Metropolitan Regions as Governance Systems

Metropolitan Governance: A Framework for Capacity Assessment

Guidance Notes and Toolbox

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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).

Carmen Vogt
Head of Programme
"Sustainable Development of Metropolitan Regions"

Metropolitan Governance: A Framework for Capacity Assessment

Process Guidance and Toolbox

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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.

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.

[1]For a full discussion of a current understanding of the issues see *Unpacking Metropolitan Governance for Sustainable Development*(2015) by Mats Andersson for GIZ and UN Habitat available at http://star-www.giz.de/pub?r=38354

1.2 What are metropolitan governance arrangements?

Many metropolitan regions do not yet have a coordinating body to facilitate cooperation and collaboration between the municipalities within the region. Some may create ad hoc arrangements to solve particular problems, for example, solid waste management, and others may have entities established to manage a particular service for the whole region, such as public transport. But in general, particularly in developing countries, there are only a few entities with a clear mandate to take the lead on governance issues at the metropolitan level. Various options and examples of governance arrangements (from established authorities to informal cooperation) have been analysed in the in the joint publication by GIZ and UN-Habitat "*Unpacking Metropolitan Governance for Sustainable Development*" (2015). The study examines different forms of institutional governance structures at the metropolitan level and presents thematic entry points for governance reforms, as well as mechanisms and instruments for metropolitan management.

The following four types of institutional approaches have been applied in some cities though, albeit mostly in OECD countries to date (see Annex III .for more details and a reflection on the advantages and disadvantages of these "models"):

1. Inter-municipal Cooperation Mechanisms (e.g. council, committee, partnership, consortium)
   Examples: Paris, Milan, Ruhr (Germany); Greater Toronto, Brazil (consortiums)

2. Metropolitan Authorities (e.g. for transport and water sector or broad-based mandate)
   Examples: Vancouver; Manila; Delhi; and common in France and USA

3. Metropolitan or Regional Government (for selective functions or with authority over lower tier)
   Examples: Directly elected (e.g. Stuttgart, Germany; London, U.K.); appointed by a higher-tier government (e.g. Minneapolis-St. Paul, USA).

4. Consolidated Local Government (e.g. through amalgamation)
   Examples: Cape Town, Istanbul, Toronto

The arrangements are based on the challenge to be addressed, the existing capacities as well as the political will and the constitutional provisions for transfer of competences to a certain cooperation level.

Note also that not every sector requires a metropolitan approach. Some issues are probably better managed on the local level. See table 1 for an overview of efficiency gains through a metropolitan approach as compared to local level issues.

Table 1: Efficiency gains through a metropolitan approach – For which sector?

Metropolitan level	Local level
✓ Water supply system, Resource management	✓ Solid waste collection
✓ Solid waste disposal	✓ Street lighting/cleaning
✓ Public transport / mobility	✓ (Social) housing
✓ Fire service/ emergency services	✓ Land allocation/Titling/provision of tenure
✓ Regional land use planning/ ITD	✓ Welfare assistance
✓ Economic dev., tourism promotion	✓ Business licensing
✓ Climate change strategies/ Resilience	✓ Informal economy

Source: GIZ/UN-Habitat (2015): *Unpacking Metropolitan Governance for Sustainable Development.*

1.3 What is metropolitan capacity?

In the context of the MetroCAM, capacity is defined as:

The ability of key stakeholders to work together, utilising the agencies, systems and resources at their disposal, to ensure the delivery of equitable, sustainable and cost effective public goods and services for the citizens of the region.

This is a generic definition that should always be adapted to fit the place and theme of the assessment.

The working definition and the model of capacity to guide the assessment should be decided in earlier steps, but if necessary, it can be reviewed before starting the detailed assessment and analysis. With the definition to guide thinking, it is also helpful to keep in mind that both soft and hard capacities are relevant, and in most contexts the soft capacities will be more important especially when finding entry points into complex systems. This classification of capacities is important to consider for both the general background environment and the specific trigger point under consideration.

These lists give some guidance on what to think about in terms of different types of capacity.

Table 2: Indicators of Soft and Technical Capacity

Soft capacity indicators	**Technical (hard) capacity indicators**
• Stakeholder perceptions	• Permanence of institutional arrangements
• Quality of relationships	• Flexibility of institutional arrangements
• Political relationships	• Political systems
• Informal networks	• Mechanisms for participation
• Levels of trust	• Mechanisms for consultations
• Commitments to collaboration	• Mechanisms for collaboration
• Leadership	• Fiscal and financial arrangements
• Adaptive capacities (flexibility)	• Functional arrangements
• Ability to learn and innovate	• Quality and extent of service delivery
• Ability to resolve conflicts and solve problems	• Gender equities
• Change readiness	• Economies of scale
• Ability to manage change	• Spillovers

The remainder of this section gives a short introduction to the GIZ framework that can help to gain some clarity of understanding, or to organise information, during the process of assessing capacity in a metropolitan region. This framework can be used for any or all of the following purposes:

- A tool for discussions or exercises with respondents in interviews or workshops;
- A guide for organising the results of consultations;
- A map for seeing the links between capacity in different levels and parts of a system;
- A planning tool for identifying entry or trigger points to stimulate change.

Figure 1: Levels of Capacity Development

The levels of CD	Actors	Methodological approaches or activities
Individuals **Competence building** *Purpose:* promote personal, social, technical, managerial, methodological and leadership competences in order to develop comprehensive proactive capacities of individuals and net-working through joint learning processes	Individuals and communities of learning	Continuing professional development (CPD), training, coaching and knowl-edge-sharing: improving personal performance and the professional competence of experts, building the creative potential of manag-ers, leaders, change agents and individuals responsible for processes and developing the competence of trainers and consultants in their role as disseminators; networking of individuals for joint, sustainable learning, knowledge creation and dialogue
Organisations **Organisational development** *Purpose:* promote organisational learning and raise the performance and flexibility of an organisation.	Organisations and units of organisations of the state, civil society and the private sector	Change management regarding: agreement on vision and system boundaries, strategy development, strengthening of self-monitoring and learning by organisations, design and start-up of organisations, continu-ous development of organisations, strengthening of the management system including internal rules and structures, marketing, customer ori-entation, process optimisation (e.g. of the output processes), HRD sys-tems, project management, finances and other resources, knowledge management.
Society **Development of cooperation partnerships** *Purpose:* establish and develop cooperation between organisations to improve coordination and performance; establish and develop networks for knowledge sharing and co-creation	Institutions and organi-sations structured along geographical or thematic lines, networks	Relationships and cooperation systems: establishment, development and steering of cooperation systems and networks (e.g. municipal, public-pri-vate, sectoral, transnational, prod-uct-based) to utilise or capitalise on particular advantages of specific regions and locations and effects of scale, improvement of cooperation relationships to raise performance in the policy field; e.g. the development of sector-specific CPD/education capacities
Society **Development of enabling frameworks** *Purpose:* develop enabling legal, political and socioeconomic frameworks so that individuals, organisations and societies can develop and raise their performance capability	Institutions and organisa-tions (state, civil society, private sector) involved in developing and negotiating the rules of the frame-works concerned	Policy advice: culture of negotiation, opportunities for participation by institutions and organisations, incen-tives for agreements, agenda anal-yses, round tables and other forms of participation in the negotiation of rules, interests, basic rights, policies and their implementation, rule of law, checks and balances of power, transparency, mediation and process management of negotiations

Box 1: Applied Example of the Capacity Model

Using this to illustrate a vision of capacity for metropolitan mobility the components required for **empowerment**, i.e. an efficient, accessible and affordable public transport system might be.

Individual human resource development: planners, managers and public transport workers all have the knowledge and skills to provide, and continually improve, efficient and effective transport services;

Organisational development: relevant agencies all have in place the necessary systems, procedures and resources to manage and monitor a complex, multi-dimensional metropolitan transport system;

Cooperation and network development: public and private sector providers, and user groups collaborate and cooperate in both formal and informal ways to ensure the provision of services; and,

Development of enabling frameworks: all the necessary laws for the provision and financing of the transport system are in place and enacted.

This framework is useful where multiple actors need to work together in order to achieve a common goal, as it goes beyond individuals and organisations to stress the importance of network development, and support at the policy level. See **Annex II: Links to other resources for capacity development models** for a list of links to other capacity development models, from leading development agencies.

Metropolitan complexities

Any project working across administrative boundaries in metropolitan regions has to take the complexities of metropoles and their governance structures into account. Six aspects, which occur in all human societies but are significantly more outspoken in metropolitan regions should be taken into account when looking at metropolitan capacity assessment and development[2]:

Advantages of scale and scope

First, metropolitan regions have a high density of people, organisations, infrastructure and services within a small, confined space. Metropolitan interventions can therefore reach out to a large target group and thus maximise impact. They can benefit from advantages of scale, because the costs per person may be lower. In addition, they can make use of the relatively large amount of human, institutional and innovation capacity (advantages of scope). Scholars sometimes refer to these types of advantages of scale and scope as agglomeration economies or positive urban externalities.

Spillovers

Second, the dense network of people in metropolitan areas create relatively large spillover effects. Projects may have unintended effects, which may either be positive or negative. Capacity building itself aims for positive spillover effects, as trained people will hopefully benefit other initiatives as well. But initiatives may also have negative externalities. For instance, a project that widens roads within a metropolitan area may unintentionally lead to more pollution and traffic accidents.

[2] GIZ and UN Habitat (2015), Unpacking metropolitan governance for sustainable development, Eschborn: GIZ, lists ten specific governance challenges in metropoles.

Unpredictability

Third, the effects of interventions in metropoles are relatively unpredictable, because residents, organisations, firms and visitors constantly change cities in self-organised processes. For instance: one may construct a bicycle lane in order to reduce traffic congestion, but find that the lane is used by informal firms to sell instead.

Metropolitan capacity building programmes should aim for flexibility, so that municipal and metropolitan governments are able to quickly and flexibly respond to change.

Historical path dependence

Every human society has its own culture and ways of working. In some cultures, people may be scared to criticise public officials in public meetings, while this is acceptable in others. In some metropoles, cooperation may be easier to achieve than in others. The targets of municipal cooperation and the ways to build capacity are thus dependent on the history and (governance) culture of metropoles. Over time, these form in space- and path-dependent processes.

In order to understand what interventions might work, whose capacity to build and how, the history of metropoles and of their governance have to be appreciated.

Network governance and complex leadership

Metropoles cut across administrative boundaries and are administered by different layers of government. In addition, civil and private actors also influence and steer metropolitan development. Initiating projects in a metropolitan environment therefore demands setting up a form of network governance of all stakeholders involved. This may indirectly also support participation, empowerment and democracy. The networks can be set up in different ways, ranging from consultation to setting up consolidated local government structures. Many actors may take the lead in urban development, ranging from national government, to a firm or a local resident. The leadership of an initiative is also likely to change over time.

Capacity building initiatives should link to complex (dynamic) leadership by networking stakeholders and allowing for flexibility in decision-making processes over time.

Politicised environments

Any development project has to take into account that different people have different agenda's. This is more so in metropoles areas, because they are highly politicised. They house multiple layers of government with multiple departments with conflicting interests, are often the seat of political opposition, house critical NGO's/ CBO's and are vote banks for political parties. There are power asymmetries among these multiple actors, which are often hard to comprehend by outsiders.

Every intervention aiming for metropolitan capacity building is therefore likely to be contested and has to be placed within the political economy of the metropolitan region..

These metropolitan characteristics have a major impact on (capacity building of) metropolitan cooperation and the tools we use to develop capacity development strategies. The MetroCAM tools implicitly aim to capture the complexity of metropoles and to create commitment in a highly dynamic and politicised environment.

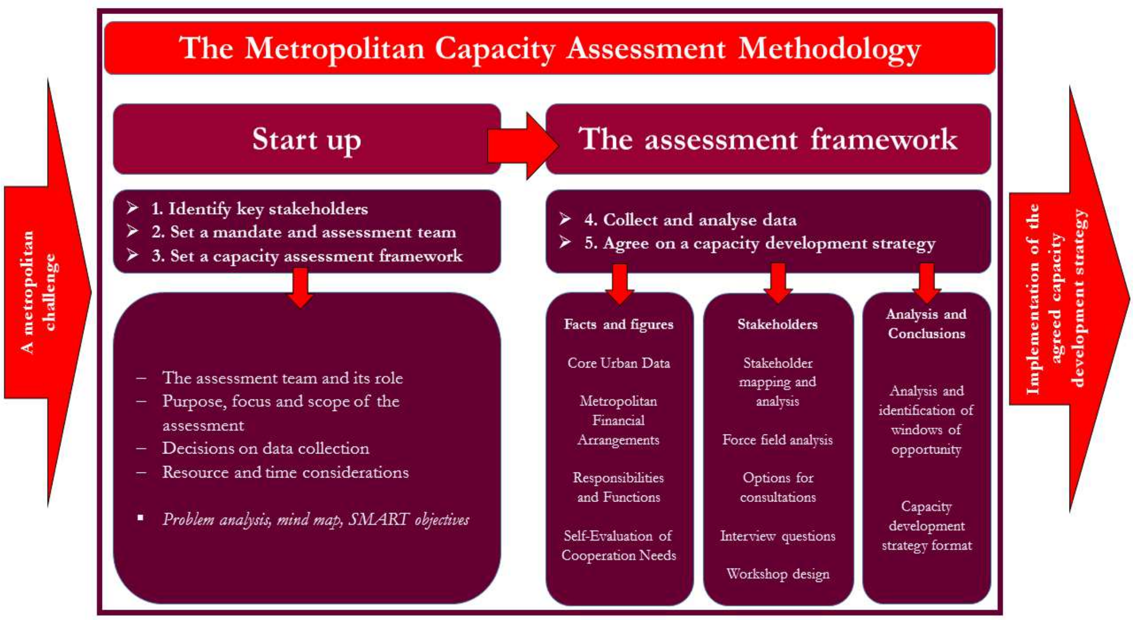
1.4 What is MetroCAM?

