



Metropolitan Regions  
as Governance Systems

# Metropolitan Governance: A Framework for Capacity Assessment

Guidance Notes and Toolbox

## Imprint

### Published by

Deutsche Gesellschaft für Internationale Zusammenarbeit (GIZ) GmbH

### In collaboration with

United Nations Human Settlements Programme (UN-Habitat)

### GIZ registered offices

Bonn and Eschborn, Germany  
Sector Project “Sustainable Development of  
Metropolitan Regions”  
Dag-Hammarskjöld-Weg 1-5  
65760 Eschborn, Germany  
Tel. +49 (0) 6196 79 – 0  
metropolregionen@giz.de  
www.giz.de

### United Nations Human Settlements Programme

Local Government and Decentralization Unit  
Urban Legislation, Land and Governance Branch  
P.O. Box 30030, 00100  
Nairobi, GPO Kenya  
Tel: +254 (0) 20 7623102 (Central Office)  
habitat.governance@unhabitat.org  
www.unhabitat.org

### Author

Jenny Pearson

### Editing and Review

Verena Goranko (GIZ), Fabienne Perucca (UN-Habitat)  
Jan Fransen (IHS), Toni Kaatz-Dubberke (GIZ), Barbara Scholz (GIZ)

### Design and layout

Inga Hofmann, Svenja Siemonsen, Nick Nowara (GIZ)

### Photo credits

Cover: © GIZ

### As at

Revised version, June 2018

### Disclaimer

The designations employed and the presentation of the material in this publication do not imply the expression of any opinion whatsoever on the part of the Secretariat of the United Nations concerning the legal status of any country, territory, city or area or of its authorities, or concerning the delimitation of its frontiers or boundaries. Views expressed by authors in this publication do not necessarily reflect those of the United Nations, Human Settlements Programme, the United Nations, or its Member States. Excerpts may be reproduced without authorisation, on condition that the source is indicated.

GIZ is responsible for the content of this publication.

### On Behalf of

German Federal Ministry for Economic Cooperation and Development (BMZ)

# Preface

Urbanisation is a megatrend, which has a formative and significant effect on the world economy and society, on people's quality of life, on the future of democracy, as well as on global consumption of resources and energy – and thus on the future of Earth as a whole. Expectedly, up to 70% of the global population will live in cities by 2050. Future urban growth will almost exclusively take place in developing countries, especially medium-size cities will increase rapidly. This growth comes with a host of challenges and opportunities, like considering climate change in urban expansion and construction, managing resources sustainably and ensuring food security for a growing population, which converts former agricultural land into urban space, and ensuring decent job opportunities against the backdrop of increasing digitalisation and automatisisation.

Spatial and functional interrelations between cities, settlements and their surrounding areas are increasing. Integrated territorial development approaches contribute to a paradigm shift away from the traditional dichotomy between urban and rural development. The city-regional scale gains more and more relevance for integrated urban and territorial planning, financing, and implementation. The Agenda 2030 and the New Urban Agenda acknowledge these mutual dependencies and their reciprocity as key potentials for inclusive and sustainable development. Furthermore, they call for integration, cooperation, coordination and dialogue across levels of government and functional areas and relevant stakeholders.

The Sector Project “Sustainable Development of Metropolitan Regions”, implemented by the Deutsche Gesellschaft für Internationale Zusammenarbeit (GIZ) on behalf of the German Federal Ministry for Economic Cooperation and Development (BMZ), develops action-oriented advisory services on the role of metropolitan regions as drivers for sustainable development. This includes political advice, the development of new concepts, trainings and knowledge sharing on practices in cities and regions around the globe.

In its approach, the Sector Project focuses on several thematic areas to address the diverse social, economic and ecological challenges within urban agglomerations.

The focus areas are:

- Metropolitan Governance
- Integrated Territorial Development for Strengthening Urban-Rural Linkages – including City-Region Food Systems
- Urban Resource Management and Climate Change
- Digitalisation and Urban Development – Smart Cities
- Regional Economic Development and Innovative Business Regions

This *Framework for Metropolitan Governance Assessment – Guidance Notes and Toolbox* forms part of the publication series “Sustainable Development of Metropolitan Regions” that gives conceptual guidance and recommendations for hands-on approaches for development organizations as well as partner countries in the field of sustainable development of metropolitan regions. Therefore, we encourage a critical adjustment of the toolbox to the specific challenges related to local urban transformation processes by policy makers and practitioners as well as academia.

We encourage a critical and intensive discussion about the publication through policy makers, practitioners and academia. The publication series aims at promoting the local implementation of the Sustainable Development Goals (SDG), the Paris Climate Agreement and the New Urban Agenda (NUA).

