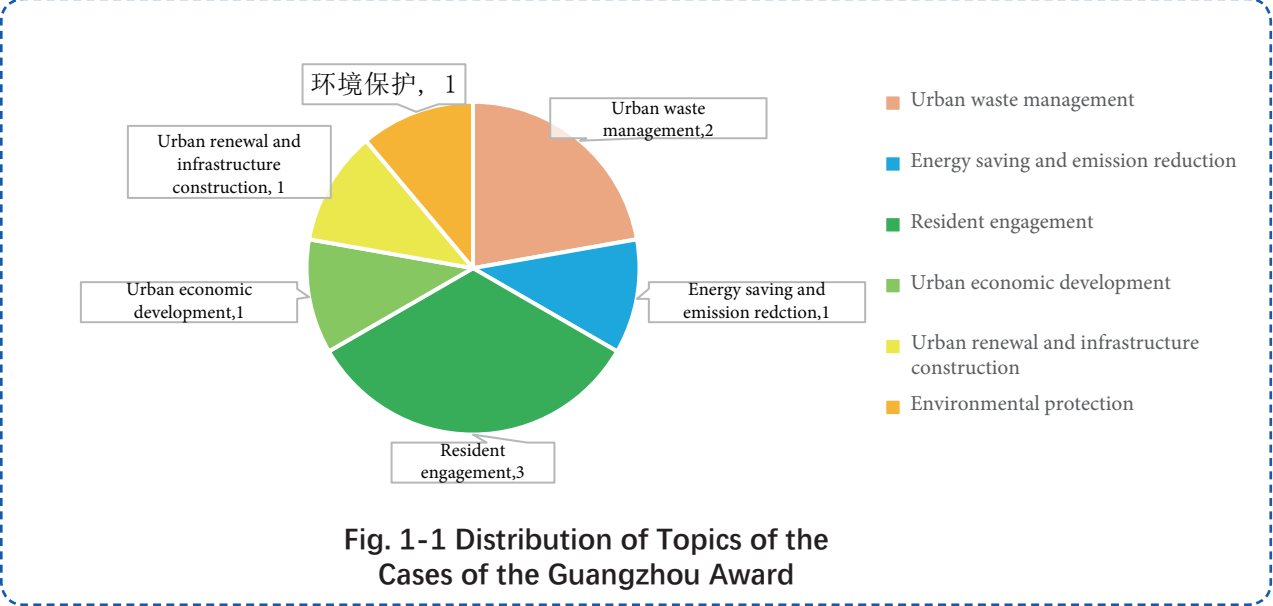
Table 1-1 Distribution of Participating Cities in the Guangzhou Award (2016 and 2018)

Third Session (2016)	Asia	Africa	Europe	North America	South America	Oceania
	146	15	51	30	56	3
	301 case studies in total					
Fourth Session (2018)	Asia	Africa	Europe	North America	South America	Oceania
	121	16	63	29	41	3
	273 case studies in total					

The third session of the Guangzhou Award, held in 2016, received 301 valid projects submitted by 171 cities, covering 59 countries and regions worldwide. Of these 171 cities, 45 were recognized as outstanding cities of innovation, 15 of which were shortlisted. The projects of the 15 shortlisted cities were submitted to the Jury and four winners were chosen. The winners of the third Guangzhou Award were: the Songpa Solar Nanum (Sharing) Power Plant from Songpa, Republic of Korea; the Integrated Community Based Solid Waste Management project from Qalyubeya, Egypt; Zebras: A Citizen Culture Project from La Paz, Bolivia; Climate Resilient Neighborhoods from Copenhagen, Denmark.

The fourth session of the Guangzhou Award in 2018 received 273 valid projects submitted by 193 cities from 66 countries and regions. The Technical Committee acknowledged the efforts of all participants to improve the sustainability of their cities and communities. From the 193 cities, the Technical Committee selected 45 cities as expert-recommended cities, 15 of which were shortlisted, with five winners selected from the shortlisted cities. The winners were: Global Vision I Urban Action from New York City, United States; the Mezitli Women Producers Market from Mezitli, Turkey; Citizen-Led Metropolitan Coordination of Guadalajara from Guadalajara, Mexico; the Milan Food Policy: An Innovative Framework for Making Urban Food System More Sustainable and Inclusive from Milan, Italy; and the "Rebirth" of Urban Waste Dump-Ecological Restoration Bridging the Social Gaps from Wuhan, China.

As shown in Fig. 1-1, three of the nine urban innovation project winners from the third and fourth sessions of the Guangzhou Award, fall under the topic of "resident engagement", indicating that resident engagement has become a key topic in current and future urban governance innovation. Resident engagement is a must for urban governance innovation. In the future, urban innovation in the true sense will be urban governance and innovation that take residents and their ideas into consideration. In addition, urban waste management, energy saving and emission reduction, urban economic development, urban renewal and infrastructure construction, and environmental protection are also hot topics in urban development.

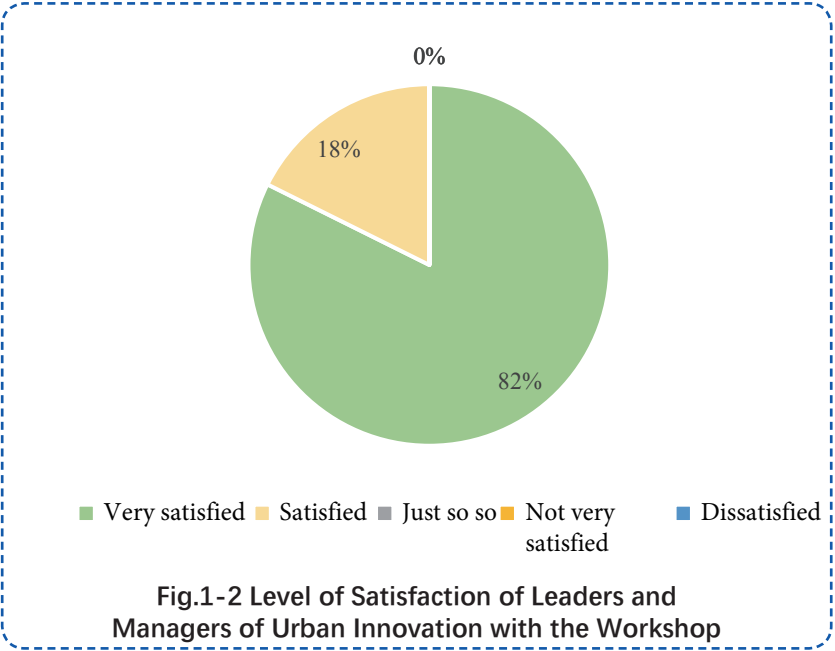


Known as the "Nobel Prize of international urban innovation", the Guangzhou Award is a rare award in the field of measuring and evaluating urban innovation. Since 2012, the Guangzhou Award has been bringing together successful practices in urban innovation from around the world, with the aim of promoting the comprehensive, harmonious and sustainable development of cities worldwide. It has been promoting the innovative activities of cities and local governments, providing demonstrations and guidance for their comprehensive, harmonious and sustainable development, and contributing actively to the cooperation and development of cities across the globe. The Guangzhou Award not only acknowledges urban innovation, but also drives innovation in cities around the world. The award promotes the growth of knowledge, practical urban renewal and the future development of human cities in terms of urban innovation.

(II) About the Workshop

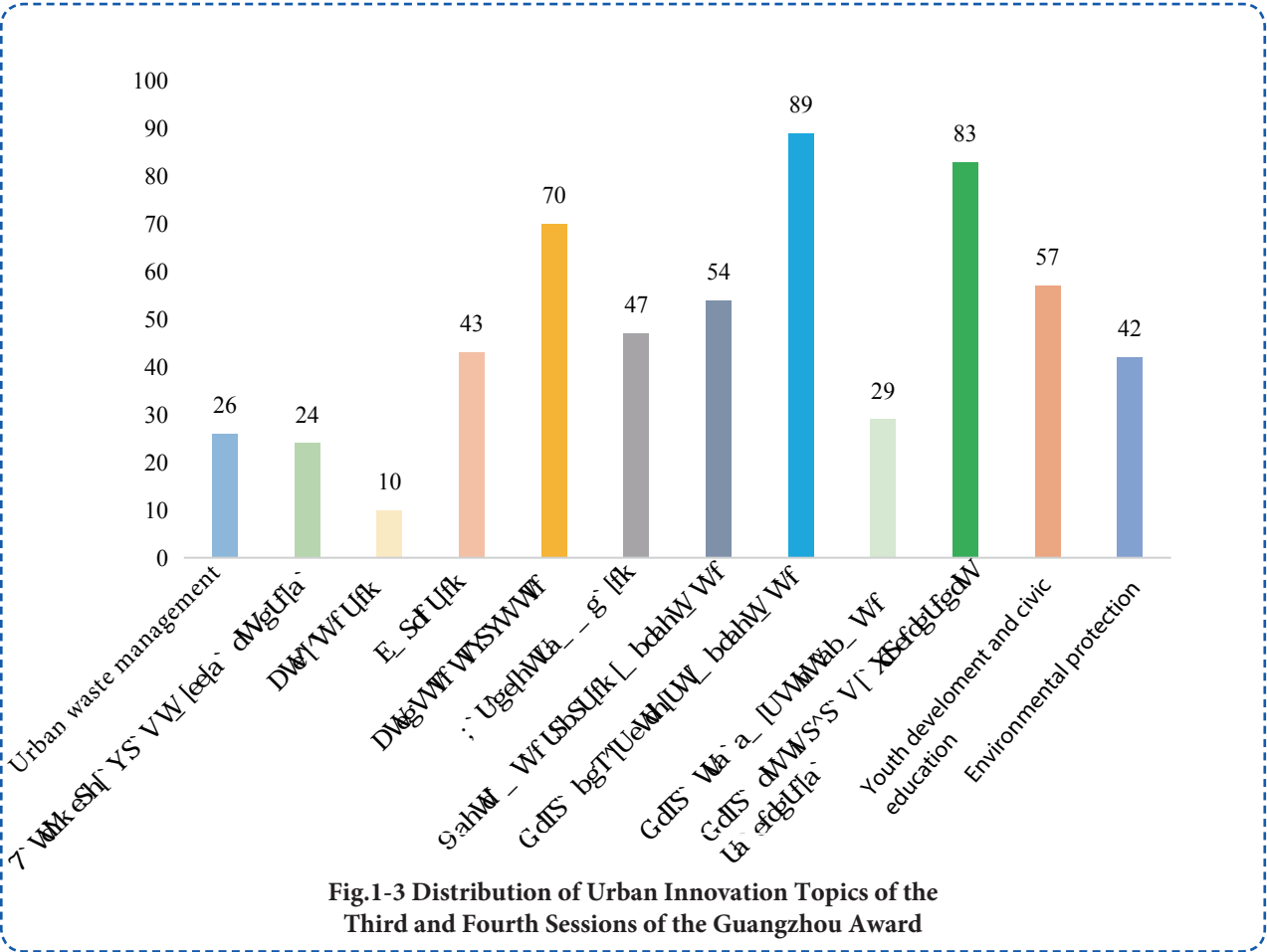
The Workshop for Thought Leaders is an important event within the framework of the Guangzhou Award. It aims to make full use of the Award's cooperation and exchange platform, promote the urban innovation outcomes of the Guangzhou International Award for Urban Innovation, improving international exchange and cooperation in urban governance, and strengthen the learning, sharing and building capability of global urban managers in the field of urban innovation. Three sessions have been held, in 2015, 2017 and 2019. In terms of participants, the Workshop has been attracting increasing numbers of officials and planners who are interested in urban innovation, with an increase from 20 in the first session to more than 40 in the third session. The rank of the participants has also been rising, with more and more senior guests participating in the Workshop. In 2019, more than 40 guests from 25 cities in 19 countries or relevant international organizations attended the third session of the Workshop, including the secretaries of Metropolis and UCLG Asia-Pacific, and five people holding the office of deputy mayor or above. The Guangzhou Award is clearly attracting an increasing number of senior guests. This can be attributed not only to the charm of the Guangzhou Award, but also the appeal of Guangzhou's strength.

The overall level of satisfaction of the participants (global leaders and managers of urban innovation) was assessed by a questionnaire during the third session of the Workshop, and the results are shown in Fig. 1-2. 82% of the participants were highly satisfied, 18% were satisfied, and none of them were not satisfied or not very satisfied. Leaders and managers of urban innovation were generally very satisfied with the Workshop.

