

The Programme for the Development of Local Plans of Social Inclusion

Host Country Report

Team which has participated in the drawing up of the Framework Document

(Internal document of the Generalitat - Catalan Government - to facilitate the implementation of the PLIS, Local Plans of Social Inclusion, in the technical offices)

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1. Introduction

In the present framework document is all the basic information about the process to prepare a Local Plan of Social Inclusion (PLIS). Information present in several documents has been picked up for this goal.

The goal of the final product is to offer an explanation about what the Local Plans of Social Inclusion are, their main characteristics, and the proposal of deployment during their first years on work.

1.1 From European framework to local area

Since the seventies until today the society has lived many transformations that have hit directly on the citizenry. These changes and transformations have caused the appearance of new axes of exclusion and inequality. In view of the current situations of increasing vulnerability in the occidental countries and the existence of the old inequalities, from the European Union a series of actions to struggle against these types of situations have been articulated. So, in March 2000, the

European Council of Lisbon puts the bases for the fight against the social exclusion, with a double aim: to make stronger the economy of the Union and to adopt measures against the social exclusion stimulating the cohesion and the social inclusion. In December of the same year, the European Council of Nice promotes the writing out of the National Plans for the Social Inclusion and adapts its Open Method of Coordination (MOC) to the policies of protection and social inclusion. In 2003 the European Commission emphasises the fundamental roll of the local entities in the development of inclusion policies. This is impulsed in March of 2006 with the identification of the local area as the suitable stage for the articulation of the local agents for the inclusion.

Following the agreements of the European Council and the goals of the Open Method of Social Coordination, different State members start the design of their own National Plans of Social Inclusion; this way, the Spanish State creates in 2001 the National Action Plan of Social inclusion of the Spanish Kingdom (*Plan Nacional de Acción para la Inclusión Social del Reino de España*). Nowadays there are 5 national plans, the last one for the period 2008-2010.

From the creation of the National Action Plan of Social Inclusion of Spain, plans of different autonomous regions in Spain start to appear, except for a few communities that had already their plan. In February of 2006 a proposal of a Social Inclusion Plan for Catalonia is shown, and in this first articulation there is the *Programme for the Development of Local Plans for the Social Inclusion*. The purpose of this programme was to offer economic and technical support in the Catalan territory to develop plans of social inclusion, as a concretion of the European Open Method of Social Coordination at local level. This way, 12 town councils that start to work in the design of the local plans are included in the programme. The following year a group of 8 towns more become also included in it and finally, at 2008, 2 more towns become members of this group. Even though the programme continues on work (with the incorporation of 10 local entities during the present year), during this first phase of three years the programmes were pilot programmes so they just contained a series of ruling principles and framework actions to develop in the respective local plans.

1.2 Why a framework document

In 2008 the IGOP (Institute of Government and Public Policies), at the request of the Catalan Institute of Assistance and Social Services, carried out a study¹ to know the state of the different local plans in that moment. The study included a total of 18 towns and local entities, remaining out of its analysis two cases: Barcelona, for its dimension and complexity, which required a specific study, and Figueres, as its plan still needed to contract the staff of the Technical Office. One of the goals of this research was to find different models of the drawing up and the implementation of the local plans. Across this study it could be observed how, in practice, there were only three towns with the PLIS (Local Plan of Social Inclusion) approved and on work. They were those that already had an experience in this field before the Programme of Development of Local Plans of Social Inclusion promoted by the Generalitat. Another interesting point of the research was to check out the moment and stage of the process in which each plan was found. One of the conclusions of the study was that most of towns were still in an initial stage of development linked to the drawing up and the writing out of its own plan (whatever was the moment to join PLIS Programme).

¹ IGOP. *The Local Plans of Social Inclusion of Catalonia. State of the question*. Generalitat de Catalunya, 2009.

In view of these results, with the horizon of incorporating a total of 105 local entities with basic area of social services, and once overcome this first stage of deployment of the first plans, the Technical Body of the Plan of Action for the Inclusion and Social Cohesion of Catalonia, considers the opportunity to draw up a framework document which allows to orientate and to set the different stages of development of a Local Plan of Social Inclusion. The first stage of the Programme PLIS was mainly designed to facilitate the local entity resources to carry out processes of innovation and creation of answers, actions and policies having into account the geographic treats of each town (respecting the principle of subsidiariness). In this process of test and learning, the plans of the first stage were developed and have shown different rhythms and dynamics of development as a consequence of the innovating treat. In this sense, this diversity of processes and moments in which the PLIS are found makes it hard to forecast their evolution and also to compare their processes with the rest of plans.

That is why the diversity of itineraries and deadlines, the heterogeneity in the orientation that until now have had the PLIS, makes it necessary to create a framework document that facilitates an orientation for the responsible of the programme which allows to gauge which are the stages, the goals and the processes that is necessary to carry out when a local entity begins the writing out of its own Local Plan of Social Inclusion. This document has to become, then, a guide of reference, flexible and open, that allows not only to orientate the action, but also to incorporate those tools that are considered necessary and indispensable for the good development of a PLIS, as the study of the plans of inclusion of the first wave (2006-08) has certified.

This framework document is shown in order to help and orientate the different Local Plans of Social Inclusion. We cannot forget the fact that many towns that are in the Programme of Local Plans Development of Social Inclusion had already had to work in its design and implementation, and therefore, many of them will find the suggestions, contributions and recommendations out of time. But it is necessary an initial reference, even though it is too much formal or theoretical, for those towns, local councils and consortiums that are interested in developing a Plan of Inclusion.

This document has been prepared following a proposal of document that was argued and discussed with a group of four technical experts² of social inclusion. The goals of this work in group were, on one hand to make the local technical experts participate in its elaboration and on the other hand to avoid writing out a document far from the reality.

² We want to thank the participation of all the members of the support group.

2. Concept

The Local Plans of Social Inclusion have as an aim the planning, drawing up and coordination of initiatives, measures and social intervention actions that allow to detect and to weaken the factors of social exclusion and vulnerability, with the main goal to include and to achieve the social cohesion of all the citizens, through the integrality, the mainstreaming and the network with all the set of actors that work on the territory. They have to be like a mechanism of prevention of the risks of social exclusion, while attention is paid on those groups of the population that are already in a situation of special vulnerability.

3. Principles

The general principle of the Local Plans of Inclusion Social is the stimulation of measures for the social inclusion of the population through a model of intervention in net and cross-cutting work of all the agents present to the territory from the leadership of the local civil service.

