Third Meeting of the OECD LEED Forum on Partnerships and Local Governance

Foreword from the Forum Office at ZSI (Centre for Social Innovation)

The Third Annual Meeting of the OECD LEED Forum of Partnerships and Local Governance was held in Vienna on 1 – 2 March 2007 under the title “Improving Cross-sector and Multi-level Collaboration”. This high-level event brought together 131 participants from 24 OECD member and non member countries to exchange information and debate issues relevant to partnership collaboration.

The meeting was significant in many ways. Participants discussed, amended and agreed the Vienna Action Statement on Partnerships, a document seeking to enhance governance by improving dialogue and co-operation between policy makers and other stakeholders at local/regional and national levels. The Action Statement will provide a reference for policy makers at all levels of government when designing and implementing new programmes. Its utility thus extends beyond the meeting to all partnerships committed to influencing policy development (see page 8 for more on the Action Statement).

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Participants were keen to share their knowledge and experiences on multi-level and cross-sector collaboration, and explore ways of overcoming common obstacles. The meeting also served as a follow-up to the capacity building seminar “Enhancing the Capacity of Partnerships to Influence Policy” (also held in Vienna, in December 2006).

The Third Forum meeting consisted of plenary sessions and 13 working sessions, in which 26 partnership cases were presented as a basis for discussion. Topics such as flexibility in policy frameworks, communication mechanisms, evaluation of partnership outcomes and local development skills were debated, and new ideas generated. Delegates were provided with many opportunities to network with key decision makers and stakeholders.

The meeting produced a number of substantive and far-reaching recommendations concerning the principles and practice of working in partnership, particularly in the context of multi-level governance frameworks and the need to collaborate across sectors. The results will feed into future capacity building activities for partnerships carried out by the OECD within the framework of the Forum.

We would like to take this opportunity to thank the speakers and delegates who attended the Forum meeting – your active participation greatly contributed to the success of the event. We hope you had a fruitful and rewarding time while in Vienna.

Anette Scoppetta
Team Co-ordinator, Forum Office at ZSI (Centre for Social Innovation)
What Makes a Partnership Work?
Improving Cross-sector Collaboration
(Mike Campbell, Director of Policy and Research, Sector Skills Development Agency, United Kingdom)

Cross-sector collaboration is the ‘horizontal’ bringing together of organisations in pursuit of a common purpose (e.g. employment, skills or economic development). The rationale is predicated on the basis that such collaborative effort is more effective in meeting the needs of intended beneficiaries.

Synergy can be generated through better co-ordination in respect of objectives, actions and review. But these potentially valuable gains in public service delivery, policy development, enhanced outcomes and value for money, are not automatic. Considerable effort is required to make collaborative approaches work. Success and failure, and most states in between, are all possible outcomes of partnership working across sectors. So, how do we maximise the chances of achieving the benefits of collaboration, while minimising the costs? How can we maximise the contribution of partners to more effective outcomes? What are the ‘good practices’ in partnership working across sectors which are most likely to lead to effective and sustainable outcomes? The Third Forum Meeting in Vienna, Austria addressed these questions and this note sets out a number of the emerging issues and good practices discussed.

>> What do we mean by cross-sector collaboration? Cross-sector collaboration may involve developing effective relationships in one, or more, of three ways:

1. **Collaboration across sectors** i.e. between public, private and not for profit/third sector organisations.

2. **Collaboration across issues** i.e. seeking to integrate action (perhaps even in the same ‘sector’) on linked topics e.g. joining up action on skills with action on employment or with economic development.

3. **Collaboration between organisations or across issues**, which focuses on the (multi-dimensional) needs of a particular target ‘group’ e.g. young people, a neighbourhood or economic sector.

The Forum meeting provided the opportunity to discuss 14 concrete case studies of such cross sectoral collaboration, with working groups hearing and discussing presentations which sought to identify good and promising practices. One such case study was the Sector Skills Agreements which have been developed in the United Kingdom.