The MetroCAM presented here has been developed to offer a framework and accompanying tools for any actors in metropolitan regions who want to initiate change, and for the agencies planning to support them do so. It is a generic methodology that provides guidance about what needs to be covered when assessing governance capacity of a metropolitan region **on the base of a shared understanding of the specific challenge that requires cooperative governance approaches**. The approach stresses the need to start with understanding existing governance capacity as the first step and then to identify what additional capacity is needed to find a concrete solution with a particular challenge. 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. Therefore, MetroCAM provides the necessary base on which a strategy to address the metropolitan challenge can then be built.

Anyone intending to start an assessment process should use what is offered here as a starting point, making any necessary adaptations, i.e. priorities or skip tools, so that it is fully relevant to the particular context in which the assessment will be conducted. The scope and depth of the assessment will depend on resources available as well as the time frame and commitment of the different actors.

The diagram below gives a visual overview of the component parts of the assessment process and framework.

Figure 2: Overview of the MetroCAM



PART 2: PROCESS GUIDANCE

2.1 What is an appropriate process to assess metropolitan capacity?

A capacity assessment normally takes place in the first phases of a project cycle (see Figure 3 on how MetroCAM fits into a typical project cycle): the identification and preparation of a project, the pre-feasibility study; the appraisal and approval; and the agreement on the project proposal. This leads to five steps of capacity assessment:

1. Preparation: identifying key stakeholders
2. Start up: Project identification: setting a mandate and an assessment team
3. Pre-feasibility: setting a capacity assessment framework
4. Capacity appraisal: data collection
5. Approval and agreement: agree on a capacity development strategy

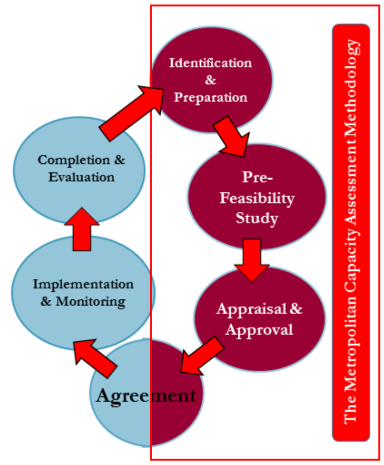


Figure 3: Project cycle

Three specifications should be considered before starting a capacity assessment process.

First, capacity assessment is often part-and-parcel of a 'larger' project aiming to solve a metropolitan challenge. One may for instance aim to build capacity in order to improve public transport within a metropolitan area. Before being able to assess the capacity needs, this 'bigger' project (in our example the improvement of public transport) should be agreed upon and demarcated. Such a project is likely to include more elements than capacity building, such as buying new buses. The first two phases of a capacity assessment however overlap with the identification of problems and objectives of such a 'larger' project. In phase 2, the capacity assessment pillar of a larger project can be separated and demarcated. It should off course be closely aligned to other project activities in phase 3 to 5 as well.

Second, the complexity of capacity assessments may differ widely. If one aims to assess the capacity of a small project in a small area with relatively limited actors whom have previous experience in collaborating, then the steps may be combined and the process may be a matter of a few days or weeks. On the other hand, in the case of complex and large projects, such as setting up a new metropolitan transport authority in a large area with limited experience in metropolitan governance arrangements, then one may want to split steps into sub-steps and take up to a few months or even a year.

A **third** and related concern is that metropolitan capacity assessments of complex projects can be tedious processes. It is therefore important to keep the stakeholders motivated by ensuring a transparent process, introducing quick-wins and using a range of different tools and methodologies.

2.2 Start-up steps and planning considerations

Phase 1 - Preparation: identify key stakeholders

Objective	**Identify the key stakeholders whom have a vested interest in an identified metropolitan initiative, which demands a capacity assessment.**
Pre-conditions	The start of MetroCAM is a rough but realistic idea for a metropolitan intervention, which demands capacity building. Note that the MetroCAM approach is especially relevant, if it requires capacity building across vertical or horizontal layers of government and/or other actors. It also assumes that the idea has to be implemented within a complex metropolitan environment (see section 1 above).
Who	This phase is conducted by the initiators of the intervention.
Activities	Map key stakeholders for the metropolitan initiative by either interviewing people or holding a workshop.
Tools to support the process	Tool 8 Stakeholder mapping. At this stage, the tool is used for a basic identification of stakeholders. Tool 9 A Force Field Analysis can assist in understanding who can drive and restrain a metropolitan initiative (annex 1)
Metropolitan concerns	Politicised environment: consider political sensitivities when deciding on key stakeholders and their willingness to collaborate Network governance: invite formal and informal stakeholders from the public, civil and/or private sector

Phase 2 - Project identification: setting a mandate and assessment team

Objective	**This phase aims to agree on a mandate for the metropolitan intervention and to identify a capacity assessment team and its role.**
Pre-conditions	Stakeholders have shown an interest to attend initial consultation meetings and/or workshops, without yet having to commit to the initiative.
Who	Initiators
Activities	Organise preparatory meeting(s) and/or workshop(s) with key stakeholders. The meetings/ workshop(s) aim to (1) define the problem statement and objective of the metropolitan initiative; (2) familiarise the stakeholders with the MetroCAM capacity assessment process; and (3) agree on an assessment team and its role. Note that the broader metropolitan intervention most probably needs more outputs and activities in addition to a capacity assessment as well.
Tools to support the process	Tool 1 A problem analysis can enrich the understanding of the urban challenge and its capacity needs. Tool 2 A mind-map can show how various capacities and challenges relate. This highlights spillover effects.

	Tool 4 Core Urban data Guidance Sheet may be used to identify a metropolitan issue, which demands capacity building. Tool 5 Metropolitan Financial Arrangement. The core question is how much funding is required for the metropolitan initiative. Tool 7 Self-evaluation of cooperation needs. This tool may be used to identify a metropolitan issue, which demands capacity building. Tool 10 and 11 can be used as methods to collect data. Tool 12 Workshop design for Interactive Learning. A workshop is a useful tool to bring stakeholders together in phase 2. Tool 13 Windows of Opportunity. At this stage, the tool may be used for an initial brainstorm on metropolitan interventions and their spill-overs, in order to be able to assess stakeholders
Metropolitan concerns	Politicised environment: consider political sensitivities when deciding who to involve Network governance: invite formal and informal stakeholders from the public, civil and/or private sector Spill-over effects: the initiative may have large spill-over effects Complex leadership: various actors may take the lead Historical path dependence: the willingness of stakeholders to collaborate is influenced by (their) history. This may impact on the (im)possibilities of the initiative and its capacity component Advantages of scale and scope: consider how to maximise the impact on the number of people and on agglomeration economies

The assessment team and its role

Any given assessment will be initiated because someone – individual or group – has identified a problem in an urban setting (e.g. mobility, resilience, social inclusion) and expressed the need for an assessment as the first step in creating solutions. Whoever made that decision will need to have in mind a broad goal statement of what they want to achieve with the assessment. This goal (e.g. stakeholder analysis, project proposal, a guide for organising the results of stakeholder consultation, planning tool for identifying entry or trigger points to stimulate change, political commitment, etc.) will then enable them to decide who to bring together to start creating the assessment team, i.e. the people who will be responsible for putting in place all that needs to happen, together with an allocation of resources to support the activities. Getting the work done is usually best achieved by creation of a small core team brought together specifically for the purpose. This ad hoc team will plan the process, access and manage resources for doing the work, keep the activities on track, and ensure that the information gained is analysed to produce helpful findings and useful recommendations for relevant stakeholders. The team will decide who else to involve in different steps of the process, and they may also, but not necessarily, lead some of the activities.

The membership of the team should be decided on a case by case basis. For efficiency, the core team should not be too large, but it should include some key people like:

- Representative/s from metropolitan or municipal authorities;
- Key experts on the thematic issues;
- Civil society;
- Academia;
- Private sector; and,
- Development organisations.

Many different perspectives are needed for developing a coherent analysis. Yet, including all or many different representations could complicate work in the initial stages, as people may have very different understandings of the problem definition. Choices should be made carefully at the start and it may be more effective to have a two-tier group. The first would be a core group of people from the relevant authorities who are able to lead and deliver on the overall process, possibly with consultant support to help them get the work done. The second group could be more consultative or advisory in nature, or perhaps tasked with specific elements of the process. This type of approach would potentially avoid the process being held up by conflicting perspectives and interests from different sectors.

The core group will probably work best if they decide on who is the team leader, and designate specific individuals to take the lead on different aspects of the work. For example, one could lead on gathering and analysing core data, another on stakeholder consultations, and so on. For a major assessment process, the team will undoubtedly need to delegate or contract different components of the work to others, depending on the resources available.

In the guidance that follows any references to the assessment team, refer to this core group of people, formed at the start, who have been given the responsibility for managing the process to a successful conclusion. The group may be expanded at any stage to include other key individuals, or representatives of important agencies who are committed to taking the process forward.

Once formed, the assessment team needs to make a plan for getting the assessment done, including an analysis of findings and making recommendations on how to proceed. They will need to decide on the first steps and who will be responsible for conducting them, with a proposed schedule for completion of the preliminary tasks.

Phase 3 - Pre-feasibility: setting a capacity assessment framework

Objective	**To prepare and agree on a capacity assessment framework with the following elements:** **1. Purpose, focus and scope of the assessment** **2. Frame of the assessment: identify what capacities to assess and what the output of the process should look like** **3. Specification of what data to collect and analyse** **4. Time table for the capacity assessment** **5. Updated and improved stakeholder list** **6. Checklist for reviewing plans** **7. Resource and time considerations**
Pre-conditions	Key stakeholders are committed to the initiative and its capacity building assessment.
Who	The assessment team
Activities	A capacity assessment framework can be prepared by the assessment team and discussed in a workshop with the key stakeholders or in a series of meetings.
Tools to support the process	Tool 1 Problem analysis Tool 2 Mind map Tool 3 SMART objectives Tool 10 Options for stakeholder consultation Tool 11 Guiding interview questions Tool 12 Workshop design for interactive learning
Metropolitan concerns	See phase 1 in order to agree on who to consult.

	Spillover effects: consider any negative and positive spillover that an intervention may have; Unpredictability: assess risks; consider how other stakeholders may make (mis)use of the intervention.

Purpose, focus and scope of the assessment

Capacity is always context specific, so any activity to assess current capacity or future needs should always start with a definition of capacity for the particular context under consideration. GIZ is using the following as a broad working definition of capacity in the context of governance of metropolitan regions.

> *The ability of key stakeholders to work together, utilising the agencies, systems and resources at their disposal, to ensure the delivery of equitable, sustainable and cost effective public goods and services for the citizens of the metropolitan region.*

This is not a definitive statement: it should always be adapted to make it specific and relevant to the assessment process being planned. In particular, it should be adapted to reflect the theme or function that is the focus of the assessment process. Before starting activity planning it is important that those who have initiated the assessment work together with the assessment team, to reach a shared understanding of their definition of capacity in the context, i.e. they have made appropriate amendments to the definition given above, for example:

> *The ability of key stakeholders, including representatives of user groups and private sector providers, to work together, utilising the agencies, systems and resources at their disposal, to ensure the delivery of equitable, sustainable and cost effective mobility and public transport services for the citizens of the Rio de Janeiro metropolitan region.*

They will also need to clarify what the process is intended to be, which may be either:

- A broad general assessment; or,
- A detailed assessment of a specific issue, or component of an issue, that key stakeholders have already identified as important and/or expressed an interest to work on (e.g. mobility, resilience, social inclusion).

Taking time to ensure everyone is clear about definitions, intentions, focus, etc. at the start can avoid confusions and misunderstanding arising later on. The template given in Box 2 below is a worksheet that can be used to guide the discussions. It can be used for two purposes:

1. For the assessment team to clarify together, and record, essential information about it so as to ensure that they have shared understanding and agreement. The information in the 'Scope' box will guide the development of a preliminary action plan following this process of clarification; and,
2. To share, if needed, as a briefing document for others who will be involved.

Box 2: Sample Worksheet to Clarify and Agree to the Purpose and Scope of the Assessment
General Introduction Describe why the assessment is being undertaken, which stakeholders (elected official, department, planning agency, etc.) have initiated the process, why they initiated it and what they expect to gain from it. **Purpose** The goal should be a clear statement of purpose, framed in a way that it can be used to provide the foundation for formulating objectives for any workshops, surveys, etc. conducted as part of the process. The goal statement should also specify what the expected results of the process will be, e.g. a report or the basis for formulation of a new initiative.

Focus

- If conducting a broad general assessment, give an overview description of what issues the process is expected to cover. This will necessarily be quite open at the start, but may change as the process proceeds and generates information about specific issues.
- If working with an agreed theme, give an overview of the issue as it is currently understood. This could be defined: by services - e.g. transport; by theme - e.g. resilience; or, by implementing mechanism - e.g. financial instruments
- Identify any goals that have already been defined by key authorities or stakeholders, relevant to this assessment.