3.1 Principles of the new policies

In view of the complexity of approach to the phenomenon of the social exclusion, it is necessary to get new tools of action and the definition of new policies to face these new realities from the strategic prevention and the integrality. The principles that should accomplish these new policies to the fight against the exclusion are:

- **Community perspective:** to take into account the physical and relational environment of the person, going from policies addressed to the individual person to policies for the community.
- **Promotion of the autonomy:** to prepare policies in order to promote the autonomy of the persons and not only to attend spot needs.
- **Multidimensional approach:** the fact that the social exclusion is nowadays conditioned by several factors, and not only by the income, entails the need of cross-cutting policies that take into account the different dimensions implicated in the situation of exclusion.
- **Strategic view:** the changing and dynamic character, of the society and the processes of social exclusion, make necessary to apply some proactive policies to complement the reactive actions in front of situations of social urgency. So, it is necessary to apply policies for the prevention of situations of risk of social exclusion.
- **Approach channeled into the origins:** in this strategic vision of the new policies, it is necessary a detection of the causes that provoke the several forms of social exclusion in order to act.
- **Multilevel and cross-cutting perspective:** the treat of the phenomenon of social exclusion needs a change in the dynamics of work of the civil servants, new spaces of dialog and coop-

eration in the drawing up and implementation of social policies that include the different areas of the town civil servants and of other civil servants in the territory.

- **Stimulation of the participation:** the fight against the processes of social exclusion is a work that overcomes the areas of action of the civil service; this is why it is necessary to create spaces of co responsibility, work and negotiation that stimulate the participation of the private entities, the third sector and the citizenry.
- **Recognition of the territorial specificity:** the policies have to adapt themselves to the territorial reality and to the demands and needs of its inhabitants.

Table 1. The new logic of the policies in the social area

Traditional logic	Innovative logic
Individual	Community perspective
Welfare	Promotion of the autonomy
Income as the cause	Multidimensional
Reactive	Proactive (strategic)
Channeled into the consequences	Channeled into the causes
Vertical segmentation	Multilevel and mainstreaming perspective
Separation public-private	Participation of private agents
Homogenizer	Sensitive to the territorial specificity

Source: Plan for the Inclusion and the Social Cohesion in Catalonia 2006-09

4. General/strategic goals

The *Plan for the Inclusion and the Social Cohesion in Catalonia 2006-2009* and its edition for the period 2010-2013 a series of goals are picked up to attain in the area of the exclusion and the social inclusion. The document of programme contract³ for the development of PLIS it marks as a **general goal**:

'To stimulate measures for the social inclusion through a model of intervention in net of all the agents of the territory, specially the local civil service'.

In the same way they mention as **strategic goals** the general principles of the *Plan for the Inclusion and the Social Cohesion in Catalonia*, which are:

- **Weakening of the factors that cause exclusion and stimulation of the autonomy of the persons.** Intervention about the causes and factors that generate risks of social exclusion in the territory and to complement the design of prevention strategies that stimulates the autonomy of the persons, having into account vulnerable collectives.
- **Overcoming the framework of the social services.** Acting in a cross-cutting way incorporating the set of areas and departments of the local civil service in the design and execution of intervention strategies.

³ Generalitat de Catalunya. *Contract programme DASC + local Entities*. 2009.

- **Adequacy of all actions to the several territorial realities.** Taking into account the special need situations that are generated in accordance with the own different dynamics from each territory and articulating in the community level the set of actions and measures applied in it.
- **Stimulation of the network.** To coordinate and to cooperate with the different agents that work in the territory and to guarantee the most extended participation and social dialog in the design, the implementation, the follow-up and evaluation of the Plan.
- **Production and transfer of knowledge.** Having measuring instruments for the analysis of the phenomenon of the social exclusion and guaranteeing the transfer of the knowledge generated and of the practices and the policies of inclusion that are carried out in the territory.
- **Awareness about the phenomenon of the social exclusion and development of innovative policies for the inclusion,** making visible, aware and spread the causes and consequences of the social exclusion, and stimulating the practices and policies on the subject of social inclusion.

5. Specific/operative goals and different action ways

The Programme for the Development of Local Plans of Social Inclusion contemplates as goals or actions to develop the creation and maintenance of a Technical Office of the Local Plan of Social Inclusion for the set of towns attached, formed by one Technical expert senior and one Technical expert. As one can see in the title of 'agents', the roll of the technical offices in the development of the PLIS is basic for their task of research, coordination, planning, implementation and evaluation.

Therefore, it is a priority to assure this minimum structure of work in order to approach the rest of actions to develop from the local entities, which derive from the former strategic goals, like:

- The creation of participative processes for the design of the plan and the stimulation of spaces of coordination and follow-up.
- The organisation of conference of discussion, reflection and dialog with the citizenry, for the awareness and development of policies<A[policies|politics]> innovative of the phenomenon of the Social Inclusion.
- The realization of studies, analyses, diagnoses<A[diagnoses|diagnostics]> or other products of knowledge on the subject of social inclusion.
- Training and exchange of experiences in the field of the social inclusion.

In order to respect the principle of subsidiariness and to adapt the strategic goals to the several realities of the local entities, the concretion in specific/operative goals in each PLIS corresponds to the Technical Offices, which have to determine their different action ways at the same time.

6. Target Group

There are many theoretical authors that speak about the democratization of the social exclusion (Beck, U.), about the step from a predictable society to a society in which the insecurity is a common factor, a liquid society (Bauman, Z.). These authors point out the idea that we are in the face of a generalization and extension of the risks of social exclusion to the whole of the population. This analysis comes off aggravated by the current economic crisis. On the other hand, there are no homogeneous situations of social exclusion; the real world shows several processes of exclusion in the different areas of the life of the persons. It is not only an extension to other areas, but also moments of breaking in the life trajectory of the persons that can pour into situations of social exclusion.

This diversity of social exclusion processes and its universalisation causes that the design of the PLIS has to contemplate and to channel into the whole society and not only into the persons who are already socially excluded. Then, the design of reactive acts for the persons in situation of special vulnerability and also actions of more strategic and preventive character is necessary in order to anticipate future situations of social exclusion.

7. Impact Area

At the end of the last century there has been a change of the approach in the treatment of social exclusion. From a vision focused only on the economic situation of the persons to an approach considering many reasons that can lead to the social exclusion. The reason for this change is the changes produced in the society : the weakening of the Welfare State, the changes in the family composition, the transition from the industrial society to the society of the knowledge, etc. These changes increase the insecurity of people causing a generalization and universalisation of the risk to fall down in situations of social exclusion.