Carmen Vogt

Head of Programme

“Sustainable Development of Metropolitan Regions”

# Metropolitan Governance: A Framework for Capacity Assessment

Process Guidance and Toolbox

# Table of Contents

Executive Summary .....	1
<b>PART 1: INTRODUCTION .....</b>	<b>2</b>
1.1 Why metropolitan governance? .....	2
1.2 What are metropolitan governance arrangements? .....	3
1.3 What is metropolitan capacity? .....	4
1.4 What is MetroCAM? .....	8
<b>PART 2: PROCESS GUIDANCE .....</b>	<b>9</b>
2.1 What is an appropriate process to assess metropolitan capacity? .....	9
2.2 Start-up steps and planning considerations .....	10
Phase 1 - Preparation: identify key stakeholders .....	10
Phase 2 - Project identification: setting a mandate and assessment team .....	10
The assessment team and its role .....	11
Phase 3 - Pre-feasibility: setting a capacity assessment framework .....	12
Purpose, focus and scope of the assessment .....	13
Decisions about data collection and analysis .....	15
Resource and time considerations .....	15
2.3 Assessment and analysis .....	18
Phase 4 Capacity assessment: data collection .....	18
Phase 5 Approval: agree on a capacity development strategy .....	19
<b>PART 3: TOOLBOX TO SUPPORT THE ASSESSMENT PROCESS .....</b>	<b>20</b>
3.1 Overview of tools to support the assessment process .....	20
3.2 Tools supporting the start up .....	21
Tool 1: Problem analysis .....	21
Tool 2: Mind Map .....	22
Tool 3: SMART objectives .....	24
3.3 Tools to gather facts and figures of the metropolitan area .....	26
Tool 4: Core Urban Data Guidance Sheet .....	27
Tool 5: Metropolitan Financial Arrangements .....	33
Tool 6: Responsibilities and Functions at City Level .....	36
Tool 7: Self-Evaluation of Cooperation Needs .....	40
3.4 Tools to engage with and analyse stakeholders .....	43
Tool 8: Stakeholder Mapping and Analysis .....	43
Tool 9: Force Field Analysis .....	48
Tool 10: Options for Stakeholder Consultations .....	49
Tool 11: Guiding Interview Questions .....	52
Tool 12: Workshop Design for Interactive Learning .....	53
3.5 Tools for analysis and conclusions .....	56
Tool 13: Analysis and Identification of Windows of Opportunity .....	56
Tool 14: Format of a capacity development strategy .....	59
<b>PART 4: ANNEX .....</b>	<b>63</b>
Annex I: Selection of Workshop Elements .....	63
Annex II: Links to other resources for capacity development models .....	66
Annex III: Institutional Arrangements of Metropolitan Regions .....	68
Typology of Institutional Arrangements .....	68
Assessment of the Institutional Arrangements .....	71

## List of Figures

1.	Levels of Capacity Development	5
2.	Overview of the MetroCAM	8
3.	Project cycle	9
4.	The Tools Grouped by Primary Purpose	21
5.	Example of a problem tree	22
6.	Sample Mind Map	25
7.	Basic Elements of a Stakeholder Map	46
8.	Map of Actors	48
9.	Example of a Force Field Analysis	50
10.	Example of a Map Produced during a MetroCAM Workshop	66

## List of Tables

1.	Efficiency gains through a metropolitan approach - For which sector?	03
2.	Indicators of Soft and Technical Capacity	04
3.	Overview of Resource and Time Considerations for Activities	16
4.	Assessing objectives based on criteria	27
5.	Core Urban Data Guidance Sheet	30
6.	Guide for Classification of Metropolitan Governance Arrangements	34
7.	Budget Comparison	37
8.	Division of Service Provision at City Level	39
9.	Current Coordination	43
10.	Identification of the capacity gap	61
11.	Outputs to be achieved	62
12.	Activities	63
13.	Metropolitan Governance Arrangements with City example	71
14.	Advantages and Disadvantages of Metropolitan Governance Arrangements	72

## List of Abbreviations

<b>GIZ</b>	Deutsche Gesellschaft für Internationale Zusammenarbeit GmbH
<b>MetroCAM</b>	Metropolitan Capacity Assessment Methodology
<b>UN-HABITAT</b>	United Nations Human Settlements Programme



# Executive Summary

The Metropolitan Capacity Assessment Methodology (MetroCAM) presented here has been developed to offer a set of tools for actors in metropolitan regions who want to initiate change, and for the agencies planning to support them do so. It is a joint contribution by GIZ and UN-Habitat to implement the international development agendas, such as the Urban Sustainable Development Goal (SDG 11 “Make cities and human settlements inclusive, safe, resilient and sustainable”) as well as the New Urban Agenda approved in 2016, and bring them to the metropolitan scale.