Definition of Capacity

Review the generic definition of capacity given and adapt it to make it specific to the focus theme and metropolitan region of this particular assessment (see **chapter 1.3 in the introduction** chapter for concepts of capacity and capacity development)

Scope

State the first estimates of.

- Expected range and nature of inquiries e.g. questionnaires, interviews, workshop summary, list of stakeholder groups to be consulted, e.g. municipal authorities, civil society organizations, political parties, national government ministries, etc. NOTE: The stakeholder list needs to be kept under constant review and as the process proceeds it will be important to start mapping the information about them that emerges from activities. It may sometimes be necessary to consult stakeholders about who else is relevant in order to fully understand the extent of relationships and networks relevant to the issue. It may also be the case that the people thought to be important turn out not to be. For this reason, it is good to **create an evolving stakeholder map that should never be considered as final**.
- Specification of what data to collect and analyse (see the chapter below)
- Time frame
- Resource needs (see the chapter below)
- Format to present the output of the assessment (see Tool 14 Format of a capacity development strategy)

Lead Agency

Agree on and state which agency/department is taking the lead (this could be more than one).

Supporting Agencies

List the other key authorities and agencies giving their support to the process.

Review plan

Once activities have started after the initial planning exercise the overall plan should be checked routinely for the following points:

- Data that still needs to be gathered, and how to access it;
- Arrangements for data collation and analysis are in place and working;
- Ongoing detailed decisions and arrangements about the stakeholders to be consulted and the best way to engage each of them, i.e. with questionnaires, interviews, workshops or a combination of methods;
- Development (or adjustment) of the tools and methods to use for stakeholder consultations. For example, interview questions, survey questionnaires, workshop process and exercises, and so on. See Part B for suggestions of tools;
- Ensuring all necessary logistic and administrative arrangements are in place for the activities; and,
- Allocation of responsibilities for each activity, and the deadlines for completion.

Decisions about data collection and analysis

The next step should be to identify what **relevant core urban data** is needed and what is already available. **The emphasis must be on relevance** because there is a great deal of core data that could be gathered, but much of it might not be useful for the purpose of any particular assessment. There is nothing to be gained by gathering data that is not going to add anything to the understanding or analysis of capacity gaps that need to be filled in order to address the challenge..

In a big assessment process, data will be gained from many different sources, in a variety of forms such as government statistics, research studies findings, interview notes, workshop outputs, and so on. It is therefore necessary to ensure that someone has responsibility, firstly, to **record, collate and verify all the data** gathered. This should include mechanisms for **triangulation** where needed**.** This may be something that is done internally by one of the agencies involved in the assessment, or it may be a large piece of work that needs to be contracted out to a service provider. This is one of the decisions the assessment team will need to make, taking resource availability into consideration.

Secondly, decisions are needed about **who can lead an analysis**. This is critically important for ensuring that the results of the assessment are accurate and will lead to useful recommendations for going forward. If a great deal of data has been gathered analysis is a big task, that may require specialist expertise, and if this is the case it is necessary to ensure that there are sufficient resources available for getting the work done. Planning a lot of activities without the resources to produce good analysis will not result in any helpful result coming from the assessment process. So decisions are needed early on about who will do the analysis and how findings will be verified and disseminated.

Taking all of the above into consideration the next step should be to identify what **relevant core urban data** is needed and what is already available. **The emphasis must be on relevance** because there is a great deal of core data that could be gathered, but much of it might not be useful for the purpose of any particular assessment. There is nothing to be gained by gathering data that is not going to add anything to the understanding or analysis of capacity gaps that need to be filled in order to address the challenge.

Resource and time considerations

Any assessment concerned with a metropolitan region is by definition dealing with issues of considerable size and complexity. To undertake a fully comprehensive assessment would likely be very time consuming and very expensive. Only few agencies will have unlimited time and resources for such exercises. So decisions need to be made about what can realistically be done with what is available.

Before starting the process, the assessment team needs to focus on what needs to be done to achieve their goal, taking into account the time and resources available. Where time and resources are tight, it may be necessary to be highly selective about activities and limit them to, for example: pulling together known core data; a few interviews with selected high value informants; and, one workshop to validate findings with key stakeholder groups. All of which could possibly be achieved in just a few weeks on a relatively low budget. On the other hand, a full-scale assessment, engaging as many stakeholders as possible in multiple methods like surveys, interviews, and a series of workshops could take up to a year to complete, and require a budget to match.

Other variables in the process include factors like the availability of local expertise to conduct the various activities. Guidance cannot be given about costs except in the most general terms, because all costs can vary widely from one location to another.

Table 3 below gives a brief overview of the types of activities that might be undertaken during the assessment process. It is important to note that not all of these activities need to be undertaken every time. Resource and time factors need to be taken into consideration when deciding what to do, with whom and where. These activities may be undertaken at any time, and some may need to be repeated at different times.

Table 3: Overview of Resource and Time Considerations for Activities

Key to symbols: $ small expense, $$ medium expense, $$$ major expense

short time, medium time, substantial time

Activities and outputs	Resource considerations	Time considerations
Assessment team • Planning meetings • Managing process activities • Reporting	• Physical or virtual meeting facilities: $ or $$ • Budget for consultant contracts, events, and logistics support: $ to $$$ (depending on the extent of contracting out)	• Team time to plan, manage, monitor and report on activities and results: • At least several weeks needed to establish the frameworks, plan first activities etc.: • Ongoing management, reporting and regular review of progress and re-planning if required: variable
Core data search	• Experts/researchers with knowledge of where and how to access the right information: $$ or $$$ • Access to key information sources, such as government statistics • IT hardware and logistics support for process and data collection: $ or $$ depending on what is already in place	Variable: • A researcher familiar with readily available data should be able to pull the data together in a few days: but, • Where sources are unknown or the data is of poor quality, it may take weeks to gather what is needed: • Assessment team time to review what is available and decide if more is needed:
Workshops	• Availability of participants • Budget for and availability of: • Venue and food: $$ • Facilitator/s: $$$ • Translator/s and equipment (if needed): $$ to $$$ • Workshop materials and resources: $ • Attending expert/s: $$ • Graphic illustrators: $$$	• Planning should start well in advance so participants get their invitations in good time and the team can develop the process and organise logistics:
Interviews	• Skilled interviewers with agreed, pre-prepared questions – may need to be hired as consultants: $$ • Access to key informants • Logistics support: $	• One to one interviews do normally not take more than 1 – 2 hours, but it can take a long time to set up an appointment with senior people: • Interviewer travel time: • Time to analyse outputs after the event/s:

Focus group discussions	• Skilled facilitators with agreed, pre-prepared questions – may need to be hired as consultants: $$ • Venue and transportation costs for participants and or facilitators: $$ or $$$ • Logistics support: $	• Focus group discussions are usually only a few hours, but can require several weeks to set up: 🕓🕓 • Time to analyse outputs after the event/s: 🕓🕓
Online surveys	• Experienced staff to set up the survey: $$; Use of online resources like *SurveyMonkey* keeps costs relatively low • Expert/s to analyse and interpret results: $$$	• Relatively short to set up: 🕓 • Data collection: 🕓🕓 • Data entry: 🕓 • Data analysis: 🕓🕓 or 🕓🕓🕓 (depends on quantity collected)
Questionnaires	• Skilful question setter: $$ • Means to distribute to respondents: $ • Collecting of questionnaires: $ • Expert/s to analyse and interpret results: $$$	
Analysis of data from: • Core urban data collection • Existing research findings	• Review and analysis requires capacity for data collocation and organisation, followed by expert time: $$$ (depending on amount of data collected) • For example, a single focus study will need less time than a comparative study of several municipalities	• Variable according to amount and nature of data collected, and expertise of the analysts. (depends on nature and depth of the assessment) 🕓 - 🕓🕓🕓
Report on findings and recommendations	• Expert writing time: $$ • Editors: $$ • Possibly printing costs: $$	• Weeks or months to finalise: 🕓 🕓🕓 (depends on nature and depth of the assessment)
Verification of findings and recommendations	• Availability of key stakeholders willing to review a report, be interviewed or join a workshop – : variable	• Method chosen will dictate the time needed: variable 🕓

2.3 Assessment and analysis

Phase 4 Capacity assessment: data collection

Objective	**Assess the capacity gap by describing and comparing the existing and required capacities needed to implement the project initiative. The capacity gap comprises gaps related to:** • **training of individuals** • **organisational capacity building** • **developing or strengthening cooperation (participation and partnerships among key stakeholders)** • **developing new or adjusting (local) laws and regulations.**
Pre-conditions	1. The capacity assessment framework is explicitly stated and agreed upon. 2. The key stakeholders are committed. 3. An assessment team is in place.
Who	Consultant and/or project team
Activities	1. Extensive but targeted/selected data collection and assessment (by using tool 6 to 8) **2. Comparing the available capacities with the needed capacities for the metropolitan initiative** **3. Highlight windows of opportunity (including spillover effects): what capacity development would be particularly useful?** 4. Write a report on the capacity appraisal, disseminate and discuss results
Tools to support this phase	Tool 4 Core Urban Data in order to determine the relevant dimensions of the needed capacities. Tool 5 Metropolitan Financial Arrangements: identify funding sources Tool 6 Responsibilities and Functions at City Level: Identify the concerned institutions and the link between the project and existing management/ planning processes. Identify similar initiatives and their degree of success and why. Tool 7 Self-evaluation of cooperation needs Tool 8 Stakeholder mapping and analysis Tool 10 to 12 can be used as ways to collect data Tool 13 Analysis and identification of windows of opportunity. The required legal, political, historical and political-economic data should be collected at this stage. Tool 14 Format of a Capacity Development Strategy. Define existing cooperation mechanisms and experiences.
Other tools	Tools to visualise the findings (such as in GIS maps)
Metropolitan concerns	See phase 1 in order to agree on whose capacity to assess. Advantages of scale and scope: collect data in order to assess advantages of scale and scope. Spillover effects: collect data in order to assess spillover effects. Unpredictability: collect data to fully assess risks.

Phase 5 Approval: agree on a capacity development strategy

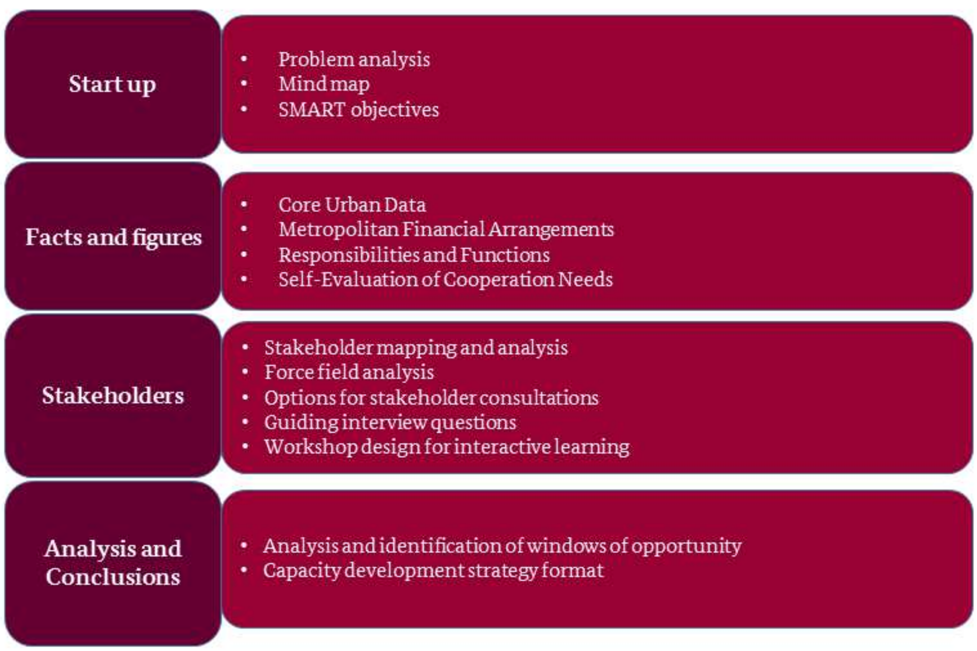
Objective	**Work out a Capacity Development Strategy and build commitment among policy makers (public, private, civil) to implement the strategy.** **Phase 5 specifically focuses on the capacity assessment instead of all metropolitan actions. It also works towards a more focused and concrete Capacity Development Strategy.**
Pre-conditions	The purpose and scope of the capacity assessment are explicitly stated and agreed upon. The key stakeholders are committed. A project team is in place. An assessment has taken place and the results are available Capacity gaps have been detailed.
Who	Project team/ decision makers
Activities	In a workshop with decision makers, First, the results of the assessment should be presented and agreed upon. Then, the best possible strategy to build capacity will be decided upon. After the workshop, the strategy will be written out and formally approved by the key stakeholders. All stakeholders will be informed
Tools to support this phase	Tool 12 Workshop Design for Interactive Learning Tool 13 Windows of Opportunity Tool 14: Format of a Capacity Development Strategy should compile the findings of the assessment and give directions on what capacities to develop in order to solve the metropolitan issue.
Metropolitan concerns	See phase 1 on who to invite and how to decide. Consider spillover effects and advantages of scale and scope. Unpredictability: assess risks.