The life patterns of people cannot be predicted any more. There is not a standard cycle that fix the moments of transition in the life of the persons, these transitions are not standard any more and in some moments can be produced several times during the life course of a person. The start and end of the work activity, the need of a continued training along the life, the loss of home and the return to the family home are common situations nowadays.

In view of this heterogeneous and changing reality it is necessary to have new tools of approach to the diversity of factors and causes that can lead to situations of social exclusion. In answer to this new need, the Institute of Government and Public Policies (IGOP) drew up a theoretical framework that includes seven areas of social exclusion to know how to struggle against it.

It is a theoretical framework that allows a flexible approach to the processes of social exclusion. These are the different areas:

- Economic area: economic problems are important and can be the cause of other processes of social exclusion.
- Job area: the impossibility of participating in the job market in an active way is the clearest example of exclusion in this area. Other situations would be the work precariousness, the phenomenon of the *poor workers*, the insecurity, a bad household-labour conciliation, the exploitation, the defenselessness, etc

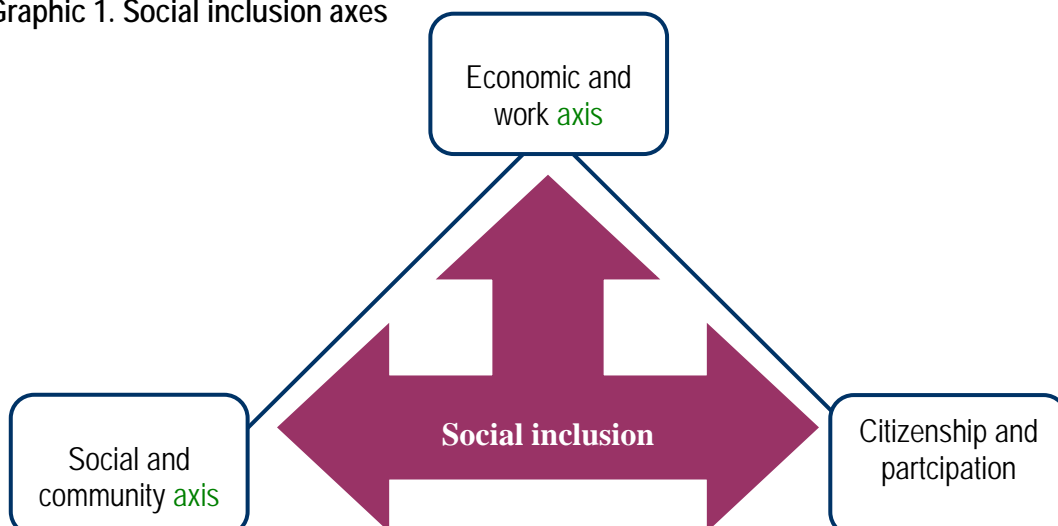
- Residential area: the extreme case is that of the homeless, but also other situations like isolation (out of the urban framework), the lack of next public services, the degradation of the public space, unhealthy homes, etc.
- Training area: the school abandonment, the lack of a good training and the absenteeism are some of the reasons that can cause exclusion.
- Social and sanitary area: Some illnesses, the addictions, the disabilities, a deficient medical attention, the situations of dependence and the no access to the healthcare are common in situations of special vulnerability.
- Relational area: When there are situations of need, in many cases, the one that can help is a person of the group of relatives and closed friends. The weakness or lack of this relational framework can translate into situations of risk of social exclusion.
- Political and community area: the no participation in the community and political life causes that the affected persons do not have the ways to show their worries, needs and interests in the public agenda.

7.1 Social Inclusion Pillars

These realities and other of special vulnerability in one or more than one of these areas of incidence can lead a person to situations of social exclusion if they block its participation in basic activities basic of the society like the rest of the citizenry. It is accepted that a person is included in a society when he or she can act in the three axes of social inclusion:

- The economic one (and income): it makes reference to the participation and the access to the production and the creation of value. That is, the possibility to access to the job market, the income and to have consumption capabilities in worthy conditions.
- The social and community one: it obeys to the relations of daily reciprocity with the immediate social nets (relatives and friends); on the other hand it makes reference also to the access and the conditions of home and its environment.
- Citizenship and participation: Concerning to the continued access and recognition of the social rights (health, education and social participation) within all the citizenship rights .

Graphic 1. Social inclusion axes



Source: Own elaboration

Thus, the lack of participation in one of these axes entails a situation of risk of social exclusion. We have to have into account also the incidence of the personal features act in a cross-cutting way and can aggravate these situations. The effect of risk of social exclusion situation will be different depending on the age of the person, his or her sex and origin or ethnic group; these variables can act intensifying or diminishing the factors of social exclusion.

8. Agents

8.1 Local level

From the group of agents who have to participate in the achievement of the social inclusion in the town, it's clearly noticeable the roll of the **Local Technical Offices (OTL)**. They have to promote the process focused diary on its Plans of Social Inclusion. The reasons for the importance and potentiality of the offices are, first at all, the direct contact and the direct knowledge of the territory and of its actors, which will allow to adapt the OTL to the reality of the territory and to avoid creating parallel organisations. Another reason is also the knowledge of the internal dynamics of the consistory itself, and the theoretical and practical knowledge about the subject.

To promote and to send the process of elaboration and implementation of the Local Plan of Social Inclusion with the implication of the several areas and departments of the consistory and the present agents in the territory, are functions of the technical offices. They have also to watch the policies and performances of the territory to obey to the model of new policies, according to the features of the item 3.1. The implementation in this new way of adopting policies means the implication of other agents in the development of the Local Plans of Social Inclusion. In this way, the need of an integral approach and of some transverse policies to fight against the social exclusion leads to the need of an agreement between different areas, departments and councilors for the implementation of policies and actions that weaken the factors that cause the social exclusion. In this sense, the participation of technical experts from **other areas** of the consistory implicated in the social inclusion of the population, coordinated from the Technical Office, it is really important for the design and development of the Local Plan of Social Inclusion.

At the same time the collaboration and the commitment of the politicians from the different areas, ministries and council departments are necessary. Thanks to the implication, conviction and support of all these persons, the PLIS will be recognized as an element to coordinate the different present actions in the territory. For this goal it is necessary to carry out a good explanation and internal diffusion of the Plan and to aware that the social inclusion is not an aim only for welfare services. The emphasised multifactor treat of this phenomenon cause that all the council departments, ministries and areas have to work together searching a common goal: the social inclusion of all the population.