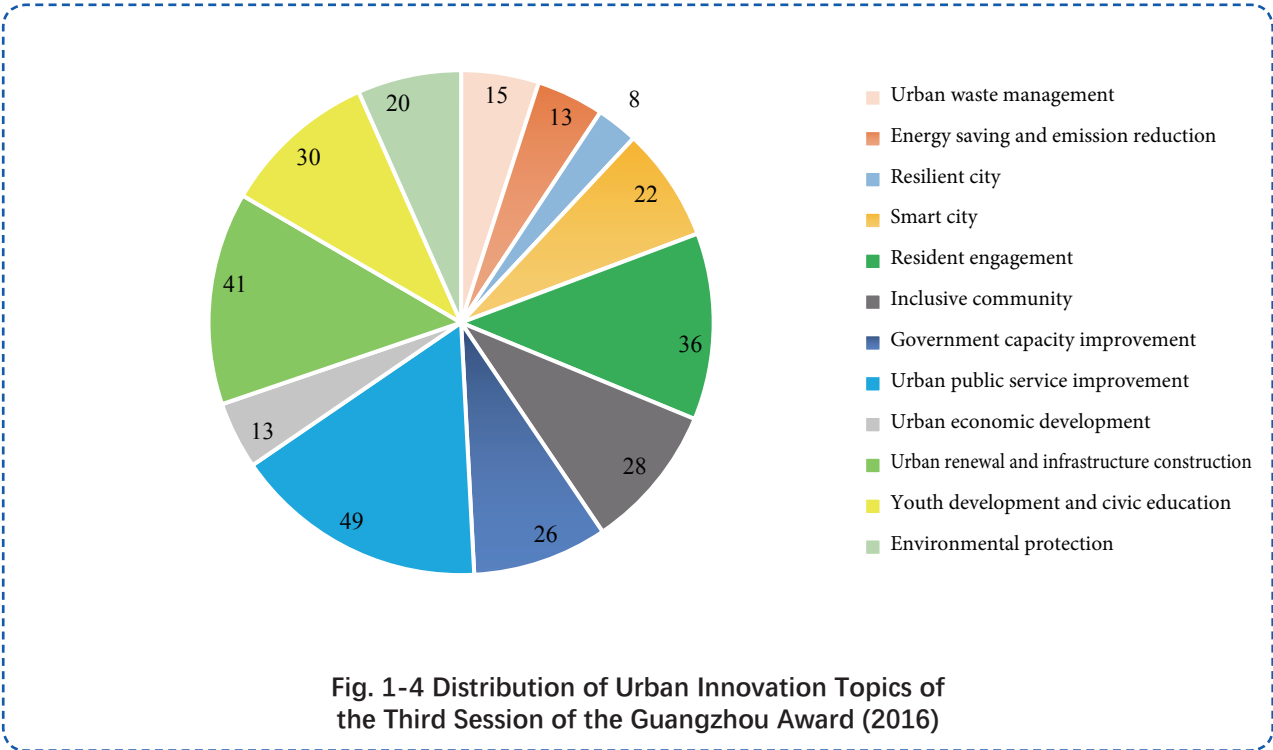


(III) Distribution of Urban Innovation Topics

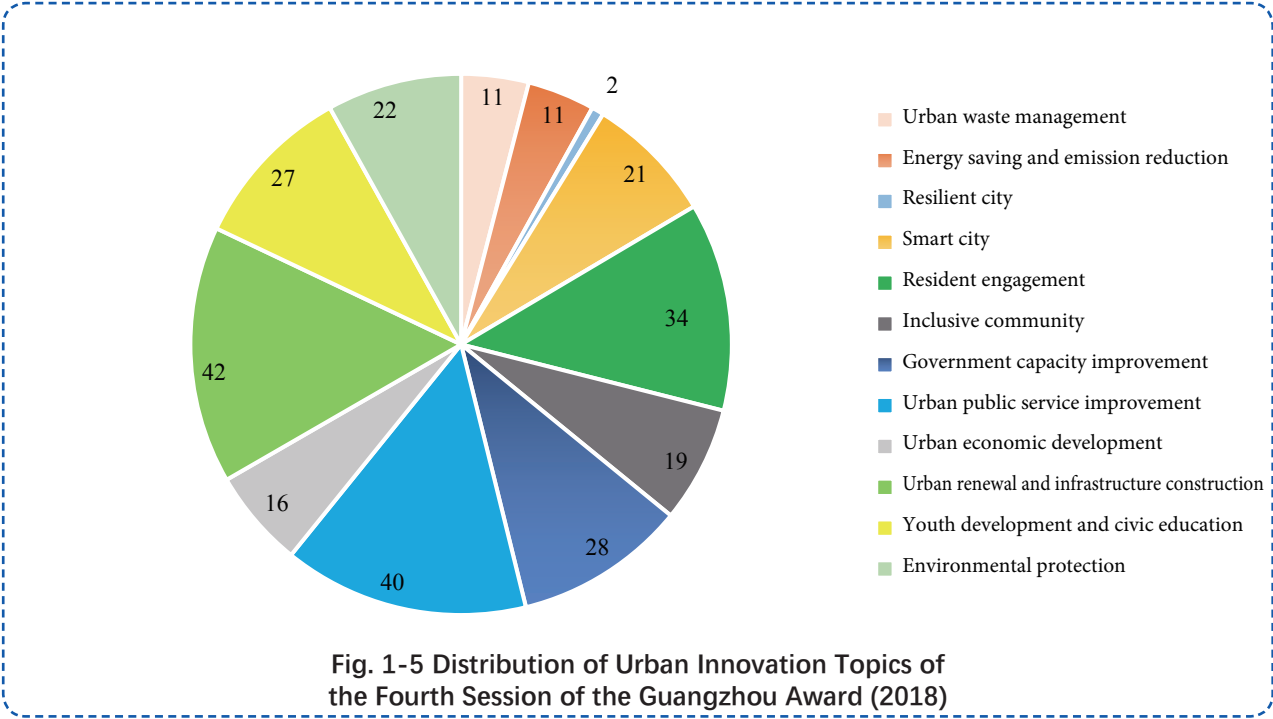
After analyzing 574 valid participating projects from the Guangzhou Awards in 2016 and 2018, it was evident that international urban innovation focused on 12 main topics; urban waste management, energy saving and emission reduction, resilient city (flood control, earthquake prevention, fireproofing, emergency response, etc.), smart city, resident engagement, inclusive community, government capacity building, urban public service improvement, urban economic development, urban renewal and infrastructure construction, youth development and civic education, and environmental protection. Of these, urban public service improvement, urban renewal and infrastructure construction, and resident engagement are the three main areas of focus (Fig. 1-3).



The distribution of topics across the two sessions showed highly similar areas of focus. In 2016, the focus was on urban public service improvement, urban renewal and infrastructure construction, and resident engagement, with urban public service improvement being the hottest topic (Fig. 1-4).



The 2018 session also saw a lot of attention focused on the above three topics, with urban renewal and infrastructure construction becoming the hottest topic (Fig. 1-5). The Guangzhou Awards of 2016 and 2018 saw an increase in projects related to youth development and civic education, as well as urban environmental protection, when compared with the Awards of 2012 and 2014. This shows that with the continued development of the economic base, youth development, civic education and urban environmental protection are becoming central topics in urban development.



When the distribution of project topics submitted is considered by region, it is clear that the topics chosen by each region are closely related to the local level of economic growth. Urban innovation in Asia is mainly focused on urban public services, urban renewal and infrastructure construction, and other topics emphasizing governmental public service and infrastructure construction. Developed European and American countries, however, have a greater focus on smart city construction, government capacity improvement, and energy saving and emission reduction. This indicates that the topics of focus are closely related to the capacity of the government and the economic conditions of a city.

The *World Urbanization Prospects 2018* report from the United Nations Department of Economic and Social Affairs (UN DESA) found that in 2018, 55% of the world's population lived in urban areas, and the world's urbanization rate was 55%. As a result, urban problems are an increasingly important area of focus for governments around the world. Below are some basic introductions to the 12 main areas of focus of the Guangzhou Award urban innovation projects:

● Urban waste management

According to **USA Today**, data from the World Bank shows that the world is drowning in waste while waste production is still on the rise. Due to population growth and the expansion of urban areas, waste production is expected to increase by 70% from 2016 to 2050. Urban waste management has become an unavoidable challenge for urban development. Waste management has been a major focus of projects in the Guangzhou Award. On the one hand, waste recycling or cyclic utilization is an important method of waste management. Examples include the recycling of plastic waste for use as construction materials in Dar es Salaam, capital of Tanzania, and the solid waste management project with circular economy as its main principle in Tampere, Finland. On the other hand, encouraging the engagement of enterprises and citizens and adopting technologies has also become a major method of waste management. Examples include a project that encourages enterprises to improve the efficiency of waste management in Rostov, Russia, and a project that promotes the development of the spirit of social entrepreneurs in waste management in San Salvador. Integrated Community Based Solid Waste Management from Qalyubeya, Egypt, and The "Rebirth" of Urban Waste Dump – Ecological Treatment and Return of Plurality from Wuhan, China are both previous winners of the Guangzhou Award.

● Energy saving and emission reduction

Saving traditional energy and reducing polluting emissions supplement each other. In most cases, saving traditional energy means reducing emissions of carbon dioxide, sulfur dioxide, and other pollutants. Energy is an essential material base for a country and a city to survive. In history, several energy crises occurred due to conflicts of national interest, wars, failure of national control, or other reasons. Examples include the 1973 oil crisis, the 1979 energy crisis that resulted from the Iranian Revolution, and the California electricity crisis when the failure of power control policy led to demand exceeding supply. In the 21st century, countries are taking active measures to deal with energy crises, which occur frequently. Developing new sources of renewable energy, reducing emissions by means of energy saving technology and encouraging energy-saving behavior in residents have become three major methods of establishing energy-saving cities. For example, photovoltaic buses that use alternative energy and can reduce emissions are being used in Cape Town, South

Africa, students are encouraged to go to school by bike in Kocaeli, Turkey, and an automatic emission reduction and control system that uses holograms to test the emissions of vehicles has been adopted in Mexico. The Songpa Solar Nanum (Sharing) Power Plant from Songpa in the Republic of Korea is an energy saving and emission reduction project that won the Guangzhou Award. Cities around the world are now striving to establish energy-saving cities.

● Resilient city

As the urban population continues to expand, the high concentration of urban industries and population lead to the increasing vulnerability of cities to disasters. Once a disaster risk arises, the cost of an unavoidable loss will be very high. As a result, urban resilience has become a problem that urban governments must consider. In March 2010, the United Nations International Strategy for Disaster Reduction (UNISDR) launched the Making Cities Resilient Campaign and developed the Local Government Self-Assessment Tool (LG-SAT). In June 2017, the China Earthquake Administration proposed to implement the National Earthquake Science and Technology Innovation Plan, which included four plans, one of which was the "Resilient Communities" plan. It was China's first national-level resilient city construction plan. Looking at the urban innovation case studies, cities that pay attention to resilience are mostly located in Asia, and they are mainly concerned with natural disasters, such as floods and earthquakes. Examples include the Megacity Indicator System for Disaster Risk Management from Istanbul, Turkey, a safe building project that uses earthquake-resisting post-tension materials from Shiraz, Iran, and an anti-flood smart water sensor project from Penang, Malaysia. It is worth mentioning that in addition to physical reconstruction or increased resilience to disaster risks, resilient cities should also be able to restore and develop the local social structure and civic networks. As Thomas J. Campanella and Lawrence J. Vale mentioned in their 2005 book *The Resilient City: How Modern Cities Recover from Disaster*, the emphasis on the resilience of a city and the cooperation of local residents in the shaping of residents' memories and regional social capital construction lead to successful rejuvenation. This means that not only do technical requirements have to be met, but urban resilience should be built at the social level.

● Smart city

Smart cities are the product of the development and application of new technology. Meanwhile, new technology raises a number of development questions which demand the construction of smart cities. Influenced by the 2008 global financial crisis, IBM proposed a new "Smart Planet" concept, which became a touchstone for countries around the world when dealing with financial crises and growing their economies. Cities are the key to the future development of the earth, and so the realization of a smarter planet is inseparable from the establishment of smart cities. With the development of the internet, big data, cloud computing and other new information technology, many practical cases of smart cities have emerged in transportation, meteorology, public security, and other fields. Governments are also increasingly using technical methods to provide better public services and adopting more effective methods of social governance. Most urban innovation case studies concerning smart cities are from developed European countries. Examples include the real-time traffic data system with machine learning capabilities developed in Milton Keynes in the United Kingdom, the RES NOVAE innovation project that promotes urban energy saving with technology in Bari,

Italy, and the smart city construction project co-promoted by public and private colleges and universities in Charlottesville, the United States. As science and technology become the core driving forces of urban development, "smart cities" that make use of the IoT, cloud computing and other technology, are effectively connecting all kinds of urban facilities, enabling interconnectivity between urban management, production and manufacturing, and the life of residents. This not only provides a brand new 'smart' concept for future urban development, but also technical support for building a harmonious, stable, safe, environmentally friendly and livable city with sound economic growth, and the creation of a better urban life.

● Citizen participation

Resident engagement is becoming a major area of urban development and innovation in both economically developed and less developed cities. Urban governance and urban innovation are increasingly achieved by empowering residents to participate in governance and public affairs. The multiple different ways of achieving resident engagement include formal policy agendas and informal workshops and seminars. In the two consecutive sessions held in 2016 and 2018, resident engagement received a lot of attention from urban innovation case studies. For example, Xining, China initiated a project that let women participate in the governance of minority communities; Lublin, Poland has a Vision 2050 project that is attracting the engagement of universities, enterprises, NGOs and other stakeholders; the citizens of Bandung, Indonesia participate in the online evaluation of government performance and discussion of issues; and in Tel Aviv, Israel a resident engagement club was set up, enabling residents to participate in the provision of public services by using dedicated phone cards and express interest appeals through discussion forums. Resident engagement, whether by formal means such as public policy agendas or informal means such as phone calls or emails, promotes the democratization of public decision-making and improves the precision of urban public governance.

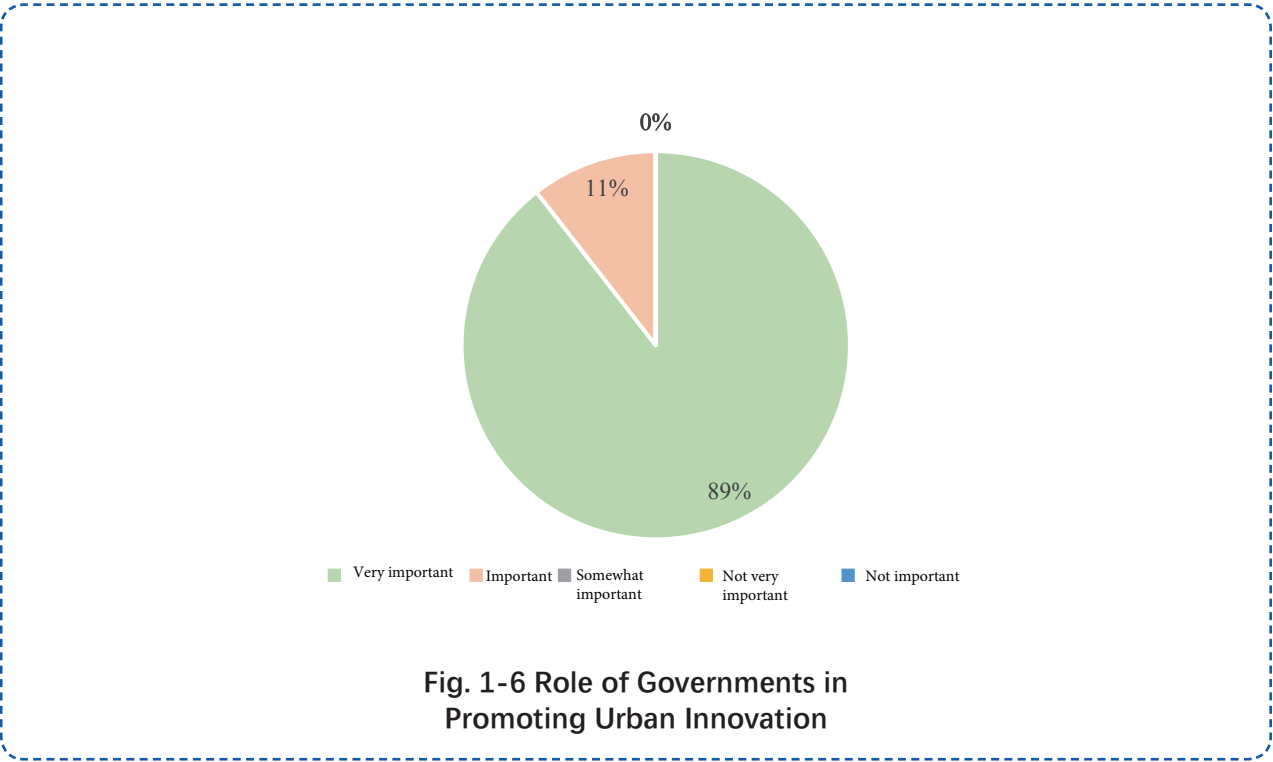
● Inclusive community

The concept of an inclusive community originated from the concept of an inclusive society, and it shares the same goals. Social issues such as the alienation of members of society and the disorder of social autonomy should be narrowed down and addressed at the community level. Therefore, inclusive communities have become a new method of urban governance. An inclusive community can improve the sense of identity and belonging of community residents, establish relationship networks of community interaction, improving the order and efficiency of community governance. In general, an inclusive community is a cost-effective governing measure that is vital to the establishment of an acquaintance society in urban communities. Based on inclusive communities, an inclusive society can also be achieved.