The Sector Skill Agreements represent a successful issue-based collaboration between the supply-side and the demand-side on the development of skills suitable for the UK economy. Government, employers, employee representatives and organisations which plan, fund and support education and training are working to tackle the effective provision of skills together around a common rallying point and set of objectives. Each Sector Skills Agreement clearly lays out what actions are required and where efforts should be focused. It also clarifies what types of courses are needed and at what level education and training should be available. Every organisation involved in the planning and funding of education and training has assessed and agreed these objectives so that the commitments they make are feasible and achievable. Partners and government agree to provide support for the proposals and solutions contained in the agreements, and ensure the required resources are available for effective implementation. The SSAs are brokered by the 25 Sector Skills Councils in the United Kingdom, which are managed by the Sector Skills Development Agency. <<
Critical success factors and partnership performance

The Forum identified that a series of common principles and critical factors were visible in successful examples of cross-sector collaboration, in particular: (1) good governance i.e. partnerships which are managed in ways which enhance the co-ordination of policy and/or actions; and (2) strong accountability and transparency i.e. a clear demonstration of the 'added value' of partnership working. Addressing these issues involves a focus on:

- firstly, how diverse interests across partner organisations can be welded together towards a common overarching purpose;
- secondly, how within this common purpose a clear division of roles and responsibilities can be established to maximise the effectiveness of working together; and
- thirdly, the way in which the partnership’s performance can be monitored, reviewed and managed to actually demonstrate enhanced policy/practical outcomes and to identify the mechanisms through which performance can be further enhanced.

So, for example, in the case of the Local Skills Agreements, partnership working was based on a series of ‘stakeholder maps’ produced by the Sector Skills Development Agency (one each for England, Wales, Scotland and Northern Ireland) which identified relevant actors, and their potential interest – important for an appropriate division of roles and responsibilities. The SSDA also emphasized that Sector Skill Council’s needed to make it very clear to external agencies what it is that they ‘bring to the table’. In this case, their unique selling point is the commitment they bring from employers – an important element often missing from purely supply side approaches.

There are, of course, other determinants of success in cross-sector collaboration:

- the technical expertise and experience of the staff;
- the resources that are available (especially non project, discretionary resources) and the flexibility with which they can be utilised;
- the local/national policy framework – the degree of political support and how far partnership working is seen as critical to effective policy making and delivery.

The latter two factors may seem too difficult to influence, however an outward looking and successful partnership can have a positive effect in producing change within the policy and resource environment within which it operates, particularly if the partnership includes or has contact with ‘change agents’ or champions inside government and other relevant institutions.

Effective cross-sector collaboration is more, of course, than ensuring that individuals and organisations get on well together. It rests on successful 'win-win' deals. It will not help if fundamental areas of difference are (politely) ignored or skated over as these may be potential deal-breakers.

Thinking about expectations of participation and what it is that partners might expect is a useful up-front exercise that smoothes the passage of partnership working. The ‘ladder of participation’ (trialed within the Sector Skills Agreement development process) is a tool that can aid this task, where each ‘rung’ involves a deeper relationship between partners. It helps identify the type of participation that is appropriate for different interests and different stages of the collaboration process. <<
Table: The Ladder of Participation

<table>
<thead>
<tr>
<th>Stage</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Information giving</td>
<td>the building block of participation.</td>
</tr>
<tr>
<td>Consultation</td>
<td>consultation is most effective when there is a clear vision and plan to implement a project or programme, and when there appears to be a limited range of options. A transparent process of handling feedback is required and clarity is needed about who ultimately takes decisions and how and when this is done.</td>
</tr>
<tr>
<td>Deciding together</td>
<td>means accepting partners’ ideas and then choosing from the options developed together to agree a way forward. This can be challenging because it can mean giving partners power to choose a path of action without their fully sharing the responsibility for carrying decisions through.</td>
</tr>
<tr>
<td>Acting together</td>
<td>is when partners outline areas of collaborative working that they have jointly agreed upon and intend to contribute to delivering. This type of participation is most appropriate when one party cannot achieve what is needed on their own, but where each partner can contribute to the achievement of a common objective through their own programme of work or core activities.</td>
</tr>
<tr>
<td>Supporting initiatives</td>
<td>means backing partners to develop and deliver new plans and activities that will contribute to a vision and approach agreed upon by all. The process has to be owned by and move at the pace of those who are going to run the initiative.</td>
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</tbody>
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>> Further work in this area: On the basis of the findings in Vienna and wider research in this field, a forthcoming OECD handbook is being prepared which will list success factors in the development of cross-sector collaboration, and partnership working more generally, accompanied by an action oriented ‘checklist’.