It is a **generic methodology** that provides guidance about what needs to be covered when assessing the governance capacity of a metropolitan region (see chapter 1.3). Starting point is a particular need or challenge (e.g. mobility, resilience, social inclusion) that needs cooperative governance mechanisms in order to be addressed effectively. Existing capacity, future needs, and potential trigger points are identified and analysed to deal with the specific metropolitan challenge. The methodology also offers ideas, tools and guidance about how to conduct the assessment process, through steps such as stakeholder mapping, gathering core data, assessing financial and institutional arrangements, conducting consultative workshops, and so on.

It aims to show options and incentives for municipalities **to cooperate beyond administrative boundaries**, make use of synergies and deliver equitable and affordable basic services for all. Based on the **assessment of existing capacities**, new governance arrangements can be identified and the ways to develop them. **The result of MetroCAM is a capacity development strategy and a consensus to its implementation.** Thus, the whole assessment process is a way to foster dialogue and get political buy-in to initiate or deepen a reform. The **modular methodology** can be adapted to diverse local contexts and specific sectoral challenges and is directed to urban practitioners, local government representatives, researchers or development organizations.

The methodology aims at enabling and guiding metropolitan regions to **jointly approach common challenges across municipalities** like resilient urban planning or urban mobility, and helps to identify solutions and establish metropolitan initiatives.

**Part 1** gives an introduction on the need of metropolitan governance and the dimensions of metropolitan governance capacity. **Part 2** provides guidance and a structure on how the assessment process should look like.

**Part 3** is a selection of useful tools that can be used to support the process and conduct the relevant activity steps. The ultimate aim of the MetroCAM is to lead to an informative analysis of key issues, capacities and needs, that in turn result in a capacity development strategy for the identified common challenge that would contribute to solving problems, creating innovations, or improving existing services and conditions. In the **Annex** links to more resources are provided as well as an overview on metropolitan arrangements and entry points for metropolitan action.

# PART 1: INTRODUCTION

## 1.1 Why metropolitan governance?

Against the background of increasing speed and scale of urbanization around the world, the face of cities is changing, particularly in developing countries. Cities are becoming spatially, functionally and economically interdependent with their surrounding areas – be it neighbouring cities or the peri-urban and rural hinterland - constituting metropolitan regions. The need for holistic approaches to govern these urban agglomerations becomes ever more pressing. Local authorities, planners, decision makers as well as the international development community consequently need to look beyond traditional administrative and jurisdictional boundaries. International development agendas like the Agenda 2030 for Sustainable Development, the Paris Climate Agreement and the New Urban Agenda have thus recognised the need to overcome the traditional rural-urban dichotomy. This is why there is now an increasing focus on metropolitan governance as an essential mechanism for cooperation beyond city boundaries, achieving efficiency gains for cost effectiveness, improving delivery of basic services for all, ensuring equitable distribution of resources, promoting balanced territorial development, and many other needs. However, many metropolitan regions do not yet have a coordinating body to facilitate cooperation and collaboration between the municipalities within the region.

The shared interests of the multiple municipalities within a region have many different dimensions; economic, transport and mobility, management of natural resources, security, and social mobility to name only a few. The defining scope for metropolitan regions are their spatial dimensions based upon the functional relationships of resource cycles, regional economic systems and formal as well as informal settlement structures. The linkages of metropolitan regions extend beyond administrative and political boundaries and usually include a number of local governments, peri-urban and rural lands as well as neighbouring cities. The economic links between the core and the periphery may become so close that one part cannot succeed without the other, and thus they are perceived and behave as a single entity – although with lots of disparities. The component parts of metropolitan regions invariably share many similarities and yet all have their own unique features, needs and challenges<sup>1</sup>. As the population grows, different needs compete for scarce resources, borders merge or disappear, and the demands push existing systems to a breaking point. So, the need for holistic approaches to the region becomes ever more pressing.

This is why there is now an increasing focus on metropolitan governance as an essential mechanism for cooperation beyond city boundaries, achieving efficiency gains for cost effectiveness, improving delivery of basic services for all, ensuring equitable distribution of resources, promoting balanced territorial development, and many other needs.

预览已结束，完整报告链接和二维码如下：

[https://www.yunbaogao.cn/report/index/report?reportId=5\\_18473](https://www.yunbaogao.cn/report/index/report?reportId=5_18473)