The establishment of inclusive communities and an inclusive society supplement each other. For example, the community volunteer firefighting and safe neighborhood project from Konya, Turkey; the family-oriented urban plan from Rosh HaAyin, Israel which aims to provide professional training to parents and make every community well-functioning and resilient; and the redevelopment of neighborhood relationships with trust and the construction of an inclusive society in Tampere, Finland. Communities are the basic urban units; inclusive communities can promote the construction of social capital, thus enhancing the inclusiveness of society as a whole.

● Government capacity building

Government capacity building is essential for the effective governance of a city. The government influences every aspect of the running of a city, and so good urban governance relies on the continued improvement of government capacity. Fig. 1-6 presents the result of questionnaires from the third session of the Workshop, showing that 89% of urban innovation leaders consider governments to be 'very important' and 11% 'important' in promoting urban innovation. It is obvious that both countries with "big government and small society" and "small government and big society" agree that governments play a pivotal role in promoting urban innovation.



As urban issues become increasingly complex and diverse, government capacity has become a new challenge facing the development of urban government. Government capacity is reflected in policy formulation, and problem solving in policy implementation. In regards to policy formulation, governments can adopt technical methods to make policies more scientific. For example, an irrigation evaluation system to measure drought for vegetables and other agricultural products in Ibadan, Nigeria was able to assist policy-making with technology to address vegetable shortages caused by drought. From the government-market and government-society relationships, the improvement of government capacity is key to building sound government-society and government-enterprise relationships. For example, the Foreign Service Center in Yiwu, China provides one-stop services to enterprises, creating a favorable business environment for enterprises and a good living environment for entrepreneurs. There are also cases of

urban innovation that use technology to supervise government behaviors, for example, Bandung, Indonesia established a social subsidy supervision system to ensure fiscal transparency and prevent corruption.

● Urban public service improvement

Governments by their nature bear the important task of providing public services. With the continued development of cities, demand for quality public services has been growing, making the improvement of urban public services a goal that must be pursued as public service development enters a new stage. Improving urban public services received great attention among the urban innovation case studies in the 2016 and 2018 sessions, covering fields such as medicine, education, transportation. Examples include the provision of public sanitation facilities in marginal urban areas of Lusaka in Zambia to reduce diseases caused by excretory pollutants; the introduction of the mobile application Ruyue Bus and other customized transportation services for residents in Guangzhou, China; the Pink Light Campaign for pregnant women in Busan, South Korea, with pink lights for pregnant women in specific areas of public places. The degree of urban public service improvement is closely related to the development of the local economy. The creation of public services is the first stage of upgrading, while the transformation of public services from low quality to high quality and then to meeting more personalized demands marks the next important level of improvement. Faced with the growth in residents' demand for public service quality, we can only satisfy them by continuously improving public services. From the perspective of human development, there are no perfect urban public services but only better urban public services.

● Urban renewal and infrastructure construction

Cities have different aesthetic requirements at different stages of development. Urban facilities inconsistent with the current stage of development will require renovation, and urban planning will specify different functional uses for different city regions. This makes urban renewal and infrastructure construction a requirement of urban development. Urban renewal and infrastructure construction were also hot topics for urban innovation case studies in 2016 and 2018. Urban renewal includes the government-led model, models based on resident engagement, models led by social organizations, and cooperation between government and other parties. In terms of urban innovation, examples include green spaces and other special spaces for urban development planning, such as the Linear Park green public space project in Merida, Mexico; there are cases that emphasize multi-subject engagement in urban renewal, such as the joint urban planning project that brings together government, citizens and social organizations in Montreal, Canada; there are also urban renewal projects that emphasize the combination of modernity with the protection of culture, such as the urban renewal project in Irkutsk, Russia, which combines the conservation of the urban environment with the protection of cultural heritage.

● Urban economic development

Urban economic development is the essential role of a city. It underpins the delivery and improvement of urban public services as well as the construction of smart cities, providing a material foundation for other urban

activities. Urban economic development has been transformed from the traditional industry-driven urban growth model to a modern one supported by financial capital, high technology and the next-generation knowledge-based economy. Countries at different stages of economic development display distinct variations in terms of innovation in urban economic development. There are projects focusing on poverty alleviation, such as the K-shoe project for slums in Kenya's capital of Nairobi, which uses recycled materials to improve the income of youngsters and young mothers; there are projects that are committed to promoting gender equality and reducing employment discrimination in job creation, such as the women-oriented "Pink Salary" project in Mexico, which aims to reduce poverty by providing job skills training for housewives, the Mezitli Women Producers Market in Turkey, and cafes in South Korea that provide job opportunities for the disabled; there are also government services dedicated to creating favorable business and service environments for enterprises, such as the Greenbizz project in Brussels, Belgium, which aims to promote the incubation of small and medium-sized enterprises (SMEs). This indicates that, despite its diversification, urban economic development is closely related to the current stage of economic development of the city.

● Youth development and civic education

Youth development and civic education are integral to building a city's soft power. Young people will be the main force spearheading urban development and their strength is decisive. Therefore, youth development concerns the future development of the city. Civic education is an important way to foster residents' public spirit and concern about the city's future development. Of course, there are also civic education programs aimed at improving public safety and the scientific spirit of residents. For example, Mexico has taught children about urban public space planning through the game "My World"; Istanbul, Turkey, has launched the ISMEK Learning Center Program to establish a public university, with the aim of creating an environment for lifelong learning; Cordoba, Argentina, has launched an educational park program for residents' re-education, including education in equity, human rights and environmental protection, as well as social, economic and cultural education. Generally speaking, youth development and civic education play a fundamental role in guiding residents to participate in urban construction and innovation, so that they are more capable of participating in urban construction and expressing themselves.

● Environmental protection

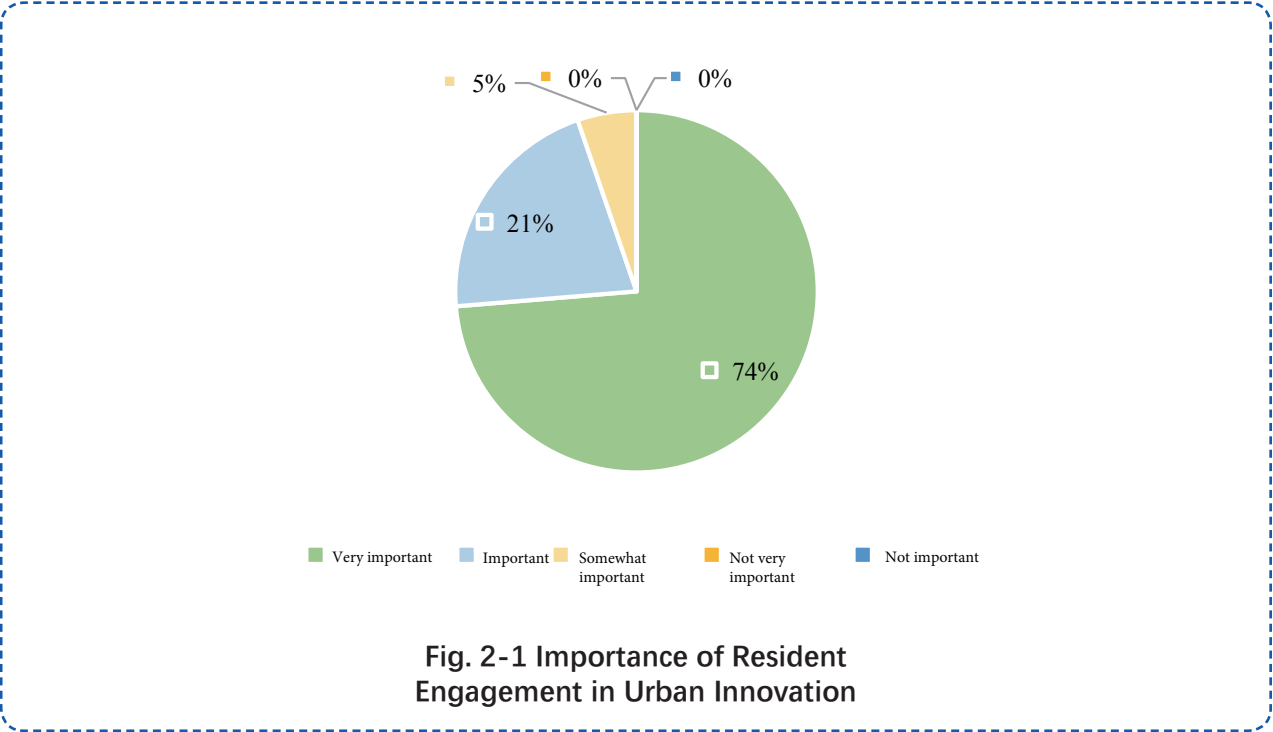
With the ever increasing urban population and level of industrial agglomeration, the urban environment is facing new challenges. The changes in the urban environment not only greatly affect residents' health, but also lead to reverse urbanization, i.e. the migration from urban to rural areas. Therefore, improving the urban environment is of vital importance to creating a better city life. In general, urban environmental protection is mainly achieved through the following approaches: First, by promoting the upgrading and transformation of traditional industrial enterprises and transforming traditional industries into modern energy-saving ones; second, by transforming traditional industrial enterprises through technological innovation and advancement, so as to reduce the emission of pollutants; third, by promoting the full engagement of basic urban units, such as residents, families and

communities, in environmental protection programs, so as to spur environmental protection with qualitative changes. For example, Moscow has upgraded its transportation system from using traditional energy sources to one based on new energy sources, in order to protect the environment; Rosario, Argentina, has developed an interest network technology to educate residents on environmental protection and build a green family network; Malang, Indonesia, has undertaken a technical project to transform non-potable water into potable water.

Chapter II Topics and Effects: Getting Residents Engaged

Urban innovation is closely related to the development stage of a city. Cities at different levels of economic, technological and educational development vary greatly in their emphasis on innovation. However, both developed and developing countries agree on the importance of people-centered urban governance. In his many visits to different cities, General Secretary Xi Jinping has stated that cities should be built by the people and for the people, and that urban development must be built around a people-centered approach. An important way to create "cities that are built by the people" is to get the people engaged. "We should listen to our residents, whose voices are meaningful. We also encourage them to participate in activities organized by the government to allow them to get involved in urban development. Only by doing this can our urban planning bring people greater happiness," said Dr. H. Maulana, vice mayor of Jambi, Indonesia.

In the questionnaire from the Third Workshop for Thought Leaders, leaders and participants in the field of urban innovation also recognized the importance of resident participation in urban innovation. As shown in Fig. 2-1, 74% of officials think that resident participation is vital, while 21% of them think it is important. This clearly shows that officials recognize the role of resident participation in urban innovation.



(I) Introduction to Resident Engagement

● 1. Concept of Resident Engagement

According to the Encyclopedia of China definition, engagement or participation, in the political sense, refers to citizens' engagement in politics through various legal forms. It reflects the status, function and category of choice of citizens' political activities in the political system¹.

Public engagement is the process through which citizens attempt to influence or even promote political decision-making through their own actions². Professor Yu Keping is regarded as the first scholar to study public engagement in governance. In his opinion, as well as the political field, public engagement also involves other non-political fields and encompasses all civic actions that attempt to influence public policy³. Typically, civic engagement refers to a series of civic actions that attempt to influence government, especially those related to voting, through channels within the political system⁴. Researchers define public engagement as a series of systems and mechanisms in which government-related entities allow and encourage stakeholders and the general public to participate in the legislative and decision-making process by providing information, giving opinions, making comments and expressing appeals on major issues related to or involving the public interest. This can further enhance the fairness, legitimacy and rationality of administrative legislation and decision-making⁵. Other scholars believe that public engagement refers to the direct participation of non-governmental individuals or social organizations in the legislature or public decision-making of authorities in a series of formal and informal ways, which thereby encompasses all actions of the public that directly influence the formation and implementation of legislative or public policy⁶. Civic engagement is a universal and extensive behavior of citizens under modern democratic political systems, and it is also a specific reflection of social democracy in modern cities. Huntington regards civic engagement as an important variable that affects political development, and the extent and scale of civic engagement as an important factor in measuring the level of social and political modernization when studying the process of political development and related factors that affect this process⁷. Robert A. Dahl put forward five criteria in his discussion about "democracy", the first of which is "effective engagement". This indicates that civic engagement is closely related to and inseparable from a series of institutional arrangements such as modern politics and democracy.

To summarize from the above concepts, citizens are the subject of civic engagement when they become involved with social public affairs concerning the public interest, with the purpose of influencing the city government's decisions in the interest of the public. Resident engagement is included in civic engagement. It not only refers to residents' engagement in politics, that is, the process of their direct or indirect election of public

authorities and leaders, but also encompasses all engagement concerning public interests and management of public affairs⁸. There are many answers to the question, "what is resident engagement?" Resident engagement can be regarded as another term for resident power. It is the redistribution of power that enables the powerless citizens, presently excluded from the political and economic process, to be deliberately included in the future.

It is the strategy by which the have-nots join in with determining how information is shared, goals and policies are set, tax resources are allocated, programs are operated, and benefits like contracts and patronage are parceled out. In short, it is the means by which they can induce significant social reform which enables them to share in the benefits of the affluent society⁹. This indicates that resident engagement derives from public engagement, which is also known as civic engagement. Resident engagement is only a form of civic engagement, and its subject is limited to city residents. City resident engagement is the process in which residents of cities participate in social and public affairs involving social and public interests in various ways, so as to influence the city government's decision-making in conformity with their aspirations and the redistribution of benefits. If urban governance is able to include talented and insightful residents in the decision-making process, it will be conducive to the sustainable development of the city, lifting the residents' participation in urban governance to a level beyond meeting their aspirations.