PART 3: TOOLBOX TO SUPPORT THE ASSESSMENT PROCESS

3.1 Overview of tools to support the assessment process

This part of the MetroCAM provides tools that can be used to support and implement different steps in the assessment process. The diagram below gives an indication of the tools that are available for each main part of the framework: Facts and figures, Stakeholders, Analysis and, Conclusions. In reality, some tools might be useful for more than one stage. For example, as the name implies, Stakeholder mapping and analysis can and should be used both to explore understanding of stakeholders and to analyse the findings about them. Others may also be used in different ways during different parts of the process, for example as a workshop exercise to get participants' inputs on issues, and then again during the analysis stage for the assessment team to draw findings from the data collected.

Figure 4: The Tools Grouped by Primary Purpose



An important reminder about the purpose of the assessment and use of the tools: An exercise in identifying an overwhelming array of problems without any obvious solutions does not help anyone to move forward. Therefore, it is important to keep in mind that the assessment should be about finding windows of opportunity, the key entry points into a system, and the change agents who can make it happen. These positive factors may take many forms, such as a small pilot project that can be scaled up, a newly formed alliance between key actors, the availability of funding resources.

3.2 Tools supporting the start up

Tool 1: Problem analysis

Relevance	**Identify and define a core problem that can be addressed by a metropolitan intervention, as well as its root causes and effects.**
When to use the tool	Phase 2 Project identification: setting a mandate and assessment team
Guiding question	What core problem will the metropolitan intervention address?
Metropolitan issues	Metropolitan challenges can be overwhelming and interconnected, especially if staff is limited and lacking in capacity and/or capability. In this situation, it is important to focus on a limited number of problem areas which can be tackled, either in the short term (this may be a matter of weeks or up to say -18 months, depending on the action) or within a medium term - say 3 to 7 years.
Comments	The problem analysis can be developed in a participatory manner, for instance in a workshop.

The problem analysis aims to identify and define a concrete core problem that can be addressed by a metropolitan intervention, as well as its root causes and effects. It aims to lead to a focus on one or a few problems within a metropole. The selected problem may for instance be infrequent power supply or traffic jams. Hereby one has to question *whose* problems we want to consider, that of politicians, government officials, residents, firms, tourists and/or others? Building in a focus on one problem requires a participatory process which includes all stakeholders as well as political backing. These can be developed from a "forum" type of discussions and/or workshops, organised at the neighbourhood level, city level and/or metropolitan level. Ideally a selected problem has multiple effects, and hence addressing the problems has far-reaching effects on a metropolitan region. For instance, traffic jams may result in economic costs, pollution and traffic accidents. Reducing traffic jams thus has multiple advantages for a metropolitan region.

It is not easy to identify a core problem, its causes this, and effects. One technique is to note problems down on cards and then to arrange them in logical order. This is called a problem tree (see figure 5).

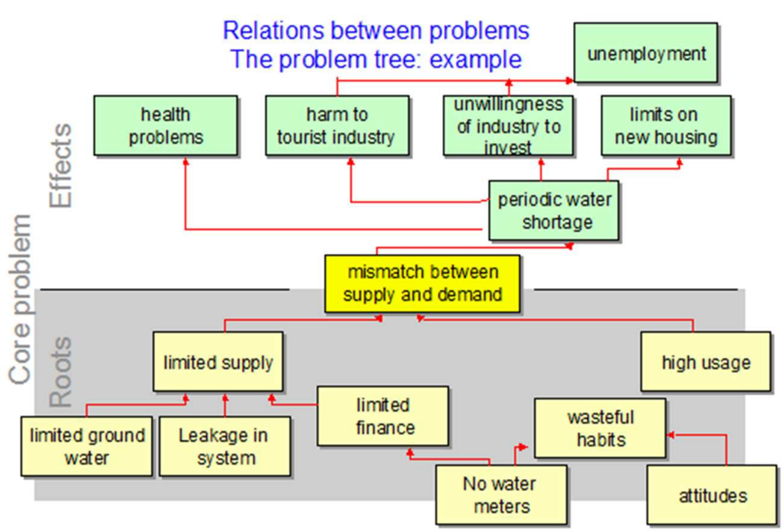


Figure 5: Example of a problem tree
Source: https://www.ihs.nl/en

The process to develop a problem tree is as follows:

1. Organise a workshop or meeting with the key stakeholders.
2. All participants of the workshop/ meeting are asked to write on cards what you feel to be the problems --1 problem per card-- (~15 minutes).
3. Make a preliminary problem tree: put cards on wall or floor so all can be seen and arranged. Order them so that *roots* are at the bottom and *causes* at the top. In the middle try to come to the *core problem*. This part is a quick exercise, so do not try to come up with very elaborated results in this instance (~30 minutes).
4. "Test" the core problem by asking all participants to answer the following questions individually. If you are not clear, discuss with other members of the group, or ask for assistance (~30 minutes)

- What is the problem? (write a rough description and underline key words and phrases)
- Why is it a problem? What would it look like if it were solved?
- Whose problem is it? Who owns it? Who would be interested in a solution? - name individuals/ organizations who might be willing to put some effort into finding a solution? Who would be the most important person or group?
- Where is it a problem? The whole town/ part of the town or part of the surrounding district?
- When is it a problem? Special time of day? Seasonal?
- How long has it been a problem? Weeks? months? years?
- Are you dealing with the real problem? It may be a symptom of a bigger problem or a solution to a problem. If it is either, go back to "what is the problem?"
- What would happen if nothing was done about the problem?

5. Discuss the above issues with all participants/ stakeholders: how do people see the problem, what are the similarities and what are the differences (~30 minutes).
6. Based on the previous steps refine the problem tree.

Tool 2. Mind Map

Relevance	**Identify and define core ideas that can be addressed in a metropolitan intervention, as well as its root causes, effects and other interlinkages.**
When to use the tool	Phase 2 Project identification: setting a mandate and assessment team
Guiding question	Which ideas have the biggest potential spillover effects and agglomeration economies in a metropolitan intervention?
Metropolitan issues	Metropolitan interventions may have major spillover effects and agglomeration economies. It is important to brainstorm about the issues to be addressed which have the most positive and the least negative spillovers.
Comments	The problem analysis can be developed in a participatory manner, for instance in a workshop.

Whereas a problem tree is useful in order to bring focus on one particular metropolitan problem, a mind map is a useful tool in order to brainstorm about all its potential interlinkages and to visualise these. A Mind Map is a visual thinking tool that maps out thoughts using keywords that trigger associations in the brain to spark further ideas. It can be drawn by hand or using software, which is available on Internet[3]. It is more open than a problem tree, because it can include solutions, related problems, etcetera. Figure 6 depicts a sample Mind Map.

A Mind Map can be developed in five steps[1]:

- Step 1 Create a central idea. This may be the problem you identified or a possible solution or intervention that you are considering. Your central idea should be in the centre of your page and should include an image that represents its topic. This draws attention and triggers associations, as our brains respond better to visual stimuli.

- Step 2 Add branches to your map. The next step is to add branches. The main branches which flow from the central image are the key themes. You can explore each theme or main branch in greater depth by adding child branches. You can continually add new branches and you're not restricted to just a few options.

- Step 3 Add keywords. When you add a branch to your Mind Map, you will need to include a key idea. An important principle is using one word per branch. This works well for chunking information into core topics and themes. The use of keywords allows you to remember a larger quantity of information.

- Step 4 Colour code your branches. Colour coding links the visual with the logical and helps your brain to create mental shortcuts. The code allows you to categorise, highlight, analyse information and identify more connections which would not have previously been discovered. Colours also make images more appealing and engaging compared to plain, monochromatic images.

- Step 5 Include images. Images have the power to convey much more information than a word, sentence or even an essay. They are processed instantly by the brain and act as visual stimuli to recall information. Better yet, images are a universal language which can overcome any language barrier.

After making a mind map, it may be necessary to sharpen or adjust the problem tree. The reason is that one wants to ensure that the problem that will be addressed maximises positive spill-over effects and agglomeration economies while minimising the risks of negative spill-overs. The mind map may also create ideas for interventions that can be used later on.

1 Source: https://coggle.it/

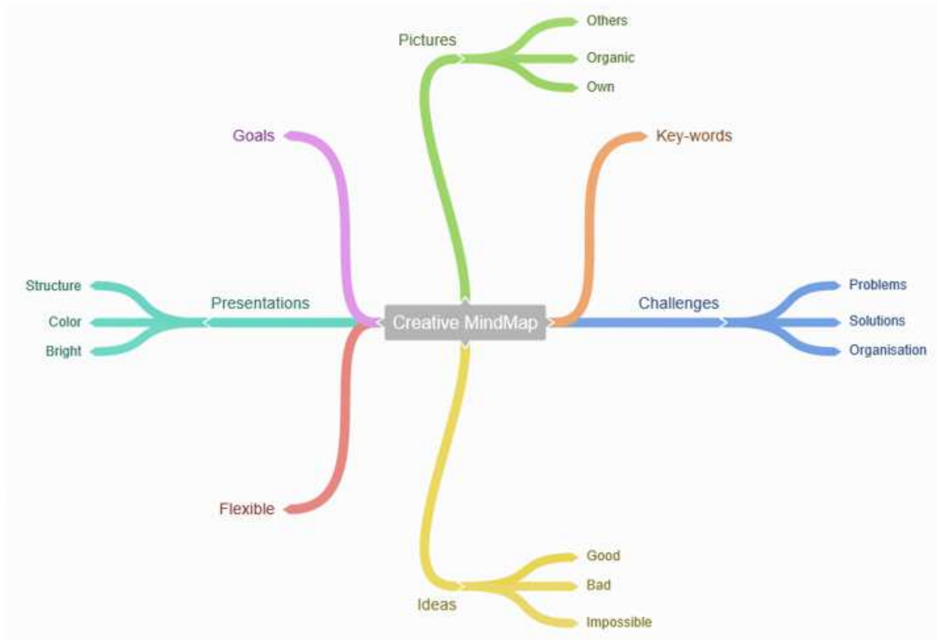


Figure 6: Sample Mind Map

Source: https://coggle.it/

Tool 3. SMART objectives

Relevance	**Identify and define objectives of a metropolitan intervention and its capacity assessment component.**
When to use the tool	Phase 2 Project identification: setting a mandate and assessment team Phase 3 Pre-feasibility: setting a capacity assessment framework
Guiding question	What is/ are the main objectives of the metropolitan intervention and its capacity assessment?
Metropolitan issues	The objectives should be doable, considering the complexity of the metropolitan development, its history, politics and political economy. It should aim to strengthen network governance, considering the complex and politicised leadership.
Comments	The objectives are expected to address (a) concrete metropolitan problem(s) and strengthen metropolitan governance.

An objective describes the object or goal of a metropolitan intervention and/or its capacity assessment component. We have to set objectives at two (or more) moments in the planning process: when developing the metropolitan intervention and when developing its capacity assessment component.

In simple terms, an objective turns a problem around. If an identified problem is traffic jams, than the objective of the intervention may be to reduce traffic jams. If objectives are going to be useable they need to be specific. It must be possible to know what they are and when they have been met. It must be possible to measure them, or measure their impact.   Objectives are often left vague as a protection against criticism. If you haven't said exactly what you are aiming to do, then no one can criticize you on the basis of not achieving your objective. This is fine in terms of survival strategy in a bureaucracy, but it is not useful if the objective is to achieve real improvement in performance. Built into the whole process we go through is the assumption that there is commitment to action[4].

Criteria are the qualities that objectives should meet in order to be measurable. Objectives should be SMART[2]:

S Specific in terms of place

M Measurable, preferably in performance terms -what is achieved rather than how to achieve it.

A Attainable. An objective should be able to be achieved – otherwise it will backfire and create failure

R Realistic. For this it is important that the support of the key stakeholders in the setting of the objectives should be obtained. This means that the process of objective setting itself should be participatory.

T Time bound. It is critical that objectives are related to a meaningful time frame. The time frame should itself be linked to political and social realities as well as to physical development aspects.

An objective can be set in a participatory process, such as a workshop setting of all stakeholders. This may be done in the same workshop, which discussed the Problem Tree and Mind Map. It can be done in two steps. The first step is that all participants of the workshop individually develop draft objectives working from the core problem and Mind Map and test these against the questions in the form (table 4). Workshop participants may come up with multiple potential objectives. These objectives are subsequently discussed with all stakeholders (second step), aiming to come to a consensus for one objective that meets the criteria (table 4). Table 4 describes the criteria.

Table 4: Assessing objectives based on criteria

Core problem:		
Objective:		
Revised objective:		
Criteria: (How would you know if you achieved the objective?)		
Criteria for the objective. Is the objective:	**yes**	**no**
Specific in time?		
Specific in place?		
Specific in quantitative terms that can be measured?		
Realistically attainable in the time specified?		
Legitimate for local government?		
Likely to be supported by the key people concerned?		
Sufficiently under the control of local government to work?		
Likely to provide some real benefits?		
Is it actually a solution rather than an objective		

[4] *Source: Forbes Davidson (2003), Action Planning Exercise, Rotterdam: IHS.*

3.3 Tools to gather facts and figures of the metropolitan area

Working from the list of necessary data created in the start-up activities, identify sources for the information that is readily available, and plan how to get what isn't. Key points to remember in the data collection process are:

- Identify the relevant cross cutting issues and how to incorporate them into the data collection activities. Issues that should always be considered are: **gender equity, poverty (pro-poor perspectives), and, environmental protection and sustainability**. For example, ensuring that data about gender based economic disparities is gathered through reviews of existing statistics, questionnaires, etc.
- The importance of getting **territorially disaggregated data** within a metropolitan region and the territorial dimension (i.e. data for each local government and the region). This is essential for understanding of needs and inequalities within the region, for example on mobility and access disparities between different areas of the region.
- It is essential to get information about recent or existing initiatives or projects relevant to the theme or issues being assessed. Understanding the results of past initiatives and projects, or the progress of current ones, will provide many insights into the factors that enable or hinder change processes and this in turn can help to guide decisions about effective entry points. Information required would include:
    - Name, focus and goal of the project,
    - Key stakeholders, including those giving funding support and those implementing; and,
    - Known results – achievements, challenges, and so on.