In particular, experience has shown that there are three critical ‘phases’ of collaborative working (‘the foundations’; ‘effective management’; and ‘sustainability over time’) and in each phase there are a series of key factors and lessons which can contribute to effectiveness. It is intended that this list will be useful as part of a ‘prior appraisal’ in setting up collaborative working, and a ‘self-evaluation’ or ‘peer review tool’.

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Multi-level collaboration The Vienna Forum discussed the way in which local government and partnership actions are ‘wired into’ mainstream systems of governance. The aim was to explore how a given local association, partnership or government agency might be connected vertically with those elements that lie above it in the hierarchy of power and resources and horizontally with other stakeholders, players and partners. A key objective was to show that, for local development to thrive, national and regional policy frameworks need to incorporate scope for flexibility at local level while local actors should be active in seeking out the freedom to fill policy gaps and instigate local initiatives.

>> Importance of negotiation In the wider literature the vertical relationships which exist between different layers of government are often known as the ‘multi-level governance’ context (MLG). Multi-level governance has been described as ‘a system of continuous negotiation among nested governments at several territorial tiers’. The ‘tiers’ being referred to include the supra-national (for example the European Union), the national, the regional and the local. The idea of ‘continuous negotiation’ is particularly important since it reflects the need for policy makers and other stakeholders to communicate with each other across and between governance levels to decide at what level actions should best be carried out. Part and parcel of the debate is the concept of subsidiarity – that is where any given policy action should be conducted at the lowest level in the system that is consistent with both effectiveness and efficiency. The concept of MLG is helpful to us because, in addition to considering the technical-hierarchical structure of local and regional administration, it also brings into the equation those power relationships and resource allocations that on-the-ground experience shows make all the difference to local action. <<

>> Achieving ‘dynamic sustainability’ In the context of multi-level governance the aim in Vienna was to examine how local partnership actions could most effectively be ‘wired into’ wider governance structures. There is clearly no one-size-fits-all framework that looks the same for all types of action. What is or should be carried out ‘locally’ from this more instrumental viewpoint can be also be defined by what appears to work best in context. For example, the scale efficient ‘most local’ level of action for, say, a major national labour activation or skills development policy may well be sub-regional or even regional. By contrast, a policy for getting to the most disadvantaged groups into work will probably need to be local in a very real sense to capture the variety of social and cultural conditions that may be holding them back. The fact is the local plays differently depending on the purpose of the policy action and who are the subjects of that action. The role attributed to local action is also by no means static. It changes with circumstances and events and local players need to ‘go with the flow’ if they are to sustain themselves effectively against the complex dynamics of economic and social change. The importance of the local is increasingly open to change as governance becomes more intricate, open and porous. In many national contexts there is more potential for acting locally than in the past but such opportunity still has to be sought out and grasped. From this sort of perspective, ‘wiring up’ must take on board the idea that, while a good well-functioning local partnership body with a strategy is essential, the dynamic positioning of the partnership in the complex and changing connectivities of governance is no less important. Local actors need to work together within and across wider (national, regional) policy domains to make sure both that they are joined up effectively and that they have the capacity to operate ‘head up’ - sensing changes in
the context as they happen and being willing to respond to change in order to sustain their position. <<

>> Unpacking Policy Actions in MLG In practical terms it is useful to assess how policies might be unpacked both in terms of types of actions involved and by the level of governance (national, regional and local) at which they occur. To help with this, policy of any kind can be divided into three discrete elements. First it needs to be conceptualised, designed or thought up. Second, policy needs to be managed or, in European Commission speak, programmed. Finally, a policy needs to be implemented or delivered. The following diagram illustrates how this tripartite model can be used to help us understand the variety of ways local actions can be ‘plugged into’ general policy.