● 2. Theoretical Origins of Resident Engagement

In western countries, public engagement is in a relatively mature stage. There are many cases of resident engagement in urban public affairs, and it has deep-rooted theoretical origins. **Generally speaking, resident engagement begins at the levels of urban planning and government decision-making.** Resident engagement in urban planning is the earliest stage of resident engagement, and has an important impact on the development of urban planning.

Cities are built for people, and these people are their residents. Involving residents in urban construction has an important influence and effect on urban development. The theoretical origins of resident engagement in urban governance can be traced back to foreign scholars' studies of urban planning. There are two typical milestone theories for resident engagement in urban governance. The first is the British Town and Country Planning Act 1947, which established residents' right to express their opinions on urban planning, specifically by giving citizens the right to appeal against unsatisfactory urban planning decisions. The other is Skeffington's 1968 report, which incorporated in-depth research into resident engagement, pointed out the differences in methods, approaches and forms between traditional management and modern resident engagement in urban governance, and proposed different methods, approaches and forms from those of traditional government management. This is also an important symbol of resident engagement in urban governance. Arnstein is regarded as the pioneer of the theory of public engagement. In her theory, resident engagement is regarded as the redistribution of resident power. Even if the residents are currently powerless, their opinions and appeals may be listened to and applied in future political

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⁹ [U.S.] LeGates, R. T., & Stout, F., *The City Reader*, in trans, Zhang, T. W., & Tian, L., Beijing: China Architecture & Building Press, 2013(217).

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⁵ Wang, X.X., *The Institutional Practice of Public Engagement in the Administrative Process*, Beijing: China Legal Publishing House, 2008(2).
⁶ Wang, Z.H., *Theory and Practice of Public Participation*, Beijing: Law Press-China, 2011(345).
⁷ Dong, X.Y., *Public Sphere and Urban Community Self-governance*, Beijing: Social Sciences Academic Press, 2010(14).

and economic activities. In the 1960s, Paul Davidoff pointed out that under a diversified market system, different interest groups should discuss countermeasures for the coordinated distribution of social benefits. This is the early Defensive Planning theory on urban governance. In the 1960s, Paul Davidoff put forward "advocacy planning" in his book *Advocacy and Pluralism in Planning*. He pointed out that "planners should represent the urban poor and vulnerable groups, give priority to the problems in urban slums and rundown areas, and communicate with and serve different resident groups." Both Rawls' *A Theory of Justice* in 1972 and David Harvey's *Social Justice and the City* point out that social justice should be fully considered in urban planning. Meanwhile, both theoretical and practical research into urban planning also place great emphasis on social justice and the public interest, and begin to attach importance to the social and economic significance of urban planning. Planning and design was transformed from simply planning for the renovation of the material environmental, to planning for social and economic development. At the same time, major western countries began to witness a social trend towards democratic pluralism. As a manifestation of "semi-direct democracy", the idea of resident engagement in planning has begun to be widely accepted.

In terms of public decision-making, as the problems of social governance become increasingly complex, there is greater public demand for urban public services, and city governments need more scientific and popular support for the formulation of public policies. As early as 1969, Arnstein published *A Ladder of Citizen Participation*, which is regarded as a leading authority on public engagement. In the article, she identifies eight rungs on the ladder, which are divided into three levels. The lowest level of the ladder is characterized as "nonparticipation", and includes two rungs. The bottom rung is "manipulation", which invites active citizens to be powerless advisors or arranges them into representative citizen groups. The next rung is labeled "therapy", which seeks to change citizens' response to the government instead of improving the social and economic factors that lead to dissatisfaction among citizens. The middle level is "tokenism", which includes three rungs. They are "informing", which informs citizens of the existing facts, "consultation", which includes surveys of opinion and public hearings, and "placation", which establishes citizen committees that only have the power to participate in discussions and not the power to make decisions. The top three rungs of the ladder are characterized as "citizen power". This first includes "partnership", which indicates the sharing of power and responsibility between citizens and the city government. The next rung is "delegated power", which enables citizens to exercise the power of approval on behalf of the government. The top rung is "citizen control", which enables citizens to conduct direct management, planning and approval.¹⁰

Clearly, resident engagement in urban governance has a long history. Resident engagement plays an important role in both urban planning and the formulation of public policy by city governments. It provides an important basis for better decision-making and planning by city governments.

(II) Why Residents Participate

In 2015, the Central Urban Work Conference proposed greater coordination between the government,

10 Arnstein S. R., *A Ladder of Citizen Participation*, Journal of the American Institute of Planner, 1969(35)

society and residents to increase the enthusiasm of all parties in promoting urban development. For urban development, it is necessary to arouse enthusiasm, initiative and creativity in all aspects and to pool these positive energies. It is also necessary to strive for coordination and synergy and to try to bring together the government, society and residents, giving play to the visible hand of the government, the invisible hand of the market and the industrious hand of the residents. The government should innovate in its urban governance, and, in particular, should focus on strengthening the micro-management of the city. It should improve the ethical quality of residents, respect residents' right to know, participate in and supervise urban development decisions, and encourage businesses and residents to participate in urban construction and management through various means, thus achieving 'building, governing and sharing together'.

In step with the recent period of rapid economic growth and social progress, urbanization is also advancing rapidly. Urban life is constantly changing and cities are faced with more and more complex public problems, including the renovation of urban villages, education of the migrant population, healthcare, and social security. These problems have seriously affected the health and sustainability of the cities and therefore require the attention and countermeasures of city managers. In May 2000, the United Nations Centre for Human Settlements (UN-Habitat) issued a draft declaration on Good Urban Governance: A Normative Framework, aimed at launching a "Global Campaign for Good Urban Governance" to enhance the ability of local governments and urban stakeholders to implement good urban governance. It also proposed seven criteria for good urban governance: sustainability, decentralization, equity, efficiency, transparency and accountability, civic engagement and citizenship, and security. B. Guy Peters found that contract-based public administration is not perfect in expressing the public's expectations regarding policy, so a certain degree of direct democracy is still needed in complex social activities, and more residents must be involved in both the establishment of and response to demands, as well as the implementation of accepted policy methods¹¹. Therefore, resident engagement in urban governance is vital if a city is to achieve good governance and is accordingly becoming more and more important.

● 1 . Resident Engagement is Required for the Formulation and Implementation of Public Policy by City Governments

In the words of Mr. Nicholas You, advisor to the Guangzhou Award: "We cannot leave anyone behind, and this is a very important goal of urban innovation." With the rising expectations of residents' in regards to public policy, and the increasing reliance of decision execution on public acceptance, the degree of resident engagement in decision-making and their share of decision-making power are increasing. Public policy issues in the process of modern urban governance are related to the interests of every resident, and their execution depends largely on public acceptance. Therefore, the acceptance of residents needs to be considered.¹²

Public policy is formulated from public opinion, and the centralization of public opinion can promote the democratic formulation of public policy. Generally speaking, when public opinion is expressed in a centralized way, public policy makers can incorporate public opinion into the public policy agenda. Of course, not all policies require residents to express their opinion in a centralized way. Under special circumstances, exclusive public opinion expression agendas can be set up for special groups, including the disabled and other vulnerable and marginal groups.

Modern urban

11 [U.S.] Peters, B. G., *The Future of Governing: Four Emerging Models*, in trans, Wu, A. M., & Xia, H. T., Beijing: China Renmin University Press, 2001(68).

12 Xu, L., *Urban Management: Issues, System and Policy*, Hangzhou: Zhejiang University Press, 2012(145).

governance should especially focus on special groups' opinions in the formulation of public policy, thus improving the quality of decision-making and promoting scientific and democratic public decision-making. However, regardless of whether resident engagement supports the formulation and implementation of public policy, the engagement process can have an effect on the decision-making approach of public decision makers, and residents can affect decision-making by offering suggestions.

Furthermore, public opinion is critical to the effective implementation of public policy. If public policy fails to effectively reflect public opinion, it is likely to be discouraged or even publicly opposed by residents during its execution. As a result, public policy is prevented from smooth implementation and might even be reduced to a failed policy that changes frequently. On the contrary, if public policy is formulated in a way that broadly absorbs public opinion, it will effectively reflect the demands of public opinion and can be more easily understood and supported by the public during its execution. In this way, public policy can be effectively implemented.

● 2 . Resident Engagement is an Important Way of Disclosing Information and Meeting Residents' Right to Know

Disclosure of government information is the prerequisite for resident engagement, as this is the only way in which residents can be informed of the contents and means of participation. Built on this foundation of disclosure of government information, residents are able to better express their demands and gain the right to know and participate by exercising their political rights. In addition to the right to know, residents also have an enhanced ability to express interest appeals and engage in public affairs. Furthermore, resident engagement can enhance residents' sense of acquisition, sense of ownership and sense of responsibility as part of the city, so that they will have a heightened sense of identity and belonging to the city, and have the motivation to safeguard their city. In short, resident engagement is inseparable from the disclosure of government information, which in turn encourages residents to better exercise their right to know and express their opinions and suggestions publicly when necessary.

● 3 . Resident Engagement is an Important Way of Supervising and Evaluating the Government

The impartial and disinterested operation of government is inseparable from the supervision and evaluation of residents. When residents express their opinions and suggestions during the formulation of public policy, the government departments responsible for public policy can put the interests of the people at their core. During the process of understanding government information disclosure and exercising the right to know, residents become important supervisors of the government's decision-making process and acts.

On the one hand, whether in the formulation and implementation of public policy or in the governance of public affairs, resident engagement is an important method of supervision. This can make the two processes more open and transparent, helping residents to supervise the act of government, and reducing or avoiding governmental misconduct and inaction.

On the other hand, resident engagement not only supervises the act of government, but is also an important method of evaluating this act. Public opinion is one of the most important indicators in the process of evaluating public policy and public affairs governance. The support or opposition of public opinion has a profound impact on the effectiveness of a government's public affairs governance and the level of public satisfaction. In the process of resident engagement, residents supervise and evaluate the act of government, which also provides an important basis for the government to improve public decision-making and implementation.

(III) Channels for Resident Engagement in Urban Governance Innovation

The problems currently facing urban governance are becoming increasingly complicated, including both unsolved traditional problems and all kinds of emerging new problems. The increasing complexity of these challenges demands the transformation of the methods and measures of urban governance. The traditional status of dominant government will need to change: it is necessary for government to cooperate with enterprises, non-governmental organizations and residents. Through resident engagement, residents can engage in urban governance in traditional ways such as phone calls and letters, or through new technology such as network voting and online message boards. Broadly speaking, the channels for resident engagement in urban governance can be divided into formal and informal channels.

● 1 . Formal Channels

Formal channels mainly involve organizational expressions of interest. This is a legitimate engagement channel for the expression of interest appeals via a formal engagement channel established by the state or city government.

This includes an official path through administrative organizations, including representative meetings, petition letters and visits, hearings and councils. In petition letters and visits, hearings and councils, residents often directly exercise popular sovereignty over major policy issues; in representative meetings, residents usually adopt indirect or representative methods to select public representatives to express their opinions or requirements in representative meetings on behalf of the public interest, so as to formulate or modify public policy. China has established a system of reporting for social conditions and public opinion, an expert consulting system, a system of keeping the public informed and a system of public hearings on major issues, through which residents can directly participate in democratic policy-making. There is also an unofficial path, mainly through participating in various social organizations. In this way, residents form groups and influence public policy by means of group power, thereby engaging in public affairs governance.

● 2 . Informal Channels

Informal channels include expressions of public opinion and expression by direct action. The latter is to some extent illegitimate in some countries.

The expression of public opinion includes various media, newspapers, Internet, radio stations and various informal public opinion media. With the development of technology, the methods and form of resident engagement in urban governance have grown and diversified, and now include traditional media as well as various new media forms like Weibo, WeChat and Facebook. In addition to the traditional letters and visits, mayor's mailbox, mayor's hotline and radio feature programs, there are also new forms specially established by the city government to solve specific kinds of problems or issues, such as hearings, consultation meetings, resident dialogue meetings, seminars and workshops.

Under certain extreme circumstances, if residents are unable to safeguard their own interests through other channels, they may resort to direct action, usually adopting various threats to oppose certain policies. An example was the unexpected "PX incident" that

happened on June 1 to 2, 2007. Some residents of Xiamen "took a walk" in front of the Xiamen Municipal Government to express their opposition to the PX Project that was to be located in Haicang District of Xiamen. Similar expressions through action occur all over the world, especially in western countries. However, direct action is often an improper choice of expression for residents. City governments in China seek to avoid direct action by residents in urban governance and instead arrange reasonable and legal channels of expression for residents' opinions and interest demands.

● 3 . Channels of Resident Engagement in Urban Innovation Case Studies

Analysis of urban innovation case studies reveals that the channels of resident engagement in various countries are quite different. There are permanent channels of resident engagement, temporary engagement channels for solving certain specific problems, dialogue meetings and other projects specifically established for resident engagement, and projects encompassing independent resident engagement in governance. In this way, the main types of resident engagement channel in urban innovation case studies can be sorted according to whether they are permanent or temporary channels, and by the subject of resident engagement (see Table 2-1). It should be noted that as urban development reaches a new stage, city government tends to pay greater attention to the diverse demands of residents, especially vulnerable groups such as women and disabled people. This is an important marker of progress in urban governance, and also the future direction of urban governance.

Table 2-1 Channels of Resident Engagement in Urban Innovation Case Studies

Channels of Resident Engagement	Case Studies
Temporary channels of resident engagement	Nanjing set up a public committee to promote a shared-governance and shared-benefit project for resident engagement in urban governance; Banyuwangi in Indonesia attracts citizens to engage in the policy agenda through traditional festivals; In Tel Aviv, Israel, resident engagement clubs express public interest by participating in the discussion of public services through special telephone cards.
Permanent channels of resident engagement	Residents of Bandung in Indonesia participate in online projects to assess government performance, exchange issues and other functions; Boston youth lead changes in the United States: the youth participate in budget projects; Taiwan's projects empower people to transform and pursue a green life; Caracas, Venezuela: one-click online app for residents to engage in urban governance.
Independent residents engagement in urban governance	The metropolitan coordination project led by the residents of Guadalajara, Mexico, is dedicated to solving public problems and includes resident engagement in the planning process of municipal officials, through round-table discussions, seminars and education courses; a project to install elevators in old communities in Guangzhou is led by community autonomy and guided by the government.
Multiple subjects' joint engagement in urban governance	Mymensingh's community-based waste treatment project with the joint engagement of volunteers and NGOs aims to build a clean city; the wetland environmental governance project for the Haidong wetlands in Kunming is led by the government, operated by business, with participation from local residents who will see the benefits; Agueda in Portugal allows residents, organizations and businesses to participate in decision-making, and makes them major players; the Vision 2050 project involves cooperation between Lublin in Poland and universities, NGOs, enterprises and other stakeholders.