Some key information might not be readily available. For example the government may not have, or has not published (yet), results on key indicators. If that is the case local detective work will be needed to see what, if any, information can serve as a proxy for directly relevant statistics. Census data, document or newspaper analysis, crowd sourcing, perception data, remote sensing, big data, social media content analysis, are all potential sources of helpful and relevant data. Missing information can also be an important indication of gaps in the system. In that case, the information simply does not exist.

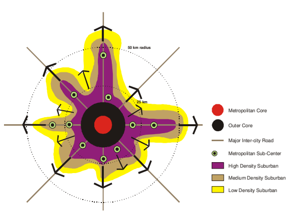
Tool 4: Core Urban Data Guidance Sheet

Relevance	**Collect core data relevant to the metropolitan issue that the metropolitan initiative is concerned about.** **This tool is mandatory for any metropolitan initiative.**
When to use the tool	In phase 2 it can be used to collect data on the metropolitan initiative. In phase 4 it can be used to collect specific data which helps assessing what capacity is needed in order to implement the metropolitan assessment.
Guiding question	What is the data we need to understand the metropolitan issue and what are its potentials and risks?
Metropolitan issues	All apply, since tool 4 outlines the complexity of the metropole and its governance arrangements, in as far relevant for the initiative.
Comments	We recommend to visualise the data, for instance in GIS maps

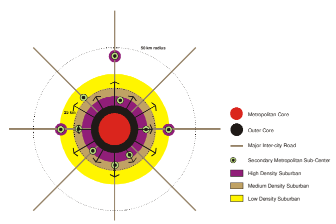
This tool gives a guide to the core urban data that could be helpful as part of the assessment process. It is important to note that **very few assessments will require all of this information in detail and it is advisable to select only the points needed.** As noted in the Guidance Notes section on preparatory planning, it is important to ensure that the data collected is appropriately disaggregated for territorial dimensions and for cross cutting issues. Much of this data will likely be already available and can be gathered in a desk search. Any information not available should be noted for inquiry by other means. It is not necessary to assemble all the information into a report format at this stage, but to identify the information required for different parts of the process and the sources that can be used to access what is needed, when it is needed.

The last section is a guide to help with classification of arrangements, if any exists. These range from ad hoc time bounded initiatives at one end of the scale to a fully established metropolitan authority at the other. If there are no arrangements of any form this fact should be noted.

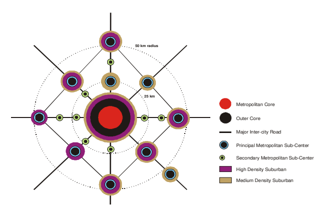
Table 5: Core Urban Data Guidance Sheet			
Data	***Need?*** Yes/ No	***Possible source***	***Comments (including gaps/missing information)***
1. ***Basic data about the metropolitan region***			
• Number of subnational jurisdictions in the region or functional territory, however defined, formally or informally			
• Population: total area; % of national; by local jurisdiction; growth last ten years or so; projection (if available); population densities; urban vs. rural population in the area, as defined in the country; relevant territorial disaggregation			
• Economy: overall characteristics, by sub-region as appropriate; GDP of total region, and % of national; and (if available) by local jurisdiction; relevant territorial disaggregation			
• Other socio-economic data: e.g. demographics, unemployment; concentration of informal settlements, by sub-region if the data is available			
2. ***Spatial structure***			
• The spatial area in km², as shown in one or more maps. What is the functional urban territory? Which topographical characteristics exist?			
• What are the main connections for commuters?			
• Which of the following spatial structures does the region most closely resemble? Comment and explain if the metropolitan region does not match any of these structures, for example, it is more of a narrow corridor.			



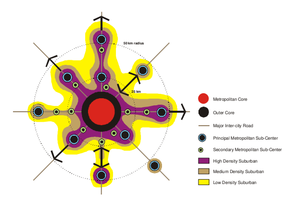
1. Sprawl



2. Monocentric Structure



3. Polycentric Structure



4. Multipolar Structure

Source: Edward Leman, Chreod Ltd, 2001

Table 5: Core Urban Data Guidance Sheet

Data	***Need?*** Yes/ No	***Possible source***	***Comments (including gaps/missing information)***
What initiatives or projects are already in progress? • Who is implementing? • What are the goals? • What successes and challenges has the project had to date? • What is supporting and or hindering success? • Has any innovation been tried or discussed in recent years?			
To what extent does any innovation impact on each of the good urban governance principles? • Sustainability; • Equity; • Efficiency; • Transparency and accountability; and • Civic engagement and citizenship.			
Previous initiatives or projects. Is any data available about: • The history of metropolitan governance in the region? What was its form? What was achieved? What success or challenge factors were influential? Any lessons learned? • Projects or initiatives? Who implemented them? What happened? What was achieved? What success or challenge factors were influential? What lessons were learned?			
3. *National and legal frameworks for sub-national governance and administrations* See also the list below for guidance on classification of metropolitan governance arrangements.			
• Type of government in the country: Federal or unitary? Elected or appointed? How do the different types interact?			

Table 5: Core Urban Data Guidance Sheet			
Data	***Need?*** Yes/No	***Possible source***	***Comments (including gaps/missing information)***
• Levels of sub-national government that exist below: central government; regional/provincial/state government; any metropolitan level government; or, any municipal level government.			
• Recognition or not in the constitution of the country of local governments as organs of governance. (Note: only a handful of developing countries do). If not, what administrative provision(s) establishes and defines subnational (particularly local) governments?			
• Any provisions that make distinctions between different types of local governments? Do they mention 'metropolitan regions'?			
• Any specific formal provisions for metropolitan governments or governance.			
• The way in which neighbouring local governments in the country generally interact with each other.			
• The metropolitan regions coordination mechanisms that exist in the country, if any.			
• Any enabling (facilitating) legislation or regulations that exist for metropolitan region governance.			
• Any specific (articulated) objectives for metropolitan governance and development.			
• The central ministry that is mandated to regulate, monitor and support local governments.			
• The main mechanisms for access to information that allow citizens to engage with local governments beyond elections.			
• The types of decentralization, devolution and de-concentration in the country at present, particularly as it relates to the metropolitan region/s, if different to other levels of local government.			
• Any specific incentives provided by higher-level government for municipal cooperation or competition in the metropolitan region. If so, what change and impact has resulted to date?			
• Any positive or negative spillovers of municipal cooperation or competition? For example, benefits of core city services gained by non-resident commuters; people suffering from pollution generated in other jurisdictions; etc.			
4. Additional questions related to formal and informal arrangements:			
• Are any local governments in the region contracting among themselves, i.e. one local government contracting another one to carry out a service on their behalf?			

Table 5: Core Urban Data Guidance Sheet			
Data	***Need?*** Yes/ No	***Possible source***	***Comments (including gaps/missing information)***
• Is any planning done on a metropolitan scale? If so, for what function/s or services and by whom and how?			
• Are any local governments conducting joint service provision done on a full metropolitan scale, e.g. to capture economies of scale. If so, for what function/s and by whom and how, for example a regional utility company?			
• Does any regional or metropolitan-level development agency exist? For example, established by higher-level government.			
• Has any annexation or amalgamation of local governments happened in this region in recent years?			

The overarching question: What, if anything, among all these facts and figures presents any **windows of opportunity for change**?

5. Guide for Classification on Metropolitan Governance Arrangements

If there is already some form of arrangement in place, this guide can help with a classification[5]. If no arrangements exist, this section is not relevant.

Table 6: Guide for Classification of Metropolitan Governance Arrangements

Type	***Description***
1. *Horizontal cooperation among local governments*	
1.1 Case-by-case joint initiatives	Ad hoc cooperation initiatives or arrangements for specific purposes
1.2 Contracting among local governments	A local government engaging another local government for the delivery of a service for which they are responsible
1.3 Committee, association, consortium, consultative platforms, etc.	Temporary or permanent bodies for coordination
2. *Metropolitan / regional authority (special purpose district)* Independent legal entity; variety of voluntary association by local governments to make better use of public resources	
2.1 Metropolitan council	Forum for coordinated efforts by members of local governments. Decisions need endorsement of the respective local Council
2.2 Planning authority	Formal entity similar to COG to design regional strategies and/or exercise planning and policy development authority
2.3 Service delivery authority	Public service agency/corporation/cooperative (owned by members of local governments) for delivery of one or more services
2.4 Planning and service delivery authority	Combination of 2.2 and 2.3, i.e. planning and delivery of one or more services (e.g. a Regional Transport or Water Authority).
3. *Metropolitan-level / regional government*	
3.1 Metropolitan-level local government	Separate metropolitan-level local government for coordination / selective functions
3.2 Regional Government	Government established by a higher level government for a metropolitan area
4. *Consolidated local government (through amalgamation or annexation)*	
4.1 One jurisdiction covering the metropolitan area	One jurisdiction covering a large portion (or all) of a metropolitan area

[5] This covers alternatives in Robert D. Yaro, L. Nicolas. Ronderos "International Metropolitan Governance: Typology, Case Studies and Recommendations", developed for Colombia Urbanization Review, Sept. 2011: (i) metropolitan government; (ii) metropolitan council; (iii) territorial polycentrism; (iv) single purpose district; and (v) inter-local cooperation

Tool 5: Metropolitan Financial Arrangements

Relevance	**It is of crucial importance to identify the financial and economic costs (including compensations), benefits and prospects of the anticipated initiative and the capacity assessment component.** **Mandatory**
When to use the tool	In phase 2, the financial arrangements of the metropolitan initiative may be considered, in order to assess if the initiative is viable. This may lead to a funding proposal/request for the initiative. In phase 4, the specific financial capacity of all actors to implement, manage and maintain the initiative are assessed. This may result in recommended outputs and actions to improve the financial capacity.
Guiding questions	What finding is needed from where for the metropolitan initiative? What financial capacity is needed to implement, manage and maintain the metropolitan initiative in the long run?
Metropolitan issues	Finance relates closely to political sensitivities and issues of network governance and complex leadership.
Comments	It is worthwhile to split urban financial issues from the broader effects of an initiative on the economy (i.e. its economic costs and benefits). It is worthwhile to consider a methodology to assess costs and benefits (cost-benefit analysis, risk assessment, sensitivity analysis, multi-criteria analysis, …).

These questions may be linked with the information about division of responsibilities. See **Tool 6: Responsibilities and Functions at City Level.**

National economy

- What is the current status and strength of the national economy?
- To what degree is the national economy aid dependent on i.e. loan/grant sources and distribution?

Legal authorities and frameworks

- Is there a clear legal framework for the financial arrangements of the metropolitan region (if any metropolitan region as an entity has been defined)?
- Is there a clear legal framework for the financial arrangements for any metropolitan wide service delivery or functions?
- What borrowing authorities exist for the metropolitan region?
- Are there any significant public-private partnership arrangements in the metropolitan region? If so, what were the main drivers to establish them?

Transfers

- Does the metropolitan region have any special arrangements under any inter-governmental transfer system, or other financial rules or regulations? For example, does the central city in the region get any preferential treatment to compensate for metropolitan costs?
- Do municipalities that belong to the metropolitan region get relatively more, or less, transfers from the national or regional government than other municipalities, or is the formula for transfers the same for all?

- Approximately, what percentage of the largest city's annual revenues is received as transfers from the national or regional government? Is this percentage generally more or less than other cities in the country?
- Is there any transfer of budget funds between the municipalities within the metropolitan region? If so, explain for what purpose or based on what agreement.

Taxation

- What, if any, are the main taxing powers of the metropolitan region and the municipalities within it?
- Is any local tax base sharing, or equalization of tax rates, applied in the metropolitan region?

Revenues

- What are the main revenue sources of the largest city or municipality in the metropolitan region?
- To what extent are municipalities or any metropolitan implementing authorities able to decide on the level of user charges for services?
- Level of debt, if any?
- Ability to raise municipal bonds?

Expenditure

- Are the expenditure responsibilities of the municipalities in the metropolitan region different to those of municipalities in general in the country? If yes, how are they different?
- Do the municipalities in the metropolitan region spend more per capita than smaller municipalities in the country? If yes, please provide an example.
- Expenditure per capita (if possible disaggregated by local government)

Shared revenue or expenditure

- Are there any arrangements for revenue sharing among the municipalities in the metropolitan region other than through the national transfer system? These arrangements may be called any intra-metropolitan equalization programs.
- Do the municipalities in the case metropolitan region pool any funds for joint initiatives? If so, does this happen on an ongoing basis, for example for a metropolitan development fund, or only occasionally for specific purposes?
- Does any example exist of an investment project with the funding being shared by various municipalities in the metropolitan region? If yes, please provide some details.

Budgeting

- Do municipalities in the country prepare and approve their own budgets?

Budget comparison

Analyse a recent budget of the central city compared with one or two of the other municipalities within the metropolitan region.

