Metropolitan Regions as Governance Systems

Metropolitan Governance: A Framework for Capacity Assessment

Guidance Notes and Toolbox

Imprint

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 automatisation.

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).

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Metropolitan Governance: A Framework for Capacity Assessment

Process Guidance and Toolbox

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List of Abbreviations

GIZ — Deutsche Gesellschaft für Internationale Zusammenarbeit GmbH

MetroCAM — Metropolitan Capacity Assessment Methodology

UN-HABITAT — 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[1]. 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.

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