Urban governance involving women and disabled people	Environmental protection projects led by Mashhad women in Iran; the Muserna forum project to increase women's engagement in urban planning and development decision-making in Indonesia; a modeling project on modern problem governance for disabled people in Ankara, Turkey; Xining lets women participate in the governance of minority communities.
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(IV) Development Bottlenecks for Resident Engagement

The increasing rate of urbanization means that ever increasing numbers of rural people are flocking to cities and the degree of urban concentration is growing. It is increasingly difficult for public services in cities to meet the different needs of a diverse population. At the same time, due to the lack of long-term awareness in the early planning stages of urban development, new problems in urban governance are emerging, such as traffic congestion, crowded housing, and shortages of education and medical resources. Following the concept of "A people's city is managed by the people, and the good management of the city is for the people", China's urban management departments have introduced public engagement mechanisms, such as the urban construction and management hotline - 12319, the employment of compulsory supervisors, the satisfaction survey for urban management and the establishment of community liaison stations for urban management. Urban management has gradually transitioned from being 'closed' towards being 'open'. Although residents are participating in urban governance to some extent, on the whole, they are still in the symbolic engagement stage described by Sherry R. Arnstein. Moreover, "there is more passive engagement and less active engagement; more non-institutionalized engagement and less institutionalized engagement".¹³ Therefore, on the one hand, innovation in urban governance increasingly requires resident engagement. However, on the other hand, resident engagement in urban governance is encountering many difficulties, mainly due to the low level of enthusiasm and limited effects of resident engagement.

● 1 . Difficulties Mobilizing Enthusiasm for Resident Engagement

It is difficult to mobilize enthusiasm for resident engagement in urban governance mainly because: first, most residents do not have a resident consciousness, or have a relatively weak awareness; second, the cost of resident engagement in urban governance is high. On the one hand, many residents do not have resident awareness or have relatively weak awareness. In many communities, this weak consciousness of resident engagement is also common. With relatively weak resident awareness, residents think that it is difficult for them to change the current situation of urban governance, and even that it is not necessary for them to engage in urban governance. They also do not have the proper channels of resident engagement to express their views so as to change the current situation of urban governance. This is very obvious in communities dominated by migrant populations in Guangzhou. Migrants are mainly working in certain areas and due to the large number of migrant workers, the community often appears in a dirty and chaotic state. However, when setting up the policy agenda for the participation of migrants in the process of community environmental governance, the migrant population shows almost no enthusiasm and chooses not to participate in urban governance, which is closely related to the weak sense of belonging of the migrant population in the community.

On the other hand, the cost of resident engagement remains high. Whether it is a hearing or council (a kind of organized forum for the expression of resident interest appeals), government departments will incur a cost in time

13 Xu, L., *Urban Management: Issues, System and Policy*, Hangzhou: Zhejiang University Press, 2012(145).

energy and money, which leads them to choose to hold as few hearings as possible for the sake of cost. In addition, the hearings or councils also require residents to bear a certain time cost, and residents who do not have a strong sense of community awareness will choose work, leisure or entertainment instead of resident engagement. This means that the question of how to reduce the cost of resident engagement and attract more resident engagement in the future through Internet technology is fundamental to the future of urban governance innovation.

●2. The Effects of Resident Engagement are Limited.

The effects of resident engagement are limited in the following two aspects: first, they are limited by the level of knowledge and ability of residents; second, it is difficult for resident engagement to achieve a consensus on public issues.

On the one hand, due to the limited or uneven knowledge levels of the residents themselves, it is difficult to express high-quality consensus views on public affairs governance and make suggestions for public decision-making. Instead, it may even make resident engagement into a mere formality and cause the wastage of resources, which will obviously not achieve the expected outcomes. On the other hand, problems in urban governance are as diverse as are the residents in urban life. Residents may come from different classes and regions and have different knowledge levels, but they happen to live in the same community, so it is again difficult to reach a consensus on the understanding of urban governance and the demand for public services. In addition, even if both knowledge levels and participation enthusiasm are high, the expressions and appeals of residents are affected by their own conditions. The views of residents that might improve social welfare may not eventually make it onto the government's policy agenda. Therefore, bottlenecks limiting the effects of resident engagement are difficult to avoid.

Chapter III Establishment of Mechanisms:
Analysis of Resident Mobilization Mechanisms

Urban innovation is seeing a greater focus on individuals in cities, and resident engagement has become an important part of urban governance. As Mr. You Jianhua pointed out, "in the first session of the Guangzhou Award, we saw a lot of rigid projects, focusing on urban planning, technology and other aspects. In the fourth session of the Guangzhou Award, we found that more and more projects put the people first, which coincides with the sustainable development goals of the United Nations and the focus of the New Urban Agenda, which is 'leave nobody behind.'" As important participants in urban renewal and construction, residents are also important wielders of urban power. How to give full play to residents' initiative and to engage them in urban innovation, realizing the sustainable urban pattern of "urban construction for the people, urban development by the people, and a better city through the people" has become an important issue in urban governance.

This report does not attempt to prescribe specific measures to mobilize resident engagement drawn from the numerous and diverse urban case studies. Urban development in different cities is at different stages, and can be met with different resources and development elements. Measures that are effective in some cities may not be effective in others, and may even waste resources or give rise to policies that are inapplicable. What can be learned from the various and complex cases is what kind of system and mechanisms of resident mobilization are effective. That is to ask the questions, what are the truly effective governance mechanisms from the perspective of methodology? What gets residents engaged in building a beautiful city together?

(I) The Essence of Urban Innovation

The discussion of urban mobilization mechanisms leads back to the discussion of what is the essence of a city. Currently, great changes are taking place in urban development models. Environmental factors (including urban scale, urban environment and infrastructure), economic factors (including economic strength, degree of internationalization,

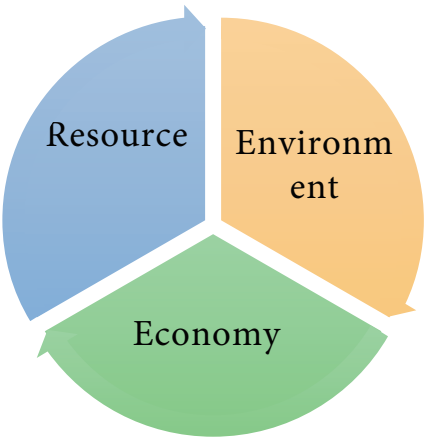


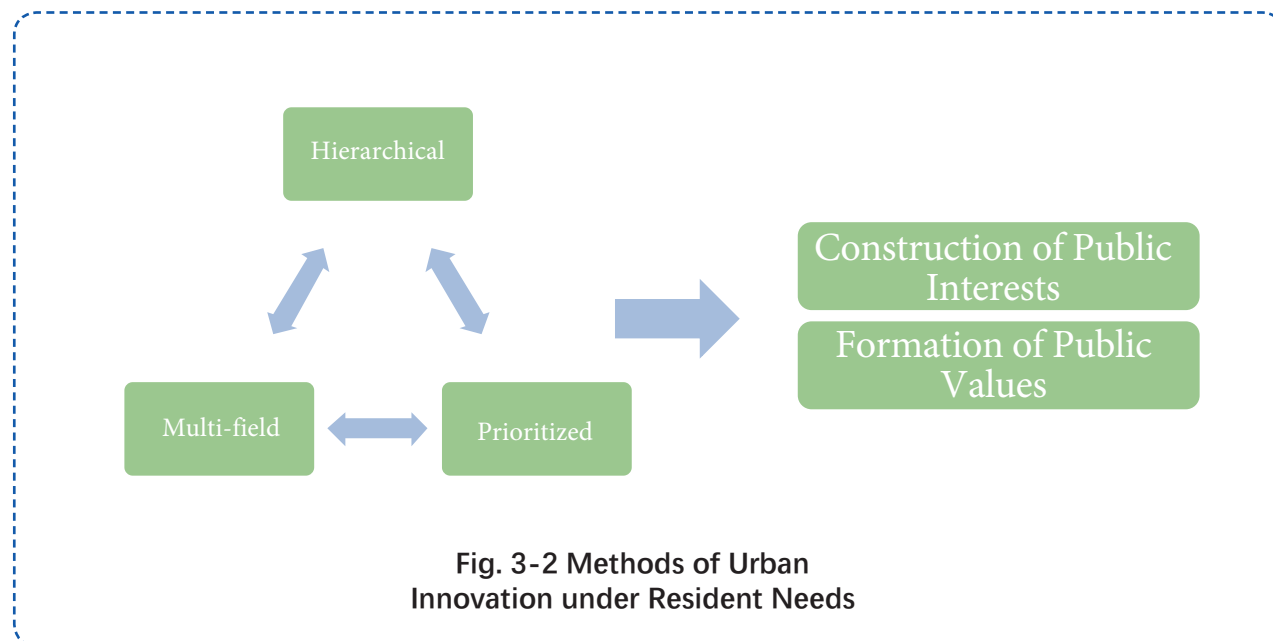
Fig. 3-1 Three Major Factors Determining Urban Competitiveness

industrial structure, innovation costs) and institutional factors (including degree of marketization, government services and management levels) have become the three major factors determining urban competitiveness (as shown in Fig. 3-1). The core of City 2.0 is the Smart City System, which covers governmental services, urban management, livelihood services and other fields. In the era of City 2.0, the roles and responsibilities of the city government are also changing dramatically, from being policy makers and executors to being supporters, cooperators and coordinators involved in urban construction. They are now responsible for organizing social forces and market forces to make the city better and encouraging all forces to participate in social governance. This is the key to improving urban competitiveness. The importance and application of resident rights has become an important resource for urban development.

Being "people-oriented" is at the heart of a city. Governing urban space with "urban thinking" must respect the laws of urban development. On the one hand, cities are complex and should be organized, built and governed according to people's needs, feelings, criteria and social relations, with the emphasis on neighborhood interaction and the sense of place. On the other hand, the city is the amalgamation of culture, learning and business functions. "Urban thinking" must pay attention to the spatial characteristics of the city, analyzing and judging spatial affairs quickly and efficiently, and then making adjustments and disposals. The core of applying "urban thinking" to urban governance is ensuring that the space is people-oriented. Therefore, urban innovation should be people-oriented to realize the integration of urban production, life and ecology.

(II) Principles of Urban Innovation to Meet Resident Needs

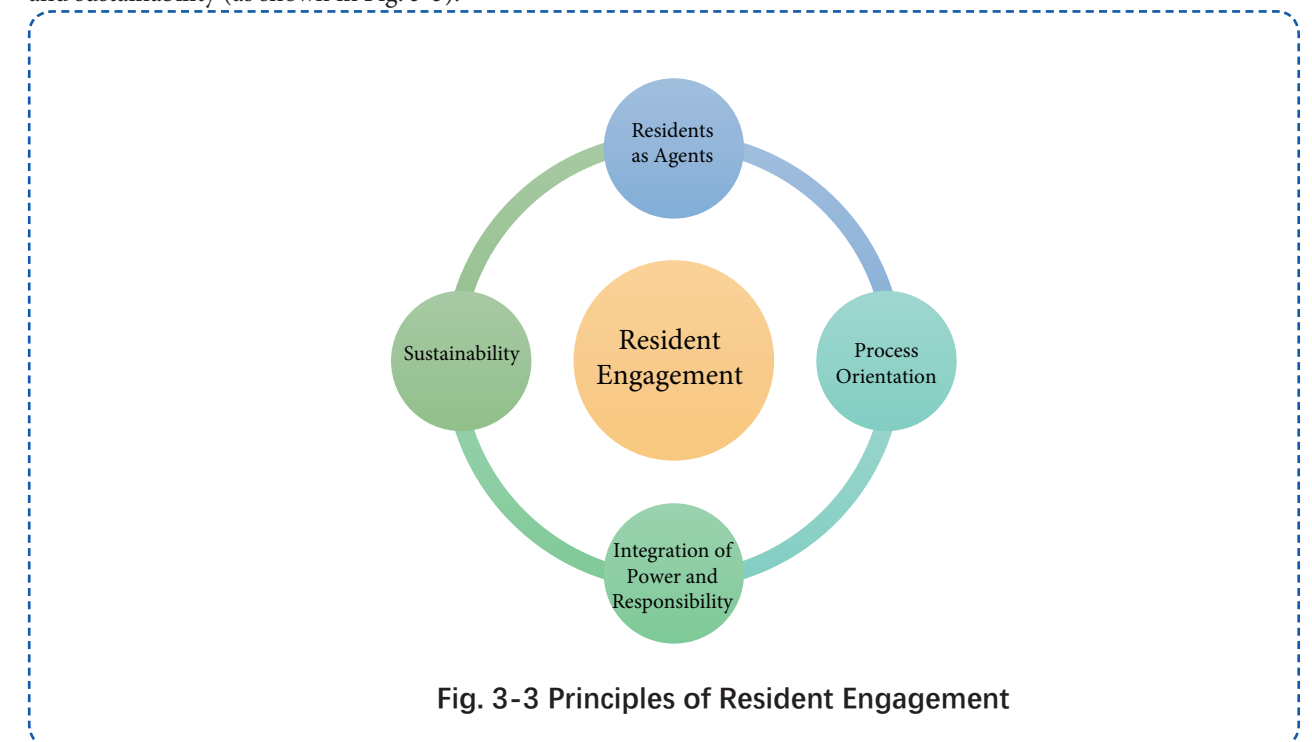
People-oriented urban thinking requires that urban innovation should respond to resident needs. First, resident needs are sorted by priority, which also implies that the government has a priority in the supply of public services; second, resident needs are sorted hierarchically, gradually increasing from material needs to spiritual needs; finally, resident needs can be separated into public and private needs. Governments need to change the pattern of "government pays for the public's needs" and instead lead the public to actively participate in community public affairs. The prioritized, hierarchical and multi-field needs of residents can be jointly promoted by building public interest and forming public values (As shown in Fig. 3-2).



At the core of the social mobilization mechanism is bringing residents together the pursuit of public interest. Public interest requires common responsibility. The best way to realize the public interest is not for a certain group to make a plan, but instead to seek comprehensive public engagement. Governments can gather different groups of people and special interest groups, and create a free and sincere environment for exchanges and dialogue, where participants can discuss the topics related to their own vital interests. In addition, governments also need to make public interest solutions fair and standardized through rules and regulations, so as to ensure the maximization of the public interest. That is to say, government needs to encourage its citizens to realize the public interest along with other members of society on the basis of forming a public interest solution. Public interest is not an aggregation of self-interest, but a product of dialogue based on common values.