Table 7: Budget Comparison

	Central city in the metropolitan region	Other municipalities in the metropolitan region
Expendituresa		
• What are the approximate annual expenditures per capita?		
• Characteristics of the composition of the expenditures, for example, what % is the main expenditure item? What are key differences?		
Revenues		
• What is the approximate % of transfers received from higher-level governments?		
• What is the approximate % of own source revenues?		

Tool 6: Responsibilities and Functions at City Level

Relevance	**Give insights into (indicators of) the present performance of service delivery within the context of the planned intervention.** **Mandatory**
When to use the tool	Phase 3 Pre-feasibility: setting a capacity assessment framework The tool may also be used in phase 1 in order to identify stakeholders, and in phase 2, in order to enable a brainstorm about the metropolitan initiative.
Guiding question	Is the present way of service delivery able to solve the metropolitan challenge of the initiative?
Metropolitan issues	Network governance and complex leadership
Comments	**The tool should be strongly focused on the anticipated metropolitan initiative.**

Indication of the Responsibilities and Functions

- Indicate in the table below with **X** which level or entity has the responsibility for service provisions and functions
- In the case that responsibilities are shared, note with an **X** in all relevant columns, and add an explanatory comment
- Use the comment column to indicate which, if any, metropolitan level authority is responsible for the function

Comparing the number of **X**s in the different columns gives an indication of the extent to which metropolitan-level approaches are applied to the public service provision in the area at present. Also, where a responsibility is shared cooperation and coordination is or should be a focus.

The different categories for analysis are:

- Metropolitan level – MR
- Municipality – Mun
- Higher level government – HLG
- Private sector – PS

Table 8: Division of Service Provision at City Level

Function	MR	Mun	HLG	PS	Comments
					Indicate the responsible entity or service provider for each **X** in the MR column, or sharing arrangements if responsibility is shared across levels. Critically reflect on **formal responsibility on paper versus reality, i.e. who has budget and/or other resources.**
Macro level strategies					
Development planning					
Economic development					
Tourism					
Major markets					
Informal economy					
Planning					
Regional land use planning					
Local land use planning					
Land allocation					
Land surveying					
Titling, provision of tenure					
Housing and facilities					
Housing					
Social/low income housing					
Community upgrading					
Cultural facilities					

Table 8: Division of Service Provision at City Level

Function	MR	Mun	HLG	PS	Comments
					Indicate the responsible entity or service provider for each **X** in the MR column, or sharing arrangements if responsibility is shared across levels. Critically reflect on **formal responsibility on paper versus reality, i.e. who has budget and/or other resources.**
Parks, recreation facilities					
Roads and transport					
Roads and bridges					
Traffic management					
Public transit, buses, etc.					
Street lighting					
Street cleaning					
Car parking					
Security and emergency services					
Police protection/security					
Fire services					
Emergency rescue services					
Ambulance services					
Water and sewerage					
Water supply system					
Drainage/flood protection					
Piped sewerage system					
Solid waste collection					

Table 8: Division of Service Provision at City Level

Function	MR	Mun	HLG	PS	Comments
					Indicate the responsible entity or service provider for each **X** in the MR column, or sharing arrangements if responsibility is shared across levels. Critically reflect on **formal responsibility on paper versus reality, i.e. who has budget and/or other resources.**
Solid waste disposal					
Social services					
Education, primary and secondary					
Health					
Welfare assistance					
Child care services					
Power					
Electricity supply					
Gas supply					
Miscellaneous					
Libraries					
Business licensing					
Local agriculture					

Tool 7: Self-Evaluation of Cooperation Needs

Relevance	**This tool allows for a holistic perspective on the need for metropolitan cooperation, but can also be used to go deeper into one specific challenge such as public transport within a metropolitan area.** **Mandatory**
When to use the tool	Phase 2 project identification: setting a mandate and assessment team. Phase 4: capacity assessment: data collection. The tool may also be used in phase 1 in order to identify a metropolitan initiative.
Guiding question	What are the most viable needs and opportunities for cooperation and/or coordination within a metropolitan area (and possibly within the scope of the initiative)?
Metropolitan issues	Advantages of scale and scope; network governance and complex leadership.
Comments	There is a need to agree on criteria to explore options for cooperation. These may include viability, possibilities for economies of scale and scope, etcetera. This tool can be linked to tool 13 in order to prioritise opportunities for cooperation.

These basic questions about coordination arrangements in a metropolitan region can be used in two different ways:

- As a self-assessment exercise for example in a workshop; and,
- As a tool for the analysis when reviewing all the findings from inquiries.

The questions can be used to think about coordination for any theme or issue, as well as for overall metropolitan governance. Primarily, they assume that some degree of formal arrangements is in place. Nevertheless, if that is not the case, the questions are also valid in order to analyse the informal arrangements.

Part 1 covers the degree of current coordination in a metropolitan region while part 2 offers questions to probe for ideas on needs and how to improve coordination to meet those needs in the future.

Part 1: Current coordination

Answer the questions in the table as best you can and total the scores. Another option would be that the participants answer the questions individually and compare the results later on. A guide on how to interpret the total score is at the end.

Table 9: Current Coordination			
No	**Question**	**Score 1- 4**	**Comments**
1	The **number** of municipalities in the metropolitan region is:		< 5 = 1; 8-10 = 3; 5 -7 = 2; >10 = 4
2	The **geographic territory** of higher level government regional office is:		1 ↔ 4; Same area – Much larger area
3	The degree of current **decentralization** of central government functions is:		1 ↔ 4; Very low – Very high
4	The perceived degree of **missed opportunities** for efficiency improvements (economy of scale, coordination of service delivery, etc.) is:		1 ↔ 4; Very low – Very high; (Perception of problems)
5	The degree to which the coverage or quality of **service delivery** across the region varies is:		1 ↔ 4; Very low (equity aspect) – Very high
6	The degree of unfair, or lack of **cost sharing** in the area is:		1 ↔ 4; Very low (equity aspect) – Very high
7	The degree of **spill overs** (positive or negative) across the jurisdictions in the area is:		1 ↔ 4; Very low – Very high
8	The **financial and administrative capacity** of the municipalities in the region is:		1 ↔ 4; Very strong – Very weak
9	The degree to which the financial and/or the administrative **capacities vary** in the region is:		1 ↔ 4; Very low – Very high
10	The degree of **informal coordination** occurring at present (indication of bottom-up needs) is:		1 ↔ 4; Very low – Very high

Scoring

- Minimum = 10
- Maximum = 20
- Mid-point = 25

These scores give an indication of the degree of current coordination, which in turn provides an indication of the level of needs. In general, with regard to the total score:

- A high score indicates a stronger need for formal coordination mechanisms; and,
- A low score indicates a relatively small need for formal coordination mechanisms. Here, strengthening existing local governments and informal coordination mechanisms may be sufficient for the time being.

Part 2: Exploring options for action

These questions can be used to prompt respondents, whether in individual interviews or workshops, to share their ideas about where improvements in cooperation could lead to significant gains of one form or another. For further clarification, *public transport* is used as the example theme for the questions. They can/have to be adapted to fit any theme under consideration.

- For which aspects of *public transport* are there compelling arguments to achieve economy of scale through joint service delivery in order to save costs?
    - What type of coordination would be the best approach for this purpose?
    - Is there a *public transport* authority or actor already in existence that would be the obvious lead for any relevant initiatives? If not, what is needed?
    - What factors would support or hinder the start and success of any relevant initiatives?
- For which aspect of *public transport* functions could coordinated service provision improve the quality of service delivery and contribute to equity and sustainability?
    - What type of coordination would be the best approach for this purpose?
    - Is there a *public transport* authority or actor already in existence that would be the obvious lead for any relevant initiatives? If not, what is needed?
    - What factors would support or hinder the start and success of any relevant initiatives?
- What are the areas of need for fiscal equality relevant to *public transport* across the metropolitan region?
    - What type of coordination would be the best approach for this purpose?
    - Is there a *public transport* authority or actor already in existence that would be the obvious lead for any relevant initiatives? If not, what is needed?
    - What factors would support or hinder the start and success of any relevant initiatives?
- In which ways could coordination and cooperation, relevant to *public transport,* facilitate economic development across the metropolitan region?
    - What type of coordination would be the best approach for this purpose?
    - Is there a *public transport* authority or actor already in existence that would be the obvious lead for any relevant initiatives? If not, what is needed?
    - What factors would support or hinder the start and success of any relevant initiatives?
- Which spatial planning and development needs relevant to *public transport* would best be addressed through a coordinated approach?
    - What type of coordination would be the best approach for this purpose?
    - Is there a *public transport* authority or actor already in existence that would be the obvious lead for any relevant initiatives? If not, what is needed?
    - What factors would support or hinder the start and success of any relevant initiatives?
- Are there any upcoming events or external change factors that make coordination about *public transport* imperative? E.g. hosting a major international event, or a climate change threat.
    - What type of coordination would be the best approach for this purpose?
    - Is there a *public transport* authority or actor already in existence that would be the obvious lead for any relevant initiatives? If not, what is needed?
    - What factors would support or hinder the start and success of any relevant initiatives?

3.4 Tools to engage with and analyse stakeholders

Governance of a metropolitan region may have a number of agencies and technical arrangements in place, but these are only the supporting mechanisms. The **fundamental nature of governance is in the relationships between** stakeholders; whether they are duty bearers, interest groups, implementing agencies, citizens as service users, or any other type of interested actor.

It is therefore essential to approach consultations with stakeholders with this in mind, and to not just think of them as the source of useful information. All stakeholders have the potential to contribute a great deal more than just facts. Consultation processes that bring actors together can, in addition to eliciting necessary information, contribute a lot towards building shared understanding, consensus on the issues, and joint commitment to solutions. This fact should be kept in mind when choosing consultation methods.

Another important fact to remember is that stakeholders, their relationships, attitudes and perceptions are an essential aspect of understanding soft capacities. Only thinking about technical issues in consultation will not lead to an understanding of the whole picture. Thus, consultation with stakeholders needs more nuanced exploration of less tangible matters. It is especially important to explore stakeholder assumptions about the issues and their attitudes to change.

In general, consultations are needed for three main purposes:

- To gather required information that is not otherwise available;
- To assess soft capacity within the stakeholder group(s), including all aspects of the political economy; and
- To generate stakeholders' ideas for, and joint commitment to, shared action on solutions.

As a final note: It is advisable that stakeholder contributions are rigorously triangulated to ensure that not one view dominates inappropriately over others.

Tool 8: Stakeholder Mapping and Analysis

Relevance	**This tool is at the core of the capacity assessment. It can be used to identify who should be involved in the process to assess capacity and whose capacities to asses.** **Mandatory**
When to use the tool	Phase 1 Preparation: identify key stakeholders. At this stage the tool is used to identify the key formal and informal stakeholders. In phase 4 the tool is used to detail the roles of actors and the linkages between them. This is an essential input in order to assessing the available capacity.
Guiding question	Who have primary (and secondary) stakes in a metropolitan issue?
Metropolitan issues	Metropoles have many capacitated primary stakeholders and also many secondary stakeholders due to spillover effects, but also many different agendas and a politicised environment.
Comments	This is considered to be an extremely important and helpful tool, which is at the core of a capacity assessment.

As noted above in Part 2, stakeholder mapping and analysis are very important aspects of the capacity assessment process. It is essential to know who all the relevant stakeholders are in order to identify existing and potential capacities, such as expertise, resources, political support for action. Initially, the assessment team will create a simple brainstorm list to identify whom to talk to in order to get started. But as the process goes on, it will be important to map and analyse all stakeholders in more detail, using guidance such as the diagram below, or the tool from GIZ offered at the end of this section. The assessment team should choose the mapping method that seems to fit best to their current needs. One method has no significant strengths or weaknesses compared to others.

To ensure that no stakeholder or group dominates the findings inappropriately with their perspectives or recommendations, it is always necessary to both triangulate data, and to involve a number of different individuals and or agencies in reviewing the map and analysis. This is of course also valid for the other tools in this metropolitan capacity assessment.

Different parts of the tool that follow can be used at different stages of the assessment, for example:

- As a **planning tool** for deciding on activities to involve different groups of stakeholders;
- As a **workshop exercise** to get participants' perspectives on how they and others are involved in a sector (see the e.g. **Tool 12 Workshop Design for Interactive Learning** as a guidance) or,
- To help **analyse** what has been learned about different stakeholders and the relationships between them.

Figure 7: Basic Elements of a Stakeholder Map

As an initial step, brainstorm the first list of stakeholder groups focussing on appropriate key individuals interested in the issue. This list will likely be added to and refined as you work through the various assessment activities. When creating the first list, give consideration to the groups mentioned in the figure above.

Having done this, it might be useful to group the stakeholders into those **central** to the exercise, and those that are **peripheral**. It will help you to make decisions about process priorities and the allocation of resources for engagement.

The questions below can be used by the core assessment team, or any other relevant group, for example workshop participants, to develop a comprehensive understanding of the stakeholders and all the relationships, shared interests, etc. across the map.

8.1. Analysis of stakeholder map

In complex systems no one agency is able to achieve very much alone. Thus, many forms of cooperation and collaboration are needed across networks of actors. This is very much the case for metropolitan governance where stakeholder relationships are fundamentally important for the effectiveness and sustainability of arrangements for any theme. So, as noted above, the capacity of stakeholders and the relationships between them are essential elements of effective and sustainable metropolitan governance.