Table: Combinations of actions with a local component

<table>
<thead>
<tr>
<th>Conceived</th>
<th>Managed</th>
<th>Implemented</th>
</tr>
</thead>
<tbody>
<tr>
<td>L</td>
<td>L</td>
<td>L</td>
</tr>
<tr>
<td>N</td>
<td>N</td>
<td>L</td>
</tr>
<tr>
<td>N</td>
<td>R</td>
<td>R</td>
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<tr>
<td>R</td>
<td>L</td>
<td>L</td>
</tr>
</tbody>
</table>

The first column of the diagram shows, for example, the case where all three policy stages are operationalised at the local level – perhaps a local action to design, manage and implement the building of a village hall where none has been provided by government. The second column of the diagram shows a situation where the action is conceived and managed nationally but handed down to local actors for implementation – perhaps a national programme for engaging older workers – implemented through a series of local partnerships. The third column sets out a possibility where the actions are conceived at national level and then handed down to regions for management with the local level responsible for implementation. This is perhaps the orthodox Public Employment Service model. The fourth column shows cases where the region is the lowest level for the management and implementation of a national policy. This is perhaps the sort of model applied to inward investment and advanced technology support programmes on the demand side. The last column is one more typical of federal/regional systems where the actions are conceived and managed regionally and then passed to the local level for implementation. The details of what kind of policy actions might fit where are less important than the aim to show the flexibilities and degrees of freedom available when ‘wiring’ the local into the governance system. <<

>> Applying the subsidiarity principle It seems obvious to make the point that the simultaneous conception, management and implementation of policy (the first column of the diagram) may not be the only interesting possibility for local policy development. The local has many potential roles to play depending on the policy domain involved and the existing governance context. If there is a normative statement to make about the best role of the local overall, it is probably that – wherever possible – it would be advantageous to devolve as much conceptualisation/design and management of employment development policy to the lowest level in the system consistent with efficiency and effectiveness.

A longer version of this article will be released at a later stage in the form of a handbook for partnerships designed to support capacity building activities for partnerships within the framework of the Forum. For further information, please contact Peter.Lloyd@ecotec.com or Sylvain.Giguere@oecd.org. <<
The Vienna Action Statement on Partnerships

Participants at the Forum meeting agree the Vienna Action Statement  
The Action Statement was prepared by the Forum Committee of Experts – comprising selected, experienced partnership practitioners – and agreed by the participants of the Third Forum Meeting on 2 March 2007 in Austria.

>> Objectives  The Action statement is a supporting tool to improve policy and governance processes as well as dialogue and co-operation, both among policy makers and between policy makers and other stakeholders at the local, regional and national levels. It thereby seeks to improve the contribution that local partnerships can make to fostering economic development, social cohesion, environmental sustainability and quality of life. <<

>> Statement/Actions  Participants at the Third Forum Meeting recognised that in order for partnerships to contribute to the policy development process fully, they need to have a strong influence on multi-level and cross-sector collaboration. Thus they require a receptive attitude on the part of policy makers in regional, national and supranational government institutions. The implications for governments as well as for the partnerships themselves are (1) the need for government policies that are flexible and capable of adapting to change; (2) the need for channels of communication within multi-level governance arrangements that are open to input from the bottom up; and (3) the need for the policy process to recognise local diversity and the value of evidence from practice.

In addition, on the side of partnerships there is a need to (1) ensure transparency and accountability of partnership structures; (2) work on the basis of sound local knowledge and expertise, using local data and indicators; (3) adopt a strategic approach that goes beyond the delivery of projects and programmes and that can adapt to changes in a globalised economy; (4) demonstrate a capacity to enhance policy outcomes through appropriate monitoring and evaluation; and (5) network at the national level and learn lessons from international experience to ensure effective dialogue with government. <<

>> Overview on recommended actions  The Forum Meeting participants invite governments and partnerships to work together to:

(1) Ensure flexibility in policy implementation.
(2) Establish robust communication mechanisms through which partnerships can influence and comment on relevant policy developments.
(3) Better align policy objectives.
(4) Establish evaluation tools that will accurately measure added value.
(5) Build the capacities of local, regional and national stakeholders to work effectively in partnership through training and development.
(6) Provide a secure financial base. <<

>> Process  The Statement will be presented by the Chair of the Forum, Michael Förschner, to the OECD LEED Directing Committee at its 50th Session, in Bucharest, on 12-13 June 2007. The Statement will be reviewed by the members of the Forum every three years in terms of the results achieved. The first review is scheduled for Spring 2010. <<

The full version of the Statement can be downloaded at: http://www.oecd.org/dataoecd/11/43/38247289.pdf
Analysis of the Third Forum Meeting