However, social mobilization should be carried out from the perspective of values. How can we find a set of norms or principles of justice that can be accepted by people of different positions, classes and faiths in today's value-plural society? Rawls believed that it could only be achieved by putting oneself in the position of others and through rational negotiations, which is what he means by "public reason". Echoing Immanuel Kant, the theorists of consultative democracy emphasize the fundamental principle of political equality and stipulate that the individual in political life be regarded as an end rather than as a tool. To stimulate social vitality and realize social mobilization means guiding the people to bear the responsibility of the national cause, economic and social development affairs and their own affairs, and to establish the corresponding values.

Therefore, the prerequisite for resident engagement is the continuous lowering of the threshold for resident engagement, along with providing diversified channels for all residents to receive advice and join discussions. This should encompass the principles of residents as agents, process-orientation, integration of power and responsibility, and sustainability (as shown in Fig. 3-3).



— **Residents as agents.** Based on the idea that residents are not only the recipients of public services, but also participants and builders of public affairs; manage public affairs; establish and improve the long-term mechanism whereby the subject matter is discussed by the people, the policy is determined by the people, finances are managed by the people, responsibility is borne by the people, and the outcome is evaluated by the people; guarantee the rights of deliberation and decision-making for different groups during participation in public affairs. Administrative organizations and supportive professional social organizations, as joint facilitators, actively encourage residents to take the initiative in solving public issues and coordinating conflicts and disputes. The concept of residents as agents is the primary principle of urban innovation.

— **Process orientation.** Stakeholders can reach a consensus on urban public issues through orderly consultation, followed by effective joint action. The cultivation of public spirit and community awareness among residents runs through the whole process of urban innovation. Process orientation is the value principle of urban innovation.

— **Integration of power and responsibility.** Adhere to the dynamic mechanism and logic that "those who advocate shall receive benefits and responsibility"; distinguish the boundaries of power and responsibility of governance subjects according to the principle of integration of power and responsibility; clarify the rights and obligations of urban residents. Guide residents to take the initiative to create a better life through collective action in the field of public affairs. The integration of power and responsibility is the fundamental principle of urban innovation.

— **Sustainability.** Understand that external force promotes internal force and internal force and external force complement each other; promote self-organization to continuously serve local residents through the participation of professional social organizations; improve the capacity of urban innovation projects to obtain local resources for continuous operation; realize the sustainability of "people" and "money" in urban innovation. Sustainability is a key principle of urban innovation.

(III) Mechanisms of Resident Engagement in Urban Innovation

A modern city should be a human city. A human city should be peaceful, autonomous, harmonious, industrious, environmentally friendly, beneficial, cultural and integrated. Furthermore, it should be a city of character, where citizens and residents gather their wisdom, exchange their feelings and realize their ideals. It should also be a city that gets along well with its neighboring cities and towns in the pursuit of shared development. All in all, "a good city should be a place where one can live a whole life." By analyzing cases of urban innovation, this report summarizes the main mechanisms of resident engagement in urban innovation, including: urban innovation comes from the wisdom of residents; the urban community shapes the resident community; respect for differences to build urban humanism together; smart cities boost resident engagement (as shown in Fig. 3-4).

1 . Urban Innovation Comes from the Wisdom of Residents

Currently, there are two different models of urban innovation in the world: the European urban innovation model, which places greater emphasis on how residents participate in street life from the perspective of human beings, and uses public space to stimulate the interaction between residents and cities; the other is the North American urban innovation model, which is driven by technological innovation. This aims to leverage the most advanced big data internet technology to facilitate ease of travel and daily life of residents. Whichever mode a city chooses, it must have the following five characteristics: **active resident engagement; application of real-life scenarios; multi-party participation and cooperation; methods and paths; collaborative innovation methods.**

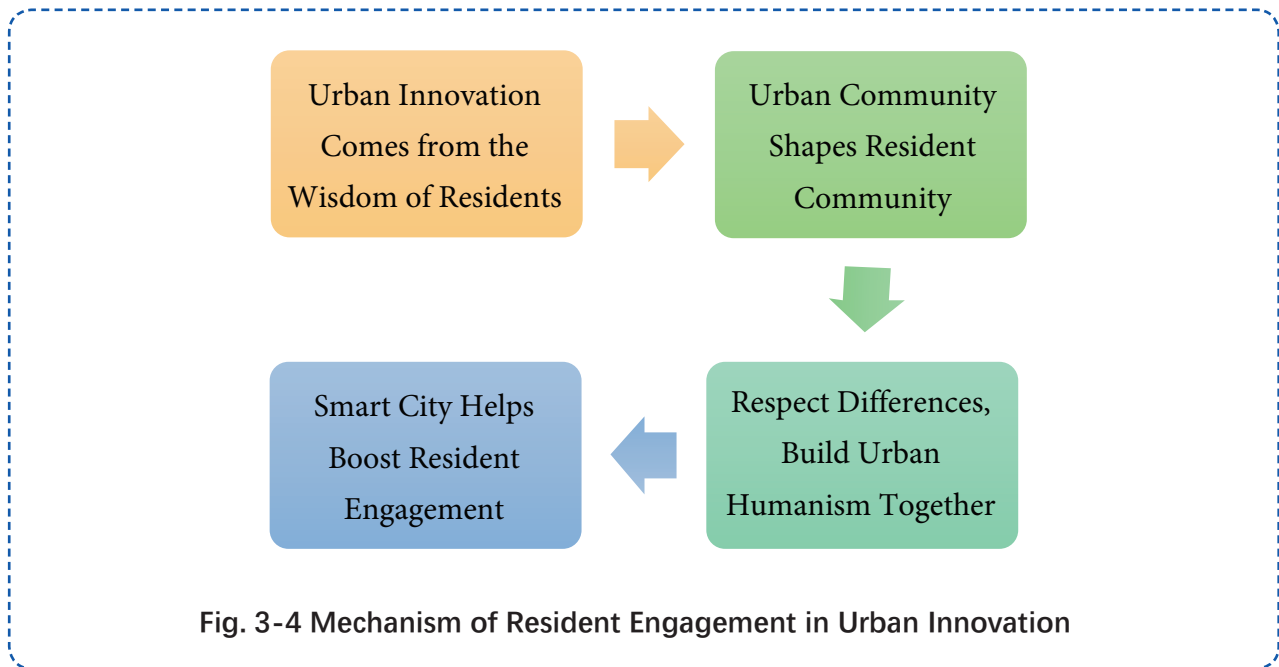


Fig. 3-4 Mechanism of Resident Engagement in Urban Innovation

In order to realize urban innovation, many urban decision makers opt to build industrial parks and grant preferential policies. However, while such a strategy may be effective for capital-intensive and labor-intensive industrial clusters, it is not enough to fully foster the innovation capacity of a city. The introduction of a big business does not necessarily mean that the innovation capacity of a city will be able to grow sustainably. The importance of "city" itself has been significantly reinforced in the Internet era. A highly inclusive city is most likely to attract creative people. Cities are a kind of integrated habitat serving human development. The essence of urban innovation is the innovation of urban people. Therefore, in the development of cities, we should bring forth new planning concepts and actions and create an innovative urban ecosystem that is people-oriented and based on the needs of "innovators".

Urban innovation springs from the innovations of urban people. "Getting residents engaged" means creating appropriate systems and mechanisms to provide the youth, women and other urban residents with channels to participate in discussing public urban topics, such as urban planning and urban renewal, and listening to the voices from different urban subjects on city-related topics. That is to say, we should start from the demands of residents, serve the development of these people, and finally work together to build an innovative, harmonious and beautiful city. The 2015 plan for New York City, One New York: The Plan for a Strong and Just City (OneNYC), is a good example. The people-oriented OneNYC stresses the close connection between the innovation capacity of a city and the development of "innovators". It emphasizes improving the overall innovation output of cities, focuses on cultivating and improving levels of knowledge, technology, wealth, capability and concepts among urban "innovators" and their future generations, as well as attaching importance to the equity and sharing of welfare benefits in employment, education, healthcare, housing and social services. In addition, OneNYC places greater

emphasis on the protection of the innovation and development rights of the "innovators". At the same time, this blueprint for New York City also stresses the procedural guarantee of individuals' participation rights while drawing up visions of the future. New York City's governmental departments and planning agencies were not the only decision-maker involved in the process of drawing up the; the private sector, non-governmental organizations, community groups, residents and other forces in New York City all contributed greatly to the development of OneNYC. The case of New York City tells us that the essence of urban innovation is to promote the rational use and exertion of the innovative capacity of "innovators" to truly realize the harmonious development of urban people, industries and cities.

The "Youth Lead the Change: Youth Participatory Budgeting, Boston (USA)" project, which won the Third Guangzhou Award, sets out a new idea about how to empower young people and pool their talents. The project empowers young people to participate in decision-making and even to be directly involved in budgeting (with allocated resources of USD 1 million per year), participatory policymaking and citywide collaborations. Its objective is to increase youth engagement in civic affairs and thereby cultivate lifelong commitment. For this purpose, the Boston government has established an extensive partnership network with youth service agencies, colleges and schools. Young people are taking an active part in bringing their ideas together, refining these ideas into proposals, and voting on which projects to fund. The "Youth Lead the Change" project, as a participatory budgeting process, includes the allocation of some city budget and the incorporation of the matters that young people are most concerned about into strategic planning. That is to say, the Boston government is giving urban youth access to the decision-making process in urban public affairs by opening up new channels and providing project funding, so as to improve their sense of participation, sense of satisfaction and sense of belonging to the city. The project is considered exemplary in its commitment to increasing the youth voice in the local government's decision making.

Another case study features the "Women's Participation in Local Affairs" project in Lüleburgaz (Turkey). This project established a team to provide municipal transportation services and required that at least half of the team members were to be women. As a team of designers and users of public transport, they plan and implement transportation policies targeted at meeting the demands of users, including women. This represents a significant change when compared to the previous practice of male-centered public management, which condoned gender discrimination within the public sector. Women have since taken on key management positions, which has helped empower women to have a voice in public transportation use and reflect the fact that women are the principal users of public transportation and spend more money on public transport than any other segment of society. As a structural change in policy-making, the project is of great significance in how public resources are allocated in more gender-sensitive and egalitarian terms. The "Women's Participation in Local Affairs" project provides a reference for other cities to value women's rights and improve the channels for women to participate in public affairs.

Whether it is OneNYC, the "Youth Lead the Change: Youth Participatory Budgeting, Boston (USA)" project or the "Women's Participation in Local Affairs, Lüleburgaz (Turkey)" project, they all stress giving full play to the creativity and enthusiasm of residents, especially the social groups that are traditionally in a weak position in the process of policy formulation. We need to provide new policy support, financial support and implementation support with innovative and diversified participation and cooperation channels, so as to mobilize residents' enthusiasm for engagement based on real-life scenarios, making them decision-makers and practitioners of urban planning and urban governance.

● 2 . Urban Community Shapes Resident Community

A well-organized urban governance system must be an interactive system for government departments, residents and other social forces to jointly participate in urban governance by means of consultation, dialogue and compromise. Resident participation in urban governance is an inevitable trend in urban governance reform, and represents a new goal for urban development and a new model of urban governance. Resident participation in urban governance does not

simply mean people's expression of demands and their participation as independent individuals. The central expression of "a city for the people" must be "our city". High-quality urban governance requires a conceptual transition from "my city" to "our city". The future development trend in public engagement should shift from individual engagement to group engagement, and from passive engagement to active engagement. In order to become a real social community, or an organic community, the resident community needs to have three components: **common interests (endogenous mechanism and strength), common networks (common platforms and channels for bringing people together) and common domains (fields and venues for practical common use)**. In this way, we can ensure the central status of participating subjects and the formation of common a will.

American urban planning theorist Lewis Mumford believed that cities are the broadest venue for conducting meaningful conversations. The essence of an urban community is **cooperative governance**, which brings together many subjects, including government, to negotiate the management of public affairs and reach consensus through consultation. Public policy can thereby be formulated and implemented, solving public problems and providing public services, etc. As far as cities are concerned, cooperative governance means that urban residents share common themes, and these guide people's common interests, so as to form common networks and common domains. Common themes include city history, city image, and city memory, as well as other things that can resonate with urban residents.

The Master Plan Project for the Historical Downtown in Asuncion, Paraguay, a short-listed city case study at the third Guangzhou Award, exemplifies how to attract the attention of urban residents with urban renewal projects and how to engage them in public affairs. With a population of half a million people, Asuncion in Paraguay is a low-rise city that spreads out from its historical downtown. Many residents have moved out of the historical downtown due to the poor quality of the buildings. The city launched a project to bring residents back into the historic center by renovating the urban fabric, providing necessary facilities, putting the existing vacant historic buildings in downtown back into operation and reinforcing reconstruction efforts. Public space has also been improved, with meeting places developed to promote new urban experiences. The project reconnects the city to the river with a series of parks and a nature reserve and flood management approaches and generates a new gateway between the city and the river. An informal settlement in the old center will also benefit from the renewal process. The project has shown how towns with under-populated historic cores can reverse the decay by increasing density, providing public space and by involving and engaging residents.

This approach is clearly not just about transformation, but also renewal. The balance of new buildings with public space, including the creation of a "coastal active green space" and other environmental projects, will lead to increased tourism for the city. Many other towns and cities with historic cores that need renewal can learn from this example of how to involve their residents in forging a new vision for the city. As another example, we have the Eskisehir City Memory Museum Project. Eskisehir created a City Memory Museum that builds a cultural bridge from the past to the present. It combines the best of museology with modern technology. The project focuses on enabling residents to establish and foster ties with their culture through digital recordings of oral histories captured through interviews with scholars and experts about Eskisehir's history and cultural heritage. The museum features art, ethnic culture, education, sports, economics, genetic heritage and personal experiences. The museum

incorporates and curates visitors' participation through competitions, library collections and child-oriented activities, and it intends to continue as a living and continuously self-renewing museum. With the increased engagement of residents and the changes in urban topics, city memory and city image are constantly changing. So far, more than half of the visitors to the museum have been Eskisehir residents, demonstrating the extent of local interest.

Both the Master Plan Project for the Historical Downtown in Asuncion, Paraguay and the Eskisehir City Memory Museum Project show that urban governance needs to transform the city from physical space to social space in order to realize the transition from city building to urban governance. Only by integrating public space, public domain and public governance can we return to the real origin of a city and the complete city life, and only then can we truly understand the real meaning of urban governance.