But to carry out this task of collaboration, cooperation and coordination in the territory, **it** is necessary the leadership of a main agent. The transverse and integral work needs of a strong leadership; To facilitate this task is necessary the commitment and implication of the mayoralty, which leads the process of work and makes easier the internal dynamics of cross-cutting and integral work according to the fact that the policies of social inclusion social, and in this case, the Local Plan of Social Inclusion are important; The location of the Technical Offices in the municipal organisation chart is a way of empowerment. In order to play this central roll which facilitates the coordination and mainstreaming of the rest of policies and inclusive actions, it is advisable that the Technical Offices depend directly on Mayor's Office/Presidency. In this way, the Plan as well as the Technical Office achieves one greater specific importance, visibility and recognition, while it represents a declaration of intentions for the promotion of inclusive practices, network and mainstreaming actions in the territory.

The location of the Technical Office in the municipal organisation chart (local council or consortium) will condition its actions and the possibilities of development of the Plan. For example, the fact that many of the Plans place their Technical Offices in Welfare or Social Services area means a concrete approach and technical experts with concrete professional profiles. One must remember that some of the goals of the Local Plans are the promotion of the network, and integral and mainstreaming actions in the territory.

8.2 Territorial Services

Another component that stands out are the Territorial Services of the different territorial demarcations (Barcelona, Girona, Lleida, Tarragona and Terres de l'Ebre) being the point of contact among the Ministry of Social Action and Citizenship and the local entity in the territory. The linking between the Territorial Services and the Local Plans of Social Inclusion articulates in two ways: on the one hand an institutional participation with the presence of the director of each territorial demarcation in the presentation of the Plans, and on the other hand the accompaniment, follow-up and evaluation of the Plans by the agents of the territories in each demarcation. Moreover, the Territorial Services will also have the function of guaranteeing a certain homogenization of the PLIS (Local Plans of Social Inclusion) -always taking the specificity of each territory into account-, following the characteristics established for the Plans in this document.

8.3 Social entities and the third sector

The Local Plans of Social Inclusion go beyond the institutional implication of the different civil services; in order to achieve to weaken the factors generative of social exclusion and a more inclusive society, all the agents in the society have to be included. The European Union recognizes the need to have the participation of the different implied agents and it is expressed in the goals for the eradication of the poverty and the social exclusion present in the Open Method of Social Coordination (MOC⁴). That is why the participation of the citizenry in the drawing up and implementation of the plans is necessary. Citizenry is composed by the private entities and the third sector, and also the non organised citizens. The roll of the **entities** is really important because they have experience in the management and administration of services to the persons in risk of social exclusion; they have a direct knowledge of the present social problems in the territory. A coordinated network with these entities facilitates the profit of the resources while it limits the eventual duplicities in the different services and policies carried out. The implication of these entities in the Local Plans of Social Inclusion it will reinforce their design, implementation and evaluation for they are plans of all agents and not just of a plan of the civil service.

⁴ The three goals shown in the action area for the eradication of the poverty and the social exclusion make reference to the participation of the persons, but the third of them suggests in particular: 'c) to watch in order to get that: The policies of social inclusion are well coordinated and they implicate at all the public authorities (different levels) and to all the appropriate agents, included the persons in situation of poverty; they are effective and efficient and are integrated in all the pertinent public policies, the economic policies, budget policies, educational and training policies included, and also the programmes of the Structural Funds (especially the European Social Fund (ESF))' (*Un compromiso renovado en favor de la Europa Social: reforzar el método abierto de coordinación in el ámbito protección social y la inclusión social*).

8.4 Citizenry

With this goal, having a Plan of Social Inclusion elaborated and implemented by all the agents of the territory, it is necessary to watch over the participation of the **non organised citizenry**, of the citizens, especially of those persons who are in situations of social exclusion. These citizens in a risk situation, current beneficiaries or beneficiaries in a future of the actions included in the plan, have a really interesting knowledge about the running of the services, the items to improve or implement and suggestions of how to articulate future actions. On the other hand, as the persons in risk of social exclusion, that normally have no voice and are not well represented in the society because of their personal situation, participate in the design, implementation and evaluation of the Plan, they are empowered and get the choice to speak. Having the participation of all the citizens means to reinforce and to legitimize the Plan beyond the town council; opening the PLIS to the whole society means to obtain awareness and involvement of the inhabitants. To integrate and to imply to the citizenry, citizens and entities, is an exercise of implementation and improvement of the democracy and the public management, a step more for the social inclusion and the recognition of the rights of the persons.

It is worth to say that **all we** are inclusive agents in our more nearby environment. The social inclusion is a goal that, on a small scale, we can work in from our everyday life. Reinforcing and keeping our social nets and impregnating them with reciprocity, leaving apart stereotypes and prejudices towards the population in risk, participating in the actions carried out from the consistory and the entities of the territory, avoiding the precarious treat of the jobs of some people, etc. All and each one of us has in hands the possibility to make this society more inclusive for our neighbours, relatives and friends. The social exclusion is caused in many cases by structural factors but we can avoid, thank to our actions and daily attitudes, situations of relational exclusion and exclusion of participation in the community life.

9. Geographic Limits

The Local Plans of Social Inclusion will have as main geographical limits the own town or the towns of the Local Council, depending on who is the leader of the plan. The fact that situations of social exclusion are not delimited in a territory in particular and the need to articulate actions and policies in a longer area in order to face the factors that cause social exclusion, suggest the idea of not confining only to the municipal area. Then, the planning of a Local Plan of Social Inclusion has to keep in mind the territory itself but also the reality of the most nearby environment. The persons who are in situations of social exclusion often search solutions in other towns or in organisations that are not directly present in the local area in question, that is why, in order to achieve more efficiency in the social inclusion of the persons, it is necessary to have this view of the environment.

The collaboration, coordination and cooperation with other local entities seem a good tool to improve the rendered services and the effectiveness of the carried out actions.

10. Methodology

Along this document people have spoken about the changes in the local administration and in the treatment of the poverty, in a first moment, and of the social exclusion. This conceptual change

reflects the complexity of the phenomenon of the social exclusion, that is not only due to economic or income causes but to many factors that can pour into processes of social exclusion. In view of this complex and multifactor reality it is necessary also to change the way to work. In the item 3 of this document, there are mentioned a series of principles in accordance to the new methodology to use in order to face the situations of social exclusion, the weakening of the generating factors and the promotion of inclusive policies.