>> Participation at the meeting In total, 131 participants from 24 OECD member and non-member countries attended the meeting, which featured high-profile keynote speakers and brought together experts from a diverse range of partnership groups and organisations. Twenty-six partnership cases from thirteen countries: Austria, Belgium, Bosnia & Herzegovina, Canada, the Czech Republic, Germany, Greece, Italy, Ireland, Luxembourg, Poland, Sweden, and the United Kingdom were presented in lively working group sessions. <<

>> Evaluation methodology To assess the satisfaction of participants with the meeting (e.g. satisfaction with the programme, the working groups, overall organisation), an evaluation sheet was given to all those present. Statements were ranked on a four-point scale (“1” for strong agreement, “4” for strong disagreement). A total of 38 participants completed and returned the evaluation sheets, representing a 29% response rate. <<

>> Evaluation findings The meeting was viewed very positively and rated by the majority of those responding (37, or 97.4%) as excellent, very good or good. One participant said that “The meeting was a source of 3 ‘I’s: Inspiration, Information and Innovation”. Generally, presentations, the programme and topics of the meeting (cross-sector and multi-level collaboration, the Vienna Action Statement on Partnerships) were judged to be well selected. Some of those responding appreciated the way that the meeting’s participants were actively involved in concluding the Vienna Action Statement on Partnerships.

There were however some critical remarks in relation to the panel discussion, held on the second day. The “club” setting was seen in some cases (15.8%, 6) as lasting too long and the mixture of reporting and expert opinion was not ideal. Several of those who completed and returned the evaluation sheets pointed out that more time for networking and individual information exchange was needed. Passive listening should be kept to a minimum and people should be allowed to exchange information in smaller groups. It was mentioned that a social event in the evening could have enhanced the networking possibilities of participants. The need for simultaneous translation was indicated in four cases (10.5%).

The majority of the responding participants would attend a similar conference in the future because of the opportunity to compare experience, learn new approaches and build cooperation. The meeting was seen as an “inspiration for daily work in partnership” and an excellent platform for exchange: “Partnership building is challenging and needs a lot of energy. Sometimes it is necessary to ‘charge the batteries’ among the group of ‘partnership agents’”, expressed one participant. <<

>> Suggested topics to be included at future conferences (a selection):

- Partnerships’ conflict management;
- Cross-boarder and transnational partnerships;
- Partnerships’ co-ordination tools;
- Sustainability of partnerships;
- Failure analysis;
- Support structures and skills of partnerships;
- Involvement of universities; and
- Co-operation between clusters and partnerships. <<
News & Events

8th Forum Newsletter  The 8th Forum Newsletter will be published in the Autumn of 2007. If you did not receive this 7th Newsletter directly from us, please send an email to rubik@forum.zsi.at indicating “Add to mailing list for Forum Newsletters”.

Capacity building for effective partnerships
The OECD LEED Trento Centre for Local Development, together with the U. S. Agency for International Development (USAID) mission in Croatia and World Learning Croatia, are currently undertaking an active review of local partnerships in Croatia. The review will include an assessment of the current contribution by partnerships in the delivery of policies and their current and future role in designing and implementing local strategies. A set of recommendations will be developed for further discussion. The fieldwork foresees a one-week study visit to the country in April by the OECD Secretariat, USAID and external experts to interview local stakeholders and visit local initiatives. In May, a one-day workshop in Croatia will provide the opportunity to discuss the study visit findings and recommendations, and identify ways in which local partnerships and their government counterparts can make partnership working more effective. Selected examples of best practice in partnership building from OECD countries will be presented. The final output will be a discussion paper bringing together review findings, recommendations and international learning models on effective partnerships.

For further information, please contact andrea-rosalinde.hofer@oecd.org at the OECD LEED Trento Centre for Local Development or visit the Centre's website at http://www.trento.oecd.org.

Global Challenges - Regional Strategies - Are today’s policies fit for the future?  31 May - 1 June 2007, Stockholm, Sweden
OECD and Nutek (the Swedish Agency for Economic and Regional Growth) welcome policy makers to attend this two-day conference, which will review experiences from leading regions in supporting key industries such as automotive, ICT and biotech, and identify how policy makers from Europe, North and South America and Asia are strengthening their local innovation capacity while making the most of opportunities for linking into global networks.