● 3 . Respect Differences, Build Urban Humanism Together

Maintaining the long-term prosperity of cities ultimately lies in building a spirit of urban humanism. **To form a modern public cultural system for cities, we need to deeply understand the dual principles of city differentiation and public engagement.** On the one hand, we should consider cities' real differences in spatial and temporal dimensions, to shape different city brands. At the same time, we must continue to pursue people-oriented urban development. We should respect, value and care for people while conducting urban planning, construction and management, and manifest the people-oriented principle in all aspects.

Urban humanism has three connotations: First, it helps set the direction of a city; the city will lose its way without the guidance of humanism. Second, urban humanism helps enhance the internal dynamism of a city; without humanism, the city will stagnate. Third, urban humanism helps foster social norms; without humanism, cities will develop abnormally. Therefore, we must adhere to the people-oriented concept and regard the existence and value of human beings as the core idea of urban development. We should leverage cultural creativity to drive the development of the arts and humanities, enabling them to permeate into people's creative spirit and become the centripetal force, influence and creativity of cities. We should also replace customary law and unwritten law with the written law and thoroughly establish a flexible legal system.

Urban humanism is not only the historical tradition of urban characteristics naturally forming during long-term urban development, but also the soul of the urban spirit. More importantly, it originates from how we regard, value, and empower urban subjects, especially the living social groups. It presents a rich and colorful urban humanistic spirit that is revealed in the process of seeking common ground while respecting differences. The "La Paz Zebras: Citizen Culture Project" in Bolivia is training the disadvantaged youth to become "civic educators", and pays them a minimum wage for playing the roles of zebras, in reference to zebra crossings. The aim is to change the behavior of drivers and pedestrians and to encourage both groups to obey traffic rules. The project is changing the behavior of both groups, resulting in less traffic congestion and accidents, and providing the disadvantaged youth with a unique opportunity to become active and responsible citizens. The transformational nature of this project lies in its friendly and comic dimension, as well as the innovative way in which it engages the disadvantaged youth in civic life. Young people are given a meaningful role in society, which gives them autonomy and provides them with respect and dignity.

On July 24, 2015, UNESCO declared the "La Paz Zebras: Citizen Culture Project" in Bolivia a "cultural asset" of the world for its contribution to the development of a stronger citizen culture in La Paz. It has since been replicated in many other cities across Bolivia and Latin America and has become another representative practice of urban culture. Another project, "Education towards the Co-existence of Israeli Jews and Arabs, Menashe (Israel)" is changing the situation in the Wadi area of Menashe where the Jewish and Arab communities were totally segregated and did not socialize with each. This project takes two communities that used to be independent from each other and even had disputes and conflicts, and brings them together with win-win cooperation through common development goals. In an effort to increase these communities' understanding of each other, the project brings together nine pairs of school classes, one each from the Jewish and Arab communities. Based on six months of intensive joint activities getting to know about each other, the students in these classes develop a mutual trust relationship, share a common area and work collectively on different projects. This project has brought together 600 students, dozens of teachers and over a thousand parents. By bringing together residents with different beliefs and backgrounds based on shared educational goals, this innovative approach is helping to address problems of alienation, distrust and hatred in the city's communities.

When we define a city as "ours", not "mine", we mean the city is a **public space**, the common vision of different groups with different demands. The cultivation of urban humanism is not merely embodied in promoting quality-oriented urban innovation. We also need to create a distinctive urban spirit in combination with urban historical heritage, regional culture and the requirements of the times, highlighting urban characteristics and strengthening urban styles in urban planning, spatial organization and layout of facilities. More importantly, we should try to establish a common cultural consciousness in cities, strengthen the acceptance of cities in society, as well as provide people of different nationalities, cultures and beliefs with the habitat to coexist harmoniously. We should ensure equality of opportunities and rights in different regions, between both genders and among different groups, promote mutual respect, mutual learning and harmonious coexistence. At the same time, we should seek diversified development for urban residents, and maintain the lasting vigor and vitality of cities. The "La Paz Zebras: Citizen Culture Project" of Bolivia and the Project of "Education towards Co-existence of Israeli Jews and Arabs, Menashe (Israel)" tell us that facing the multi-level and differentiated needs of urban residents, we must improve dialogue mechanisms, build dialogue platforms, create new channels for consultation, respect the demands of different groups, and jointly build, manage and share urban humanism through democratic consultation.

● 4 . Smart City Help Boost Resident Engagement

The application of new sensory and analytic technology to improve the running of cities always receives a great deal of attention, and cities adopting this approach are often referred to as "smart cities". Technology can help us to know when hurricanes will form and how much impact they will have. **But no matter how clever or even ubiquitous technological development is, it cannot exist independently of the political and cultural systems.** Based on different cultures and different stages of economic growth, each city will have its own unique development phase and urban form. The commonality of cities lies in the need to find a balance between "top-down" official authority and "bottom-up" community exchanges. Smart cities will collect and process data with sensors. To a certain extent, data collection can promote "bottom-up" information transmission, and public engagement can affect "top-down" decision-making. Smart cities and democratic governance can be promoted at the same time,

obtaining a faster balance between "bottom-up" and "top-down" processes, encouraging more people's engagement, and enabling cities and their residents to cope with changes quickly. In addition, smart technology can break down information barriers, improve the efficiency and accuracy of municipal government decision-making, and expand public engagement.

The key to smart cities lies in unlocking resident engagement channels through technological innovation, sorting public opinion through accurate big data analysis and non-face-to-face communication, challenging government policy and realizing rapid and effective governance feedback. For example, the Rio Operations Center Project is using a smart system to integrate data and monitor utilities. In order to avoid the damage caused by repeated Atlantic storm attacks, Rio de Janeiro decided to create a center that operates 24 hours a day, staffed by officials from 30 city departments. This center has become a global model showing the benefits that can be derived from collaboration, alignment and data sharing across cities. Since its facility went online employing some of the latest information communication technology and weather forecasting systems, there have been no deaths caused by landslides. This model has had many other benefits for the day-to-day management of the city. Traffic emergency response time has been reduced significantly, with residents alerted about traffic congestion and accidents and redirected to the best routes. Data gathered by the center also enables the identification of areas with higher dengue fever infection rates. Building smart cities also helps achieve more rapid and accurate emergency response, avoiding large-scale casualties and property losses caused by emergencies, and building a stable and safe urban environment for urban residents.

Another example is the Smart City Bristol Project. Bristol's approach to becoming a smart city, Smart City Bristol, is based on people rather than technology. The program has two primary aims: First, to contribute to the reduction of Bristol's CO2 emissions by 40% by 2020 from a 2005 baseline; second, to ensure sustainability is placed at the heart of community development and becomes an integral way of improving individuals' lives. The operation of this strategic program is guided by the Climate Change and Energy Security Framework, which provides climate change solutions for various cities, setting out 19 broad strategic activities. The program also prompted Bristol to sign "the Covenant of Mayors", which is the mainstream European movement committing to reducing energy use and emissions. The city was therefore awarded European Green Capital 2015 status.

The most powerful function of smart city technology is to allow ordinary citizens to have an influence on their city. They may have never thought that they could become participants and stakeholders, but now they can participate in the discussion of political and economic issues and make decisions that help to create a better city. Urban residents in the smart city context have become providers, participants and decision-makers for urban public issues. As Jane Jacobs once said: "Cities have the capacity to provide something for everybody, only because, and only when, they are created by everybody." In fact, a better city can only become reality when urbanization becomes more transparent and open to participation.

Chapter IV Urban Innovation: Transforming Guangzhou into A Historical City with New Vitality

Guangzhou is an old city with over 2,000 years of history. Being an old city does not have to mean rigidity and conservatism; in fact, old cities often enjoy better urban development conditions as they are characterized by richer cultural capital and more solid development foundations. In October 2018, General Secretary Xi Jinping gave an important speech during his visit to Guangdong: Guangzhou should become a historical city with new vitality and break new ground in integrated urban functions, comprehensive strength of urban culture, the modern service industry and modernized international business environment. In general, Guangzhou faces three major missions of the times in terms of urban development: At the global level, it is a worldwide era of governance over complexity and Guangzhou needs to establish itself as an international metropolis featuring socialism with Chinese characteristics; at the national level, Guangzhou is a national central city piloting the new-type of urbanization and reform, and needs to solve the problems of mega-city governance; at the regional level, Guangzhou is one of the central cities in the Guangdong-Hong Kong-Macau Greater Bay Area, and needs to realize its function as a pillar of regional growth and a model demonstration area.

Guangzhou is now carefully studying General Secretary Xi Jinping's important speech during his visit to Guangdong, following the concept that a city should be built by the people and for the people, actively exploring ways to modernize the urban governance system and governance capacity. It is striving to transform itself into an international metropolis that will achieve its aim of being a beautiful, vigorous and livable global city. New vitality does not mean a complete break with tradition; rather Guangzhou is relying on the establishment of a sound urban governance system to breathe new vitality into the city. The details of this are shown in Fig. 4-1: first, developing strategies to upgrade the city with Party leadership at the core; second, adapting to the process of urbanization and strengthening urban governance thinking; third, being people-centered and opening the city's public decision-making process to the public; fourth, promoting specialized urban governance and building a learning-oriented government; finally, strengthening overall governance and promoting building, governing and sharing together.



Fig. 4-1 Idea of Transforming Guangzhou into A Historical City with New Vitality

(I) Developing Strategies to Upgrade the City with Party Leadership at the Core

There is a Party group at every organizational level, and Party leadership plays a very important role in urban governance. To highlight Party leadership at the core means it is necessary to fundamentally solve the problem of what it is to lead and how to lead. To make people's yearning for a better life a reality, the city must confront the weaknesses and difficulties of its development when carrying out modern urban governance. It should start from the most sensitive grass-roots Party organization in society and reshape the ability and quality of Party organizations to respond to and solve urban governance problems.

Guangzhou needs to do more to shoulder its share of responsibility for the three major missions of being a global city, a national central city and a central city of the Guangdong-Hong Kong-Macau Greater Bay Area. It must take a broad and long-term view, with its position clearly and precisely defined to bravely face the new challenge of reform. With Party leadership at its core, it should promote urban governance led by a responsible Party organization in order to realize great achievements, enhancing the vitality of Guangzhou with strategic planning, clear goals and coordination. At the same time, Guangzhou needs to establish and improve its Party leadership governance mechanism, with grass-roots Party organizations at the core, and let grass-roots party organizations become the fundamental basic starting point for the urban development governance system. In this way, it can work to create an urban governance system that gets people engaged in coordinated development, with Party leadership at the core and mainly driven by government. This will further consolidate the mass foundation and strengthen grass-roots Party organizations, allowing Guangzhou to transform itself into a beautiful, vigorous and livable global city.

In short, Party leadership must run through the whole process of urban innovation and urban governance. Guangzhou should give full play to the vanguard and exemplary role of Party members and the role of Party organizations as battle fortresses so that they can become "leaders" in urban innovation and the ability of urban Party organizations to lead reform, innovation and development in modern urban innovation can be effectively improved.

(II) Adapting to the Process of Urbanization and Strengthening Urban Governance Thinking

General Secretary Xi Jinping pointed out that to manage a city well, we must first understand, respect and conform to the laws of urban development. It is necessary to follow these laws during the process of urban development and to achieve urbanization. City leaders must understand and adapt themselves to the process of urbanization and strengthen the thinking of urban governance in the process of urban innovation. On the one hand, cities are the basic units for the growth and governance of a country. They should not only implement global and national governance but also secure the well-being of the general public. On the other hand, a city itself is complex. In terms of function, it integrates cultural, learning and commercial functions. In terms of space, as well as providing the basic functions, it also has to achieve harmony between people and space. An "Urban Work Thinking" requires city leaders to focus on the spatial characteristics of the city. Applying "Urban Work Thinking" to govern urban space means ensuring the implementation of the people-oriented concept.

This means that Guangzhou should adapt itself to meeting the needs of urbanization, respect the laws of urban development, and adhere to the concept of people-oriented urban space governance. As Guangzhou is one of the central cities of the Guangdong-Hong Kong-Macau Greater Bay Area, Guangzhou's leaders should realize that Guangzhou carries not only an economic burden but also a rich social significance in urban development. In terms of economic significance, Guangzhou should focus on city-industry integration and resource integration, accelerate the breaking down of administrative barriers that restrict the optimization of spatial organization and the gathering of advanced factors, provide a sound government affairs and business environment for the realization of the city's economic functions, promote the agglomeration and flow of industries, population and resources to key advantageous regions, and facilitate the formation of a regional economic layout with complementary advantages and high-quality development. In terms of its social significance, Guangzhou should properly handle the relationship between protection and development,

preserve the cultural memory of the city, and let people remember history and their hometown. Guangzhou has been a trade center for thousands of years. As a famous historical and cultural city facing accelerated development of commercial functions, it should also deal with the relationship between culture and commerce and improve its quality. In the process of urban renewal and urban transformation, Guangzhou should pay greater attention to the cultivation of cultural and creative industries, promote the restoration of the city, improve its spatial qualities and create a livable environment.

Guangzhou has already entered the era of stock properties. During this period, Guangzhou should follow the laws of urban development, shoulder responsibilities assigned by the nation, implement the urban development strategy and create a beautiful living environment.

(III) Being People-centered and Opening the City's Public Decision-making Process to the Public

The implementation of people-centered urban governance by the people and for the people has become a global area of concern. Urban renewal and urban planning cannot be achieved without the support of the people. Detailed and precise urban governance with targeted goals also requires the support of every resident. Guangzhou's urbanization process has reached the stage of requiring precise governance. Public opinion should be fully solicited during the public decision-making process and Guangzhou should listen to public opinion and think for the people. Whether it is in urban planning or in minor renovation of urban blocks, the city government must listen respectfully to the needs of the people when making public decisions.

To this end, Guangzhou should guide the city's transformation with more inclusive and targeted city strategies and planning, understand the different needs of the people, innovate in the ways in which it carries out urban work, truly incorporate the people-centered concept into the public decision-making process through systems, institutions and mechanisms, and implement the will of the people into the specific work of urban governance through technology and action. Population is the most active and critical factor in the city and great attention must be paid to the quantity and quality of the population in urban governance. As to the quantity of population, the city government needs to provide adequate public services for the whole populace. As to the quality of the population, the city government needs to formulate reasonable talent policies, and highlight talent internationalization and an industrial structure that matches human development. On the other hand, making the public decision-making process transparent requires the government to open up the process and listen to public opinion. In the process of policy formulation and implementation, it should set up special channels for residents to offer advice and suggestions, so as to achieve coordinated governance with resident engagement and ensure that public opinion is better reflected in urban governance.