The need to design and to elaborate policies and actions with an integral vision that takes into account the several life areas of the persons is the path to incorporate into the Local Plans of Social Inclusion. This integral design will be complemented and reinforced by the cross-cutting practice and the network with the rest of actors and present actions in the territory. For that purpose it is necessary to have into account the different plans that are already running in the territory, to prepare the plan and the actions, trying to incorporate the worries and goals of the different plans. The aim is to coordinate, to collaborate and to share the group of actions developed in the territory addressed to the fight against the situations of social exclusion and the promotion of the inclusion.

In the different phases of design, elaboration, implementation and evaluation of the PLIS it is necessary to obtain the participation and presence of the different agents: civil services, entities of social initiative, private companies, citizens and persons in situation of social exclusion.

Next, the set of products and the timing for a Local Plan of Social Inclusion in its first years of development, are detailed.

10.1 Timing and products

In all the different stages (design, writing, implementation and evaluation) of the preparation of a Local Plan of Social Inclusion, it is necessary to obtain the participation and presence of all the agents present in the territory that work for weakening the factors of social exclusion and for the improvement of inclusion.

Six phases can be foreseen in the development of a Local Plan of Social Inclusion, with some products and clearly determinate moments:

- a) Diagnosis of the exclusion and social inclusion at the town.
- b) Writing of the Plan.
- c) Approval of the Plan from the municipal government
- d) Implementation of the Plan.
- e) Evaluation of the Plan.
- f) Update of the Plan.

In a cross-cutting way to these six phases, we find also all a series of goals that have to be contemplated along all the process of design and development of the Local Plans of Social Inclusion.

10.1.1 Social Exclusion Conclusions at the city

A key moment of all the process that entails a PLIS is the preparation of a Diagnosis of the exclusion and social inclusion in the town that incorporates the tools of analysis and actions:

1. Map of vulnerability: map that picks up all factors, areas and dimensions of the social exclusion, as well as **its** interrelation and effects.
2. Map of resources: inventory that picks up all actions, services and resources that are given in the town about the social inclusion.
3. Sociogramme of actors: graphic map that shows all the actors implicated in the inclusive task of the town, as well as the type and intensity of its relations.

A good diagnosis of the social exclusion in the town will allow the identification of the main factors generative of exclusion, to detect which part of the population is in a situation of a bigger vulnerability and risk and it will allow, equally, to observe and to analyze which are the different actions that, from the public area to the private one, are being carried out to promote one better social inclusion. It should also take into account the inclusive strategy at institutional level that it is being carried out in the local area; which is **its** philosophy, method of action and bet until the moment. As a resume which is the way to work to avoid exclusion and to improve the social inclusion in the territory.

This is why, it is considered convenient to create this tool during the first year of work of the programme in order to know the social situation. This instrument has to allow, also to incorporate the participation of representatives of the different agents, internal as well as external to the local entity., they are key factors to achieve one better social inclusion in the territory, without forgetting however, to include population in risk and in situations of exclusion to obtain a richer and legitimated diagnosis.

In the same way, the fact that the diagnosis of the social exclusion is carried out from the Technical Local Office local (OTL) has to make possible to have more control about the information to be picked up and it constitutes a good choice to start a process in parallel in the organisation itself that has as an aim to promote a sensitization and visibility about the Local Plan of Inclusion Social in the rest of departments and areas. In this way a network will lead to the development of internal structures that facilitate the cross-cutting work. To carry out the diagnosis from the same OTL means, moreover, a much deeper knowledge by the technicians of the town and the factors and dynamics of exclusion present in it. In this sense, the **first year** of a Local Plan of Social Inclusion should allow to promote a process of interdepartmental work that had as a purpose to automate the reception of necessary information of each of the municipal areas to nourish the diagnosis of the social exclusion. Therefore, it is a stage of creation of internal channels of communication that have to facilitate, at the same time, processes and tools to manage the knowledge and data bases so that the information that is generated about the social exclusion in the town can be picked up, updated and analyzed.

The outsourcing of the diagnosis entails a loss of all these mentioned opportunities before, but also entails some benefit about the option of internal carrying out, as **it** can be more impartiality and external vision and, in this sense, **it** leads to a more legitimated diagnosis. It is possible to hire to determinate professionals in order to that they work in some stages or concrete tasks to free the technicians from work; even though if they have an exclusive dedication to the Plan of

Inclusion it should be possible to carry on these tools in an autonomous way. Anyway, if it is decided to opt for this option, the implication of the OTL in the process has to be active.

In this process of diagnosis the importance of the map of resources and of the sociogramme is key in order to optimize all resources that are already present in the territory; to be coordinated with other running plans, to work in a cross-cutting way and to create a net with the agents of the town who are already present there. All those spaces that already are created, like the participation councils, will have also to be considered, in order to avoid to duplicate tasks and to overload to the participants.

The results of the work carried out by the municipal technicians of Social Inclusion, under the technical supervision of the IGOP, in the Permanent Seminar of Training and Network during year 2009, have settled a shared and comparable list of social exclusion indicators for all OTL. All diagnoses have to incorporate these indicators that, moreover, have to be updated in a periodic way. The towns that have already carried out its diagnosis will have to pick up also these indicators. In the section of evaluation we will speak again about this indicators list.

10.1.2 Local Plan of Social Inclusion document (PLIS)

The analysis of the PLIS developed until the moment indicates us that along **the second year** of validity of the works for the elaboration of this Plan, the main goals to attain is the Writing of the own plan. It is worth to say that the key factor that has to guarantee the consensus and the shared achievement of goals is the participative process that the OTL has to carry out to write plan with the internal agents (areas and departments implicated in the diagnosis) as well as with the external agents and persons in situations of vulnerability. In this way the whole agents participate in the design and writing out of the plan which legitimates and reinforces the plan, and it becomes own for each of the agents. For this purpose it is necessary to have two types of agreement:

- Political agreement: it has to be an agreement in that all the political forces of the town come together to get that the inclusive task becomes a project of city and acquires continuity in the time with independence of political factors.
- Civil service agreement: internal agreement that has to imply and to involve all areas and departments of the consistory, as well as other external agents who can share the inclusive task.