At any stage in the process, but particularly when conclusions and recommendations are being formulated, it is crucial to analyse the relevant stakeholders. Understanding them as part of a living system helps frame the complexity of their individual and shared ideas, interests, feelings, perceptions, networks, assumptions, motivations, and so on, plus of course their relationships with others in the system. It is only when this understanding is in place that it will be possible to identify windows of opportunity for change, and to make viable recommendations for future action.

To understand the nature of any cooperation arrangement, it is necessary to look at the benefits for those involved, the synergies between them, the transaction costs, and the fairness and balance of arrangements.

To prepare an accurate map of actors you need to:

- *Define and demarcate the scope*: Start by clearly formulating the key issue in order to circumscribe the area to be mapped and clearly determine the number of actors to be included.
- *Define the point in time and intervals*: The actors form a dynamic system of mutual interdependencies. This web of relationships can change very quickly. It is therefore important that you note the point in time at which the analysis of these relationships was carried out.
- *Separate the perspectives*: Each actor has his or her own perspective. A map of actors therefore only ever represents the perspective of the individuals or groups involved in preparing it.

Key questions for the map of actors:

- What do you want to achieve using the map of actors? What specific issue do you wish to address?
- When do you draw up the map of actors and when do you update it?
- Whom do you wish to involve in drawing up the map of actors?
- Were maps of actors drawn up for an earlier phase of the project? You may wish to use them for comparison purposes.

How to proceed

Step 1: Formulate the key issue

By producing a map of actors, what issue do you wish to address at a specific stage of a (future) project? The answer will assist you in steering. It is a good idea to write down this issue on a flip chart so that it is visible while you are working through it.

Step 2: Identify the actors

First of all, identify all the actors relevant to the project or a specific issue. Then assign each of them to one of three groups, namely key actors, primary actors and secondary actors. To create a map that will yield useful information remember to include all the main actors, without overloading it with too many visualised elements.

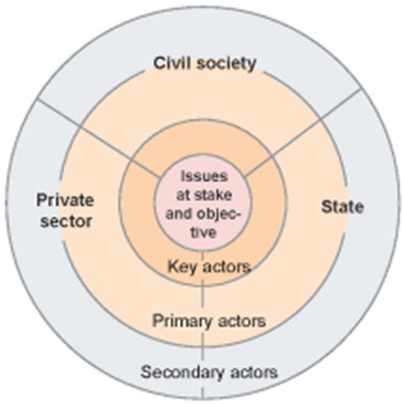
Step 3: Select the form of representation

You can visualise the map of actors in two forms, as an onion or as a rainbow (as shown in the graphics below). Both options allow scope for assigning the actors to one of the following three sectors: the state (public sector), civil society or the private sector (you may need to differentiate between other sectors in specific cases).

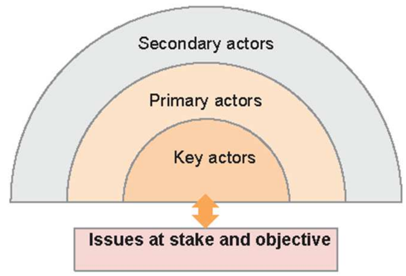
These graphics from the 'Map of Actors' tool are a good way to organise information in a visual format, and two are reproduced below for those who do not have access to Capacity Works. The different levels of actors could be changed to fit the need, for example, 'National, Metropolitan, Municipal', or any other variation relevant to the area under consideration.

Figure 8: Map of Actors

The Onion:



The Rainbow:



When reviewing any stakeholder map, however formulated, the following questions will be useful to guide the analysis.

Core information

- Who are the key actors? What different institutional interests are shown?
- What do we know about each group/individual? What, specifically, are their interests in this theme or issue? Do they already have stated goals?
- Who, if any, are relevant stakeholders missing from the map?

Change agents

- Who are the change champions for this theme?
- Who has the power to act and bring about change?
- Is this group or individual a potential partner, ally or resource for change?
- Where is resistance likely to occur?

Engagement

- What is the best way to communicate with the group or individual?
- Who is best placed to engage them?
- How will this assessment process benefit if they engage?
- How will they benefit if they engage? (What's in it for them?)
- Are there any risks in engaging this group or individual? If so, how can the risks be mitigated?

Arrangements

- What do you see as the important aspects of both formal and informal arrangements?
- What are the important differences between formal and informal arrangements?
- What levels of effectiveness and efficiency do the current division of functions provide?
- Coordination – what is working and what isn't, and why?
- How well do these arrangements address the needs of all residents within the region, in particular women and any vulnerable groups?

Links

- What links exist between the groups?
- Have they already identified any shared goals or initiatives?
- What links need to be built between groups and or individuals?

Summary

- Has anything else emerged as interesting or important from this visualisation?

The answers to these questions will help you to identify which respondents can contribute relevant data and perspectives, and the most effective way to get them engaged. This will help you to decide who to involve in:

- The design and set up activities;
- The consultation activities – the level and nature of contribution you need from each;
- Triangulation of data and findings; and,
- Dissemination of conclusions and recommendations.

Tool 9: Force Field Analysis

Relevance	**Identify what factors a metropolitan intervention and its capacity assessment component should consider.**
When to use the tool	A Force Field Analysis can be used in phase 1 in order to identify what impact actors are likely to have on a metropolitan initiative. It can also be used in phase 2 and 3, in order to assess the forces that stimulate or hinder a metropolitan intervention and its capacity assessment component.
Guiding question	What forces drive or restrain a metropolitan intervention and/or its capacity assessment component?
Metropolitan issues	Due to the large number of actors and spill-over effects in a metropolitan setting, many actors and situations may drive or restrain an intervention.
Comments	--

A Force Field Analysis describes all forces which either support or restrain a metropolitan intervention. The present situation remains more or less as it is due to an opposing set of forces, illustrated in the example in figure 9. The forces which are supporting a move in the direction described by the objective are called the driving forces, and those that tend to resist movement are called restraining forces. The forces have different strengths, and these are symbolised by the different lengths of the arrows. A metropolitan intervention is concerned with change. We want to move from the existing situation to one where we are achieving more or better quality results. The objective which you have defined describes the changes you hope to achieve. Therefore, in order to achieve a metropolitan intervention, one may either try to strengthen the driving forces or reduce the restraining forces.

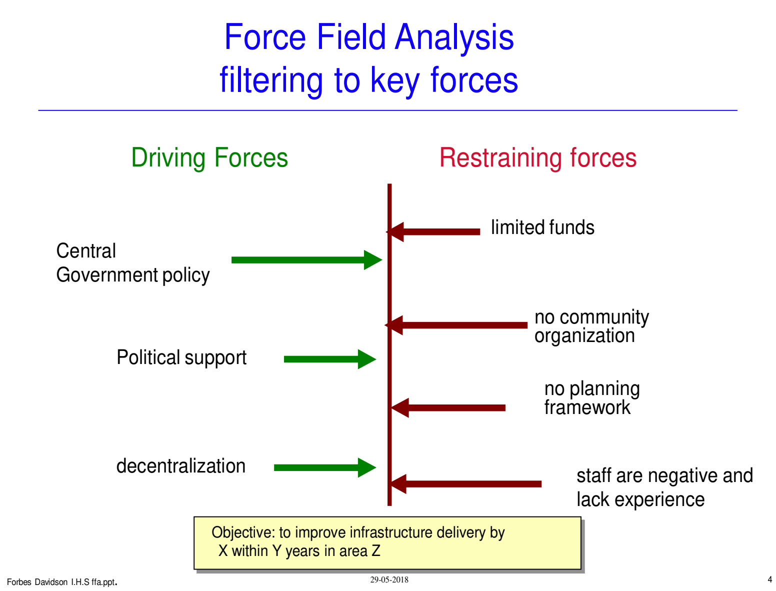


Figure 9: Example of a Force Field Analysis

Source: Forbes Davidson (2003), Action Planning Exercise, Rotterdam: IHS.

Tool 10: Options for Stakeholder Consultations

There are a number of ways in which stakeholders can be consulted. The guidance given below will help the assessment team to decide which type of consultation method would be best for each of the respondents or groups they need to consult. The following three tools are optional and can be used at all stages and in combination with all other tools. These are tools which offer guidance on how to consult with stakeholders.

Overview of methods

As noted in Guidance Notes (Part 2), the main options for consultation are:

- Questionnaires and surveys;
- **Interviews (in depth:** Tool 11: Guiding Interview Questions**);**
- Focus group discussions; and,
- **Workshops (in depth:** Tool 12: Workshop Design for Interactive Learning**).**

Whichever method is chosen, the tools and or the process will need to be developed specifically taking account of:

- The purpose and focus of the assessment;
- The stakeholders being consulted; and,
- Availability of resources.

Additionally, this tool explains what is available in other tools useful for planning purposes, and provides some guidance about what to consider when making the choice of activities.

10.1 Questionnaires and Surveys

A questionnaire or survey, gathering quantitative data, can be structured in a number of different ways using open or closed questions, rating scales, or a combination of all three.

When to use

- When many people need to be consulted;
- When respondents are not easily accessible by other means; or,
- As a preparatory step to other methods like a workshop

Advantages

- Good for consulting large numbers, across different stakeholder groups.
- IT options like Survey Monkey opened up quick and accessible implementation options.
- Using closed questions requiring 'yes – no – maybe' type answers, or rating scales, make data aggregation relatively easy and provide a good basis for working with quantitative indicators and doing comparisons.
- Reflection of a general perception/understanding of theme across stakeholder groups

Disadvantages

- Response rate may be low.
- Depending on technology or methodology used, may need significant resources for data collation.
- No opportunities to explore issues in depth as responses restricted by the questions.
- Generally not useful for working with qualitative indicators.

10.2. Interviews

An interview can be chosen for individuals, or very small groups of two or three people, who are able to provide valuable information, advice or insights.

When to use

- When it will be valuable to have direct feedback from the respondent; and,
- For situations where the respondent may have something sensitive or confidential to say, that they would not be willing to share more publicly

Advantages

- Direct feedback from respondent, which can be probed and clarified.
- Issues can be explored in depth by exploring the points raised by the respondent.
- Can provide rich data, with details and insights that would not be accessed by a questionnaire.
- Personal interaction with the respondent can lead to more information, and possible future benefits.
- Flexibility of arrangements to suit the interviewee.
- Gives the opportunity to explain or clarify the assessment process to increase the relevance and accuracy of information provided.

Disadvantages

- Can be time-consuming and expensive to arrange and conduct face-to-face interviews.
- Only works well if interviewers are well prepared and skilful both about the subject matter and in questioning techniques.
- The interviewer can bring bias to the interview by the way they respond to answers.
- Too much flexibility in how interview questions are phrased can result in inconsistencies in the data gathered.
- Analysis can be difficult when the data gathered is a subjective mixture of facts, opinions, perceptions, etc.

Resources available

See Tool 11: Guiding Interview Questions for a listing of detailed interview questions.

10.3. Focus group discussions

A focus group discussion is a qualitative research methodology which is used not only to find out what people think about a particular issue, but also why they think that way. It is typically a small group of carefully selected people, who come together for a meeting that is guided by a facilitator who has prepared questions for the group to discuss.

When to use

Focus group discussions can be used to get 'customer' feedback, for example, users of public transport, in order to understand their commuting experiences first hand, or to explore an issue in depth through a guided discussion.

Advantages

- Direct feedback from the relevant group members.
- Group members can build on each other's responses, improving the range and quality of information.

- Provides deeper understanding of stakeholder constellations through their direct/indirect interactions with other group members.
- Can provide very rich data, new ideas and information.
- Can aid the interpretation of data from other sources, like surveys.
- Allows flexibility to dig deeper when helpful and needed.

Disadvantages

- The information and opinions given may not be truly representative of the target population. It represents individual opinions.
- Outspoken individuals can dominate discussion unless the process is carefully managed.
- The facilitator has less control over the discussion than in an individual interview.
- Time consuming and expensive to set up, run, transcribe and analyse.

10.4. Workshops

Workshop is a word used to describe events where groups of people come together for a specific purpose. While workshops must have a pre-defined subject, they do not have pre-defined content in the same way as a technical training activity. The purpose of a workshop may be consultation, problem solving, exchange of experience, dissemination of information, and/or generation of new ideas.

A workshop programme should be designed not only with inputs to guide content, but also with exercises that will elicit the participants' knowledge and experience and stimulate the cross-fertilisation of ideas and new thinking. The facilitators may be experts in the relevant subject, but their role is not to be the sole source of knowledge and expertise in the room. Rather, it is to facilitate others to share and learn. Ideally, the result of a workshop is that participants and facilitators leave with new learning that will enable them to do something better compared to before. An additional, workshops can be used as important means to **build consensus**, an aspect highly valuable for Metropolitan Governance. Metropolitan governance is all about dialogue and negotiation, so a workshop is a good way to know and understand what the other stakeholders think, and how to come together to start addressing common challenges.

When to use

- When it will be helpful for participants to share their knowledge and experience across different interest groups or disciplines;
- When there is a need to generate learning about an issue; or,
- When the participants can contribute to the generation of solutions or ideas for innovations.

Advantages

- Can bring together key stakeholders to work together on finding common ground and shared solutions.
- Enables cross-fertilisation of knowledge that can stimulate creativity and innovations.
- Allows for the levelling off of uneven knowledge or understanding among key stakeholders.
- Allows for the capture of good quality qualitative information.
- Allows in depth exploration of issues and potential solutions for challenges.
- Working face to face ensures participants understand and can express their views about the issues.