To make people's desire for a better life a reality, the city government should integrate the concept of enabling people to live a more comfortable life into the core of urban planning and construction and embody it in every detail of urban governance. Guangzhou should open the city's public decision-making process to the public, listen to public opinion in decision-making, and reflect public opinion in policy formulation so that people can become an important force in city construction, innovation and upgrading.

(IV) Promoting Specialized Urban Governance and Building a Learning-oriented Government

Cities should be humanistic. Urban governance coupled with humanistic care requires the government to improve its capacity for urban governance, strengthen the construction of a learning-oriented government, and further professionalize urban governance. Urban governance constitutes an important part of the modernization of the state governance system and governance capacity. A first-tier city requires first-class governance and should showcase specialization, refinement and intellectualization.

The report of the 19th National Congress of the Communist Party of China stressed the need to improve socialization, legalization, intellectualization, and specialization of social governance. As a first-tier city in China, Guangzhou should take the lead in realizing specialization for first-class governance. Specialization in urban

governance requires the formation of a learning-oriented government. Specifically, the construction of a learning-oriented government includes two aspects: first, Guangzhou needs to establish learning-oriented governance across its government organizations, especially across the urban governance and urban planning departments, and needs to invite experts in urban governance and urban planning to serve as the main decision makers; in addition, Guangzhou also needs to learn first-class urban governance experience from international and domestic cities to improve its expertise in urban governance. Second, Guangzhou also needs to improve the level of urban governance specialization in its external environment and establish an expert think tank for urban innovation, including experts and scholars in the fields of urban governance systems, urban planners and block designers. This will allow collaborative discussions and brainstorming between experts in various fields, drawing on their collective wisdom to improve the professional level of urban governance and urban innovation, and build a highly specialized urban governance team.

In short, the specialization of urban governance requires the city government to strengthen its own governance capacity, whilst at the same time establishing a think tank consisting of experts and scholars in the field of urban innovation.

(V) Strengthening Overall Governance and Promoting Building, Governing and Sharing Together

A city is an integrated system. It is not only an integrated ecosystem, but also an integrated functional coordination system. Dysfunction appearing in any part will affect the whole, and can even lead to overall functional breakdown. For the city government, overall governance and building, governing and sharing together constitute the two wings of urban governance, and are complementary to each other. The top-level governance of the city requires building, governing and sharing together, while at the same time, urban building, governing and sharing together helps to promote overall governance.

Guangzhou must emphasize the integrity of its urban governance and realize the overall governance of urban space and urban planning. In terms of the governance system, the city government first needs to achieve integration and governance coordination across departments. Specifically, when promoting the implementation of important policies and large projects, the city government needs to set up a special urban governance leading group and hold special work coordination and promotion meetings. When major urban issues are pushed forward, it is especially important for all departments of the city government be connected so as to integrate resources and mobilize manpower, material resources and financial resources. The division of work and cooperation between departments can effectively contribute to overall governance.

General Secretary Xi Jinping explicitly stated that Guangdong should work hard and strive to be "a forerunner of the country in four aspects", including taking the lead in building a social governance pattern featuring building, governing and sharing together. For Guangzhou, it is necessary to form a government-centered and multi-subject coordination mechanism to meet public needs and build connections among the people, thus maintaining social order and promoting social integration. Building, governing and sharing together refers to the pluralism of governance subjects, the diversity of governance methods and the sharing of governance outcomes (as shown in Fig. 4-2). The pluralism of governance subjects means that the subjects participating in urban governance include not only the government, but also market subjects, social organizations and resident groups. The diversity of governance methods refers to the variety of methods and forms encompassing both new technology and traditional methods of governance. Sharing of governance outcomes means that urban governance outcomes are shared by residents to enhance their sense of gain and feeling of satisfaction.

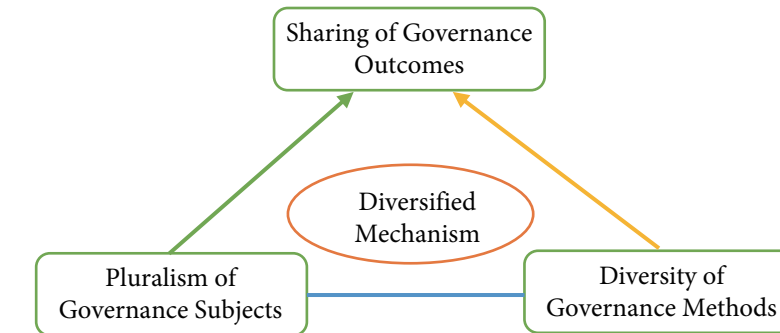


Fig. 4-2 Connotation of Building, Governing and Sharing Together

Chapter V Outlook: Future Expectations for the Guangzhou Award

The Outlook part consists of a summary of the previous four sessions of the Guangzhou Award and three sessions of the Workshop, and also includes prospects for the future. It elaborates on two major themes: first, it summarizes the Guangzhou Award from the number and distribution of case studies and provides an outlook for the Guangzhou Award; second, it summarizes the participants, teaching forms and discussion topics adopted during the Workshop and considers the discussion topics and other aspects of the Workshop in the future.

The Guangzhou Award has been held over four consecutive sessions since 2012. A total of 201 case studies were collected in 2012, 206 case studies in 2014, 301 case studies in 2016 and 273 case studies in 2018. As of 2018, the Guangzhou Award has included nearly 1,000 urban innovation case studies from around the world. In terms of global participation, the number of global urban innovation case studies has increased significantly over the years. In terms of the number of case studies collected, the popularity of the Guangzhou Award is increasing continuously, as is urban innovation worldwide. In terms of the regional distribution of the cities taking part in the Guangzhou Award, the number of cities in Asia, Europe and North America has increased significantly, but the number of cities from Oceania is still less than five¹. This shows that uneven regional distribution in urban innovation projects still exists, even though the number of case studies collected by the Guangzhou Award has been increasing. The organizers of the Guangzhou Award still need to consider how to encourage the cities running for the award to be distributed in a more balanced way and attract more first-class urban innovation practices from all over the world, especially from developed countries.

The Workshop for Thought Leaders is one of the most important activities within the framework of the Guangzhou Award. In terms of participation in the three sessions of the Workshop for Thought Leaders, the number of participants is witnessing a rising trend. In addition, the Workshop is attracting more and more distinguished guests. The first Workshop was attended by 22 mayors, deputy mayors and officials from local governments and international agencies from 14 cities in 12 countries, including Bristol in Britain, Lodz in Poland, Bamako in Mali, Hyderabad in India, Colombo in Sri Lanka, Sao Paulo in Brazil and other cities. The second Workshop was attended by a total of 20 representatives from 11 cities in nine countries and regions, including Brussels, La Paz, Lublin, Tangerang, Surakarta and other cities. The third Workshop was attended by more than 40 guests from 25 cities in 19 countries and relevant international organizations, including the Secretaries-General of Metropolis and United Cities and Local Governments Asia-Pacific (UCLG ASPAC) and five representatives with an official title of deputy mayor or above.

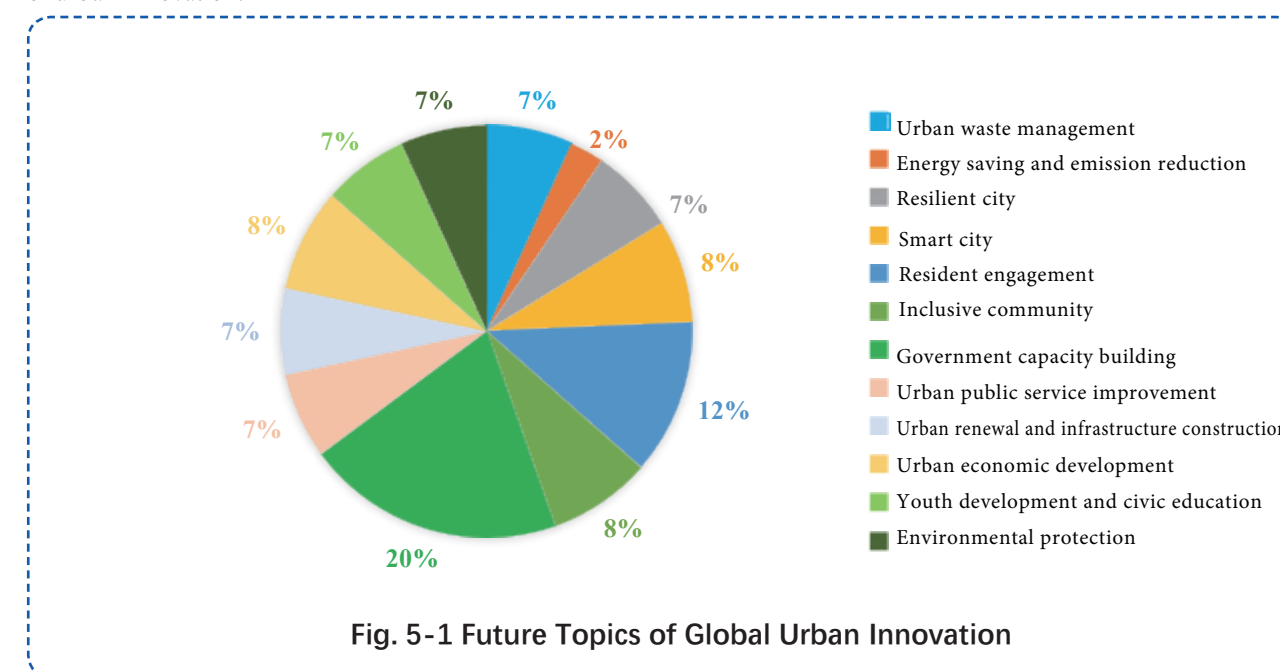
In terms of the Workshop format, the first three sessions all adopted keynote speeches, case sharing, round-table discussions, expert dialogues, site visits and cultural experiences, as well as the innovative adoption of live teaching to promote interactive communication. Responses from the questionnaires show that most participants in the Workshop

¹ Refer to *Cooperative Governance: Global Urban Innovation Practice and Enlightenment*.

preferred case sharing, expert dialogues and site visits. Case sharing promotes mutual learning and experience in innovation between cities. Expert dialogues provide theoretical guidance for leaders and managers in urban innovation. Site visits create opportunities for leaders and managers in urban innovation to experience urban innovation in Guangzhou first hand. In the future, the Workshop can give greater emphasis to case sharing, expert dialogues and site visits.

The topics of discussion over the first three sessions of the Workshop varied. The first session in 2015 was themed "Changing Cities and Urban Innovation Leadership" with the aim of "Focusing on Urban Topics to Promote Innovation Dialogue; Sharing Global Knowledge for Deepening China's Practice", during which a series of dialogues and discussions among urban managers were launched. The second session in 2017 was themed "Future-oriented Urban Transportation Innovation" and organized brainstorming between urban managers. Starting from transportation, it discussed issues ranging over urban innovation governance, guided joint participation in dialogues and shared experience in urban transportation innovation. The third session in 2019, themed "Urban Renewal and Urban Vitality", covered expert dialogues and urban manager dialogues on the coordinated governance of metropolitan areas and the development of the Greater Bay Area, the new vitality of old cities, new technology and industries and urban renewal. From the first session to the third session, the themes have been constantly responding to the hot issues in urban innovation. The Workshop has become an important platform for considering and discussing urban governance problems.

In the questionnaire from the third Workshop, city leaders and managers shared their discussion topics of greatest concern for the future, as shown in Fig. 5-1. Although the discussion topics of concern are widely distributed, there is a concerted focus on government capacity building, which accounts for as much as 20% of the total. The results of the survey indicate the themes for the fourth Workshop for Thought Leaders and show that government capacity building will become a hot topic in the future. If the engagement of various subjects in a city determines whether faster progress can be made in urban innovation, then the capacity of a government determines whether greater progress can be made in urban innovation. In the future, government capacity building will be an inexhaustible force driving the sustainable development of urban innovation.



Conclusion

A truly powerful country will see citizens' life experience reflected in the design of the state system. A truly prosperous city will see residents' life experience being reflected in the design of the urban system. Urban innovation is a huge systematic project that cannot be fully implemented without the active engagement of all residents. City managers should handle the relationship between the interests of individuals and the public interest scientifically, organically combine government management with resident engagement, and give full play to the positive role of non-profit organizations, non-governmental organizations and all residents on the basis of government leadership, so as to make them an important force in urban management.

As Tocqueville said, a sense of responsibility to create happiness arises when the people actively participate in politics. One should not just sit back and leave others to find a way to bring about happiness but should strive for and pursue it. In other words, the vitality of a city comes into being when all residents offer advice and suggestions with continuous debate on how to build a better city. The people stand at the heart of urban innovation. Only by putting people first and highlighting resident engagement can we promote the sustainability of global urban innovation and have a better urban life.

Nicholas You, Advisor to the Guangzhou Award, said, "The significance of the Guangzhou Award lies in allowing cities to exchange experiences and learn from each other. It is not so much an 'award' as a platform for exchanges. The Guangzhou Award was set up by Guangzhou, and I also hope Guangzhou can tell its own brilliant story through this platform". This has set even greater expectations and higher requirements for the Guangzhou Award. The Award is a platform for sharing experience and learning about urban innovation. To continue to develop and improve the quality of the Guangzhou Award, the following issues need to be considered:

First, in terms of the replicability of innovation experience, can the pilot innovation experiences in urban governance be popularized through the Guangzhou Award, a platform for sharing, exchanging and learning about urban innovation experience? How can innovation projects and experience in urban governance be promoted? If an urban innovation project can only work locally and other cities cannot learn from this experience or cannot even promote similar innovation projects, can it really be regarded as an innovation?

Second, in terms of the sustainable development of innovation, are the urban innovation projects in the Guangzhou Award phased or long-term ones, and is urban innovation sustainable? The sustainable development of innovation is a major prerequisite for the city having lasting vitality and innovation. Making urban innovation more sustainable has become a problem that must be considered for the future development of the Guangzhou International Award for Urban Innovation.

Third, in terms of the risks brought about by technology governance, against the background of the rapid development of new technology such as the new Internet, cloud computing and cloud platforms supporting the construction of smart cities, will the use of technology for urban innovation contribute to smarter urban governance or bring more risks to urban governance? There are certain potential risks to urban innovation presented by technology governance. Avoiding the potential risks caused by technology governance in future smart cities has become a major challenge faced by future urban innovation leaders and managers.

Finally, as the founder and organizer of the Guangzhou Award, Guangzhou needs to learn from the successful experience of more than 1,000 case studies included in the Guangzhou Award to improve its own urban governance, thus pushing it to new heights. Urban competition is getting fiercer across China and even across the world. Guangzhou needs to both consolidate its own governance experience and learn from other cities' successful experiences to come out on top in future urban competition.