10.1.3 Approval of the Local Plan of Social Inclusion by the city council

The approval of the PLIS by the **municipal government**, generally in the **third year** from its origins, starts off the third stage of development of the Plan that is already oriented to its implementation. In this phase it is a key factor to have achieved a direct implication of mayor's office since the first year, leading and giving support to the plan. Nevertheless, its final approval requires participation and deliberation by the whole of political members of the consistory. It is necessary that the plan is designed and concerted by all the municipal groups, in this way the commitment, implication and collaboration becomes stronger.

During these three first years of life of the PLIS there are several goals which hardly can be limited to a moment or a year in particular and which have to be a constant in the first triennium, for example: the creation of a net of internal and external agents; the visibility and awareness of the plan in the municipal structure, the impulse of the cross-cutting work and the coordination; and the update of datum and evaluation of the process.

10.1.4 Implementation of the Local Plan of Social Inclusion

The implementation of each Plan will be conditioned by the nature of each one of them.

However, there are elements in common that have to be given in all towns: it is necessary that the created net in the former processes works in order to coordinate all the actions of the Plan and to avoid duplicities or dysfunctions and stimulate the network; that the consistory works truly in a cross-cutting way and that all departments coordinate its actions with an inclusive point of view and collaborate in the development of the Plan giving information to all the agents implicated to legitimate and visualise the actions and effects of the Plan.

In this phase it is important to profit those actions that are already being carried out from other plans to articulate the PLIS taking them into account and to avoid duplications.

10.1.5 Local Plan of Social Inclusion evaluation

It is considered convenient that **five years** after the deployment of the PLIS, an evaluation process of the impact of the plan and of its actions is started off, in this way one will be able to check if the goals and the measures included in the Plan were suitable and start to have results. It is necessary to analyze it in a critical way, with special attention in those actions that have not worked and in those factors of exclusion that have not been minimized.

At the end of the third year there is also the need of carrying out a process evaluation that is, how the things are being made, how the changes proposed in the way to work (mainstreaming, network, participation, etc) are modifying the dynamics of the services.

10.1.6 Update of the Local Plan of Social Inclusion

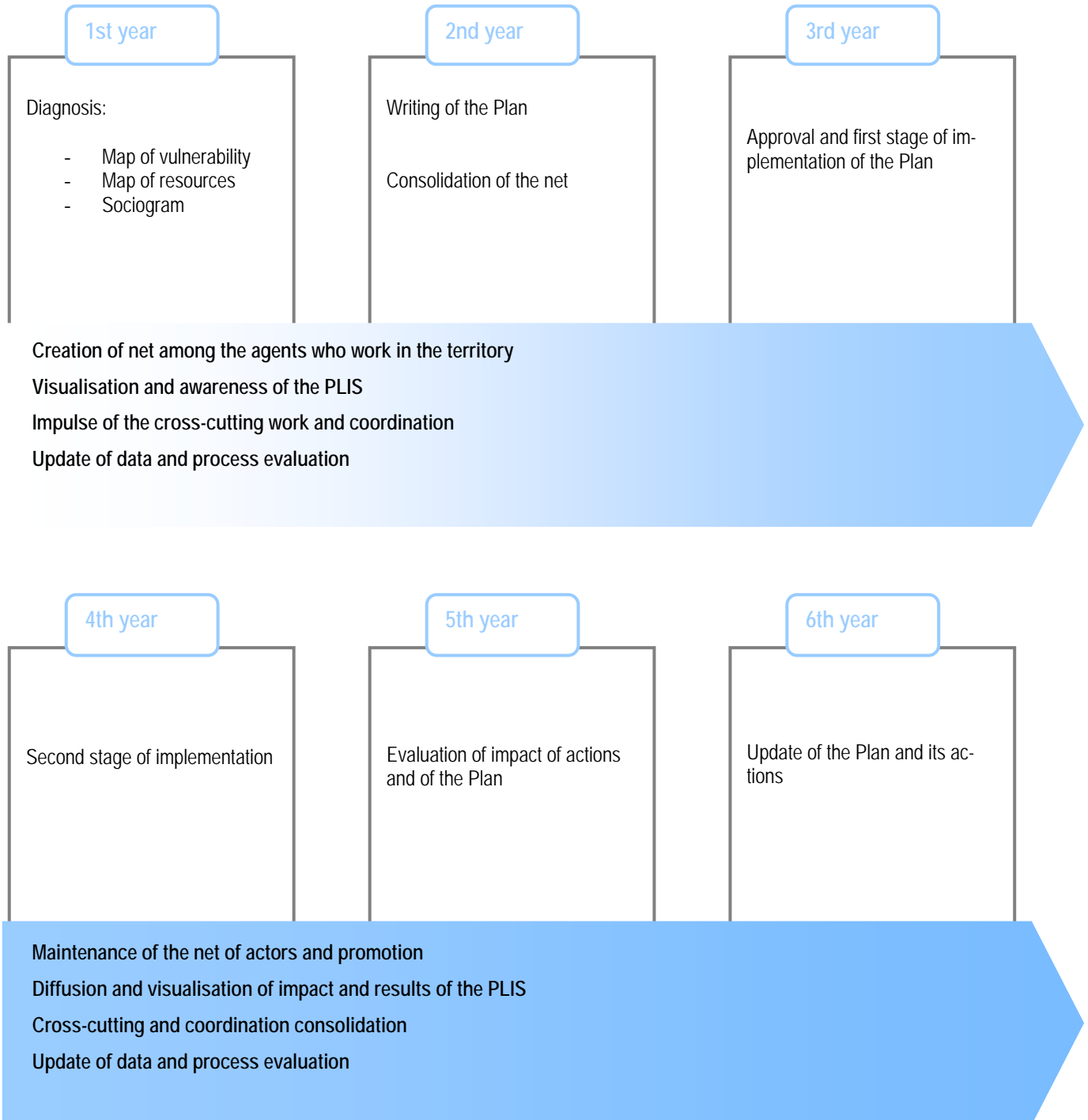
The deployment of a PLIS is an open and flexible process that, initially, does not have a determine timing. Probably, the **sixth year** of deployment of the Plan is a good moment, once analyzed the evaluation of impact, to update the Plan and its actions. This stage needs an update of the diagnosis which allows orientating adaptation of the measures to the current needs and risks of exclusion.

In the same way than during the first three years a series of goals that guided the works in this period were identified, with the implementation of the Plan there is a real set of shared goals as: the maintenance of the net of actors and its empowerment promotion; the diffusion and visualisation of the impacts and results; the consolidation of the coordination and the cross-cutting work; and the update of data and the evaluation of the process.