For further information visit http://www.nutek.se/globalchallenges-regionalstrategies or contact Nutek's conference service at konferensservice@nutek.se
Employment Week, 14th Annual Conference & Exhibition 5 - 6 June 2007, Brussels, Belgium
This two-day conference and exhibition offers a valuable opportunity for practitioners and European decision-makers to connect and discuss the latest policies and trends in European employment. Focusing on ‘Working Europe – creating more and better jobs’, the conference programme has something for everyone including two main streams: in the workplace, in the labour market.

To register your interest in attending the Employment Week conference and exhibition or simply to receive the conference programme, please contact spothier@tarsus.co.uk.

Further information can be downloaded at: http://www.employmentweek.com/

The 4th Pan-European PPP Forum 2007 12 - 13 June 2007, Istanbul, Turkey
Municipalities, local authorities and regions are facing increasing difficulties in drawing on their limited revenue raising capacity and borrowing power to finance infrastructure needs. The partnership route – mainly PPP and private equity – is becoming more and more attractive compared to the traditional procurement of funds (bank loans, EU grants, etc) for financing such infrastructure development. On the other hand, financiers, private equity firms and investment banks are exploring the latest developments in the secondary market and refinancing needs.

The Forum programme is intended primarily for decision-makers from Turkey, Albania, Bosnia and Herzegovina, Bulgaria, Croatia, Czech Republic, Estonia, Hungary, Latvia, Lithuania, Macedonia, Moldova, Poland, Romania, Serbia and Montenegro, Slovak Republic, Slovenia.

For further details and information about conference fees visit http://www.euroconvention.com/1251-istanbulhome.htm or contact the European Finance Convention’s office in Brussels (enquiry@euroconvention.com).

Call for papers: Recreating and Valuing Territories ‘Local development, innovation and new governance’ January 2008, Rome, Italy
The Province of Rome is organising a four day international congress on local development, innovation and new governance in Rome in January 2008. The congress offers lectures and workshops on a multitude of topics about sustainable local development and will provide a critical-creative attitude towards local regeneration and new governance. Papers are requested from researchers and practitioners, policy makers and planners, and local development agents in the fields of sustainable development, sustainable territories, and sustainable local governance to enhance sustainable innovation.

Deadline for abstract submission is 31 May 2007. For more information please contact Ms. Tiziana Polidoro (europainfo@provincia.roma.it); tel: +39 / 06 / 6766 2313.
Forum in brief

The partnership network

The OECD LEED Forum on Partnerships and Local Governance is a network for the exchange of information and experiences between partnerships. Since September 2004, it has promoted an integrated approach to local development, helping area-based partnerships to maximise their contribution to local governance and the effectiveness of policies.

>> Forum mission

The mission of the OECD LEED Forum on Partnerships and Local Governance is to enhance the contribution of partnership structures to local development and local governance and the effectiveness of policies.

>> Forum partnerships

Area-based partnerships are tools to improve governance. They seek to improve policy co-ordination and adaptation to local conditions, lead to the better utilisation and targeting of programmes, integrate civil society’s concerns into strategic planning exercises, stimulate corporate involvement in local projects, and promote greater satisfaction with public policy (OECD, Local Partnerships for Better Governance, 2001).

Forum partnerships are primarily focused on employment and social issues and economic development and are characterised by a multi-level, multi-sectoral and multi-dimensional approach.

>> Objectives of the Forum

The objectives of the Forum are:

- to improve dissemination, stimulate learning between partnerships and facilitate the transfer of expertise and exchange of experiences;
- to create synergies between partnership programmes;
- to assess and develop co-operation models; and
- to advise and support partnership organisations on ways to promote an integrated approach and improve the co-ordination between policies.

>> Forum Structure

All institutions and organisations involved in the management of area-based partnerships may become members of the Forum. Delegates and national partnership co-ordinators interested in providing further advice on the implementation of tasks participate in the Forum Board. The Forum Co-ordination is the support structure which builds up the network.

All co-ordination tasks are carried out by the Forum Office Vienna at the ZSI (Centre for Social Innovation) and the OECD LEED Trento Centre for Local Development, under the supervision of the OECD LEED Programme (Paris).

>> Tasks of the Forum

- Further developing the network (identification and networking of institutions);
- Building the data base (Documentary base);
- Forum meetings, Forum Board meetings;
- Policy advice (study visits, capacity building seminars); and
Contacts

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