Graphic 2. Proposal of development of a PLIS.

Source: Own elaboration

11.



Actions

The main actions taken as part of a Local Plan for Social Inclusion (PLIS) were set out in the Plan for Social Inclusion and Cohesion in Catalonia 2006-09. They are as follows:

- The coordination of a local strategy for social inclusion to guide and articulate local practice and policies which can have a sector and/or global impact on the causes and risk factors making for social exclusion, whether they be economic, employment, educational, social health, residential or of any other kind.
- The cross-cutting design and interdepartmental planning of municipal actions and projects delivering a comprehensive response to situations of social vulnerability and inequality existing in the territory.
- The territorial articulation and community structuring of action for social inclusion and the establishment of mechanisms for participation and interlocutory forums with all agents in the territory that promote shared responsibility and ensure the greatest possible social dialogue and plurality in the design, implementation and evaluation of local practice and policies for social inclusion.
- The implementation and development of measures to improve public services in terms of access to resources and services, intervention procedures and protocols and mechanisms for coordination between departments and different levels of government.
- The production and transfer of information and knowledge about the risks of social exclusion and the resources for social inclusion available in the territory.
- Innovation in intervention purpose and/or procedure and the progressive implementation of social inclusion best practice in mapping out and putting in place projects and managing municipal services.

In order to further the general and specific goals of each Local Plan for Social Inclusion, the Technical Offices will devise and implement relevant activities. Deciding on these activities is the responsibility of each PLIS based on the general goals laid down by the Plan for Social Inclusion and Cohesion of Catalonia and the strategic courses of action set out by the Steering Committees for each territory.

12. Assessment

As noted in the methodology section, Local Plans for Social Inclusion need to include assessment and monitoring measures to evaluate how the project is being implemented and its outcomes. This involves process and impact assessment.

12.1 Process assessment

It is important to evaluate the Plan based on its original design and see if there have been any changes or amendments and the reasons why they have been made.

At this stage it is also important to evaluate the administration concerned and the relationships between all the agents involved in the PLIS. Here there is a need to review the initial sociogramme and see if there have been changes, and of what kind, in relationships between all the agents taking part.

All knowledge acquired from this process should then be applied at the implementation stage.

At the 2009 Permanent Seminar on Training and Networking a working group was also set up focussing on best practice. The concepts of cross-cutting, comprehensiveness, participation, networking and strategic planning were all defined. At the same time a series of indicators were established to assess local government practice based on these concepts. At this assessment stage these indicators and the definitions established will be used to assess practice and processes and implement projects that take into account this best practice. The annex to this document contains the definitions and assessment indicators for these best practice principles.

12.2 Impact assessment

Once the PLIS has been implemented, it then has to be seen how it is affecting the society of the town concerned. The way in which actions under the Plan are changing the daily reality of the target population is analyzed at this stage.

It is important at this point to consider the operational objectives mapped out in the beginning and the diagnosis performed. It should be stressed, however, that actions under the Plan cannot be addressed to reducing solely the Plan's indicators or to meeting only its goals. Both indicators and goals should be used only as reference points to guide the activities of the PLIS, and activities to implement the latter cannot be based on the diagnosis or operational goals.

Another area to consider is the changes produced in the town's administrative structures. When carrying out the impact assessment it will also be necessary to look at how the implementation of the Plan has changed municipal structures.

It is at this point that the set of indicators developed in a participatory way and agreed by all the Local Technical Offices will be reused to make comparisons between towns and which have been presented above. These selected indicators are representative of each of the areas of exclusion and are used to quantitatively assess the impact of actions carried out by the PLIS. These indicators meet the requirement of being accessible and comparable for all towns, and therefore apart from sharing information and experiences they will also make it possible to carry out a kind of 'peer assessment' – similar to the Open Method of Coordination – by making change in these indicators in each town both public and comparable.

12.3 Assessment agents

Local Plans for Social Inclusion will have two types of assessment:

- a. Internal Assessment: this type of assessment is carried out by the PLIS Executive Committee. The advantages of an internal assessment are the high degree of knowledge of the

process and the speed and flexibility with which changes can be made. The very diversity of the membership of the Executive Committee will facilitate the gathering of information in order to draw up the assessment.

- b. External Assessment: in this case it is an external body which assesses the PLIS. The main difficulty or shortcoming of such assessments is the lack of knowledge of processes and of the information being dealt with. The positive side is the fact of having an expert and independent vision which gives legitimacy to the assessment report. Territorial agents are responsible for performing this external assessment, as well as mentoring the various plans implemented in their area. They will have a monitoring tool that helps them to do this. The fact of being on the PLIS Executive Committee gives territorial agents greater understanding that avoids the typical lack of connection with the object to be assessed.

Plan assessment agents will be all those who are part of the Executive Committee. As will be seen in greater detail in the following point, this body has representatives of the various agents present in the territory involved in the struggle against social exclusion as well as individual citizens who are in this situation. This will enable a participatory assessment that affords greater richness and legitimacy to both the assessment and the process, making it more transparent.

13. Organisational Structure

As for the organisational and structural needs that a Local Plan for Social Inclusion has to include for its development, we will take as a reference the document *Methodological Guide*⁵ in which a proposed organisational structure for the PLIS was presented, including updating and amending the organisation and functions initially put forward. This structure is organisational and operational guidance for a Local Plan for Social Inclusion, and it should be borne in mind that each Technical Office has to assess whether the features of its plan allow for this type of structure or if they should choose another type of model. As was noted at the start of this paper, many Plans at the time of reading this material already have their own operational structure, and the one set out below is intended to guide and add to the existing ones without seeking to replace them.

The organisational structure of the PLIS will have three main levels and other second-order units to facilitate the work and dynamics of the philosophy, functioning and activities of the plans. Thus the top levels in the organisation chart for a plan are the Steering Committee, the Technical Committee and the Technical Office. As platforms and mechanisms to facilitate the work of the plan, units and working groups will be set up bearing in mind the participation of the different agents working for social inclusion in the territory.

⁵ Barcelona Provincial Council. *Plans locals d'inclusió social. Guia metodològica*. Barcelona Provincial Council: Barcelona, 2008.

13.1 The Steering Committee

This is the body responsible for leading and promoting the plan and giving it political and institutional legitimacy to facilitate coordination and cross-cutting work between different local government departments and units, as well as with other levels of government which operate in the same territory. Thus its functions include promoting and ensuring the comprehensiveness of the different actions in the plan, laying down its major strategies and ensuring good internal and external transmission of agreements and commitments.

STEERING COMMITTEE

Composition

- Mayor/County Council Chair
- Regional Services Directorate
- Political head of the unit
- Representatives of political parties
- Representatives of organisations
- Representatives from other levels of government

Functions

- Lead and drive the PLIS
- Afford political and institutional legitimacy
- Establish strategies
- Guarantee the transmission of agreements and commitments
- Ensure and promote comprehensiveness

To strengthen the leadership and driving force function to be fulfilled by the Steering Committee, it will consist of the Mayor or Chair of the County Council, the Social Action and Citizenship Regional Services Directorate, the political head of the unit in which the plan is located and representatives of political parties, social organisations and other levels of government.

13.2 The Executive Committee

There will also be an Executive Committee tasked with developing and implementing the strategies set by the Plan's Steering Committee. The main functions of this Committee consist of driving the plan operationally through the design, implementation and assessment of the plan, coordinating and planning actions and mentoring and monitoring the PLIS. In terms of this Committee's monitoring and assessment role, it has to carry out both process and impact assessments of the various actions included in the plan and the PLIS.

EXECUTIVE COMMITTEE

Composition

- Technical head of the unit
- Regional officer
- Technical Office head
- Managers from other units and departments
- Managers from organisations and companies
- Individual citizens at risk/in situations of social exclusion

Functions

- Operational impetus for the PLIS
- Design, implementation and assessment
- Coordination and planning of actions
- Mentoring and monitoring

The members of the Executive Committee will be the technical head of the unit in which the plan is located, the Regional Services officer for the area, the head of the PLIS Technical Office, managers from the various units and departments involved in the development of the plan and its implementation, managers from organisations and companies that deliver services in the field of social inclusion and exclusion, and individual citizens who are at risk/in situations of social exclusion.

13.3 The Local Plan for Social Inclusion Technical Office

The Plan Technical Office is responsible for implementing daily operations under the Plan, including both drawing it up using strategies set out by the Steering Committee and putting it into practice through activities laid down by the Executive Committee. Its functions include the coordination of the various working groups and the establishment of a network. Moreover, it is also tasked with drawing up performance reports and proposals to amend the action plan as it has privileged first-hand knowledge of its development. It is recommended that the diagnosis should be carried out by the Technical Office, or if outsourced that it should be subject to continuous supervision. Finally, the Technical Office maps out communication and awareness raising strategies for the plan and its actions that encompass the entire population.

TECHNICAL OFFICE

Composition

- Senior officer
- Intermediate officer
- Other attached staff

Functions

- Drawing up the diagnosis
- Setting up the network
- Drawing up performance reports
- Drawing up proposals for amending the action plan
- Coordination of working groups
- Raising awareness and providing information

The Technical Office will be made up of a senior officer, the technical head of the office, and an intermediate officer as the minimum personnel required for the smooth development of the plan. Having more staff will speed up the work to be done, while at the same time increasing the visibility of and reinforcing the commitment made by the town council or County Council.

All the platforms, units and working groups designed to build the plan and implement its actions, together with processes for raising awareness and publicizing and providing information about social inclusion and the PLIS, will report to the Technical Office.

Alongside the functions already mentioned, the Technical Office should also drive pilot projects designed to promote cross-cutting networking inside the town council. Thus the Offices will not be restricted to carrying out tasks related to the Plan, but will also be an example of the dynamics of innovative and cooperative work that can be taken on board by the rest of the town council and other authorities to achieve a more inclusive, more participatory and more democratic municipality.

14. Resources

The Programme for the Development of Local Plans for Social Inclusion implemented by the Ministry of Social Action and Citizenship provides local authorities which run core social services with financial and technical assistance resources.⁶

Financial assistance consists of funding to carry out the following actions:

- Setting up a Local Plan Technical Office and staffing it.
- Implementing participatory processes for designing the plan and driving forums for coordination and monitoring.
- Holding meetings for discussion and dialogue with the public.

⁶ Financial and technical assistance contained in the 2009 Information Pack, an internal document of the *Programme for the Development of Local Plans for Social Inclusion*.

- Carrying out studies, analyses, diagnoses and other knowledge products concerning social exclusion and inclusion.
- Conducting training and exchanges of experiences in the field of social exclusion and inclusion.

As part of its technical assistance,⁷ the Ministry of Social Action and Citizenship through ICASS provides the following addressed to Social Inclusion Technical Offices:

- Advice and technical support for town councils and professionals working for government concerning access to financial and technical resources to carry out Local Plans for Social Inclusion, programmes, projects and miscellaneous activities in the field of combating social exclusion.
- Running specialised training for Local Plans for Social Inclusion officers.
- Holding seminars, conferences or other similar events for the exchange of information and knowledge about practice and policies for social inclusion across Catalonia.
- Producing and transferring studies and research into social inclusion and combating exclusion that take into account the specificities of the phenomenon of exclusion in each territory and include, whenever technically possible, the production of indicators that can be disaggregated by territory.

The core social services units concerned have to apply for these financial and technical resources for Local Plans for Social Inclusion using the relevant application form. The validity of this financial and technical assistance is reflected in the programme contract document signed by each local authority with the Ministry of Social Action and Citizenship.

The financial contributions are based on the scope of each project and the needs stated on the application form. These contributions cannot under any circumstances be greater than the maximum annual amount set by the Ministry of Social Action and Citizenship. Specifically the various expenditure items for 2009 were:

⁷ There is a cooperation agreement in place for Technical Offices in Barcelona province with Barcelona Provincial Council in the fields of education, participatory processes and territorial analysis.

Table 2. Expenditure items in Local Plans for Social Inclusion

Expenditure item
Technical Office (hiring senior officer)
Technical Office (hiring management officer)
Implementing participatory processes for designing the plan and driving forums for coordination and monitoring
Organising meetings for discussion and dialogue with the public
Carrying out studies, analyses, diagnoses and other knowledge products concerning inclusion (includes publishing)
Conducting training and exchanges of experiences in the field of social inclusion

The resources available to Local Social Inclusion Technical Offices are not restricted to those provided by the Ministry of Social Action and Citizenship, as these can be supplemented by infrastructure and human resources contributed to the plan by local councils. Moreover, in the same way that Barcelona Provincial Council partners some plan activities in Barcelona province, the involvement of other levels of government in providing resources to PLIS is recommended.

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