Disadvantages

- Can be very expensive, especially if participants need to travel away from their home base to attend.

- Consultation with a relatively small number of people means that information gathered cannot be generalised.
- Can be dominated by individuals or small groups.
- Can be difficult to persuade busy people to attend.

Resources available

Tool 12: Workshop Design for Interactive Learning provides guidance on what to consider when designing a workshop, plus some suggestions for activities.

Useful tools for Analysis of Stakeholder Consultations

Other tools offer lists of questions and tables that may be helpful when designing a stakeholder consultation activity. In particular it might be useful to look at

- **Tool 13:Analysis and Identification of Windows of Opportunity**
- **Tool 14 Format of a Capacity Development Strategy**

It is neither advised nor expected that any of these tools be used in its entirety. They are provided to give ideas about what to ask to get the required information. Assessors should look at what each tool covers and select the questions and tables to include in the enquiries according to the issues to be covered and who is consulted. Where relevant, the wording of questions should also be changed to make them fit more accurately to the purpose of the enquiry.

Tool 11: Guiding Interview Questions

Interviews will be conducted with many different people, all of who will have their own areas of knowledge and expertise to contribute to the assessment and analysis of issues. The following points are particularly important to remember when selecting questions in preparation for an interview:

- Review the facts and figures tools you have used to select the questions you need to ask the respondent you are going to interview:

  Tool 4: Core Urban Data Guidance Sheet

  Tool 5: Metropolitan Financial Arrangements

  Tool 6: Responsibilities and Functions at City Level, and

  Tool 7: Self-Evaluation of Cooperation Needs

Once the questions have been selected, they should always be adapted to make them specific and relevant to what the respondent can contribute.

- Although they cover many different points, the questions are not exhaustive in terms of local relevance. The assessor/s may also need to include questions about local issues or arrangements that will elicit more specific information from interviewees.
- In addition to gaining information about the current situation, it is equally, and in some cases, more important to understand the stakeholder's requirements for the future and their recommendations for change and taking things forward. So whenever possible, the interviewer should probe for ideas and recommendations for action.

Taking questions from the facts and figures tools will cover many aspects of how national and regional government entities function, and related issues such as any legal conditions and formal arrangements that are in place. That type of question may be relevant for only a few respondents. The sets of questions offered below are for different groups of respondents and are more generic. So, they can be used to explore both formal and informal arrangements, about any issue and dig deep into local perspectives. The questions below have been formulated to be used in an interview about *public transport*. They have to be adapted to be relevant for your theme or issue(s). The types of respondents for whom these questions can be used include: local government officials; technical experts related to the theme; NGOs or citizen bodies with particular interest in local governance matters for *public transport*; researchers with good knowledge about *public transport* in the region; and, private sector representatives, for example a chamber of commerce.

Questions to consider for specific respondents

- Currently, what **formal or informal mechanisms or instruments** are in place with regard to *public transport*? (For example, in terms of metropolitan region-wide planning; service delivery; fair cost-sharing across the region; residents' access to decisions; responsiveness of the municipalities.)
    - How well do they work? If well, what are the **contributory factors**? If not, what are the **challenges and constraints**?
    - What **tensions** have tended to occur, if any, and why?
- What formal or informal initiatives or changes for *public transport* have been tried in the past? **Why didn't they work or get sustained?**
- To what extent, and how, has the **private sector/civil society** had an opportunity to influence or shape decisions about *public transport* at the metropolitan level?
- What is most needed for improved *public transport* governance at the metropolitan region level?
    - What are the reasons it hasn't happened yet and the main difficulties in achieving change?
- **What can other metropolitan regions learn** from the governance experience of your metropolitan region to date? And vice versa, do you know of anywhere having good *public transport* governance arrangements that you can learn from?
- Going forward, what will be the main challenges for providing *public transport* in this metropolitan region?
- Will the current governance structure be adequate to address these challenges? If not, **what is the most important need** to strengthen this metropolitan region's governance for *public transport*? What are the main challenges to make that happen?

Again it is important to note that these questions should be used selectively, and always carefully crafted to fit the specific contribution that the interviewee can make.

Tool 12: Workshop Design for Interactive Learning

12.1. Formulate objectives

A good workshop design depends on a number of factors, one of which is ensuring a good fit between the process (activities and sequence) and the participants. **It isn't possible to identify which participants you want or need to invite, or the best process to use, until you have clarified what it is you expect or hope to achieve in the workshop.** The first planning step should, therefore, be a formulation of the workshop objectives, based on the purpose of the overall assessment (see Part 1: Start-up).

An example of objectives for a workshop to bring together stakeholders around a potential trigger point might be: *By the end of the workshop the participants will have:*

- *Contributed their knowledge and experience of (trigger point) in order to create shared understanding;*
- *Generated learning about current capacity and major constraints; and,*
- *Identified opportunities for action around potential entry points and approaches for developing a change initiative.*

Having clear objectives will help your invitees to understand what they are being asked to participate in and whether or not it is relevant to them and their work. The objectives will also guide what outputs you expect to get from the different activities.

12.2. Know who will be in the room

The best results come when workshop activities are designed to maximise what the participants can contribute to the objectives. It is much easier to fine-tune the activities when you know something in advance about the participant group. It is also important to understand that a workshop is not just a finite event. It is part of an ongoing process of people's engagement with the issue in question. Whatever the participants take away from a workshop can contribute to and influence their future decisions and actions.

Planning can and should be guided by the answers to the following questions:

- Who will be in the room?
- What knowledge, skills and experience do they bring, and how can they best share it with others?
- What learning will be useful for them to take away from the workshop?
- What will they do with the learning after the event?

12.3. Choose relevant activities

See below for explanation of activities in **Annex I: Selection of Workshop Elements**.

A guide of this nature cannot give detailed guidance about how to choose activities for a workshop because every workshop will have its own specific objectives and unique participant group. There are, however, some principles that, if applied, can help to ensure successful workshops.

Design to meet objectives

Always keep the objectives in mind when selecting and sequencing activities. For example, in order to achieve the objectives given above, the following types of activity might be considered:

- Contributed their knowledge and experience of (trigger point) in order to create shared understanding;
- Suggested activities: information provided in advance of the event, presentations, gallery walk - market place, river of life, pair work, story telling, guided reflection, expert inputs.
- Generated learning about current capacity and major constraints;
- Suggested activities: small group discussions, case studies, mapping exercises, role plays, SWOT analysis, analysis using capacity frameworks.
- Identified opportunities for action around potential entry points and approaches for developing a change initiative
- Suggested activities: visioning exercises, brainstorming, small group discussions, story boards, mapping.

Timing

Be realistic about what can be done in the time available. Very often workshop planning lists many different activities without allowing enough time for each to be done properly. It is better to have fewer exercises done well, than a lot done poorly. Making decisions about timing will depend on the number of participants, for example the time needed to take feedback to plenary from small groups, is dictated by how many groups there are.

Always allow time at the start for clarification of the objectives and the program. Introductions are also important so that everyone knows who else is in the room, but care needs to be taken that introductions don't go on too long.

Refreshment breaks are very valuable for informal and unstructured processing to take place between participants. Allow enough time for people to talk as well as get their refreshments. If the lunch is available on site the break does not need to be very long, but if the lunch is outside the venue, or people need to get their own, enough time needs to be allowed.

Always leave some time at the end of the workshop day for reflections on how things have gone, what the participants have learned, what questions they still have and so on. See the section below about what to do before the workshop concludes in order to ensure that the necessary outputs are achieved.

Participation

It may be that everyone in the workshop already knows each other, but that does not happen very often. Icebreakers can be useful for helping everyone to feel more comfortable in the group. In some places icebreakers are considered essential and can take up a lot of time. However, in other places and groups icebreakers of the wrong sort simply make everyone uncomfortable, so they should be used with caution. Whatever the decision about icebreakers is, every workshop should start with a step that introduces all participants and facilitators to each other.

Ensure that activities encourage and support the participation of everyone, not just a dominant few. Using small group discussions, buzz groups, or asking for an idea from everyone in turn are all ways to ensure that everyone can contribute. It is especially important to pay attention to this when there are, for example, known gender inequalities in the context that mean women might not be empowered to speak in the presence of men, similarly if there are large status disparities among members of the group.

Another aspect of participation to remember is that not everyone is comfortable working in the realm of academic or analytical discussion that may not be their strongest literacy. Using exercises that offer alternative ways to present ideas, such as creating something visual, may often enable more people to contribute.

Have fun

However serious the subject of the workshop is, the outputs will inevitably be better if the participants are enjoying the process and engaging with each other. Designing the steps and activities to be varied, interesting and stimulating will generate a lot more creative energy than a workshop program that is repetitive and boring. So, for example, in the sharing step a long series of PowerPoint presentations should be avoided. Getting participants to create their own stalls in a market place and then having everyone moving around to visit all the stalls is a much better option.

12.4. Capture the key outputs

It is not necessary to record every output or comment made in a workshop, indeed trying to do so is a lot of work that just creates excessive information of limited benefit. It is, however, very important that key outputs are captured to take forward after the workshop. In order to guarantee that this happens, it is important to ensure that:

- The objectives and the exercises chosen move the participants systematically through the workshop steps towards producing the expected outputs. These might be in a number of forms, including: summaries and analysis of information; a group statement; recommendations; commitments to ongoing engagement; and or, a clear action plan;
- The facilitator/s keeps the process on track for creation of the necessary outputs, for example by not letting discussions go off onto unrelated subjects;
- Someone has clear responsibility for documenting the relevant outputs and any other important points that emerge from the process. The facilitator cannot do this: someone else needs to be responsible for making notes and gathering papers, etc. so that nothing important is lost; and,
- The final exercise in the process is designed specifically to review and synthesise what has emerged from previous steps and, where relevant, to generate recommendations and or agreement about next steps. It is not always possible to have everyone agree on recommendations or decisions. The

facilitator should first do a systematic review and try to get consensus among participants about the key outputs from their process. However, if that is not possible it is important to ensure that key differences, and the reasons for them, are recorded so that they can be taken into account as part of the overall capacity assessment analysis. In this respect it is particularly important, if there are some dominant actors in the workshop, to capture the views of any dissenting voices, for example getting the women's perspective if the group is predominantly male.

NOTE: It is common for some people to leave a workshop before the end of the day. Very often these are people who are quite senior and therefore very busy. They are, however, the people who can make really helpful contributions to the workshop objectives. It is helpful to be aware of this fact and have in hand some way to capture their ideas and recommendations before they leave. Asking them to complete a simple questionnaire before they go is likely the best way to get this done.

3.5 Tools for analysis and conclusions

The assessment of **Facts and figures** should be on-going throughout all stages of the process, checking the outputs and findings of all activities. Right from the start, as information is assembled or understanding emerges, the assessment team should be considering the relevance of the facts and figures that are collected and use this information to guide next steps. The purpose, focus and scope of the assessment may, on occasion, need to be renegotiated and or refined as more stakeholders get involved or understanding of the issues deepens.

Tool 13: Analysis and Identification of Windows of Opportunity

The questions offered in this tool, appropriately adapted to the theme, should be used as one of the concluding steps to create clear analysis of the data gathered during the assessment activities. As with all other tools offered, this tool can also be used selectively throughout the entire assessment process, whenever any part of it is helpful, e.g. analysing interim results in order to readjust the assessment process to achieve a comprehensive result.

Relevance	**This tool can have three different objectives:** • **To collect background information on legal, historical, institutional and political-economic issues.** • **To explore and operationalise what capacity building has most benefits.** • **To identify the bottlenecks and champions of a capacity building assessment.**
When to use the tool	Phase 2 Project identification: setting a mandate and an assessment team. At this stage, the tool is used for a brainstorm on topics for a metropolitan initiative, which would 'open windows of opportunities'. Phase 4 Capacity appraisal: data collection. Collect relevant legal, historical, institutional and political-economic data. Phase 5 Approval: agree on a capacity development strategies. Identify trigger points/ drivers of change.
Guiding question	What metropolitan capacity can we best develop? If we open the window of opportunity, what do we see?
Metropolitan issues	All metropolitan issues apply, especially the historical path dependence.

13.1 Current arrangements in the general background environment

Good understanding of capacity for any specific theme is dependent on understanding of the capacity of the institutional/societal environment in which that theme is situated.

Legal framework

- Overall what are the strengths and weaknesses of the legal framework and current governance arrangements?
- How relevant and viable are current laws, strategies, policies, etc. and the political system?

Political context

- How much do citizens feel they can trust the political system?
- Do citizens believe the political system has legitimacy that works for their benefit?

Institutional arrangements

- What was the historical path to and justifications for current arrangements?
- What are stakeholders' perceptions about effectiveness of arrangements?
- What are the advantages and disadvantages of functional arrangements for this context?
- How well do current arrangements reflect good urban governance principles: Sustainability; Equity; Efficiency; Civic Engagement and Citizenship; and, Transparency and Accountability?

Other important points

- What weighting is to be given to findings on cross cutting issues (e.g. gender, youth)?
- Is any type of reform process or major initiative currently in progress?
- Are there any specific conditions or upcoming events that could be a trigger for change?

What works and what needs changing? What are the overall findings about the general background environment and what conclusions and recommendations can be drawn?

13.2. Assessment specific to the theme or potential trigger point

Political economy of the stakeholder groups and their relationships:

- Who holds power and how do they use it, visibly and invisibly?
- What levels of collaboration, cooperation and trust already exist between key groups?
- What, if any, relevant conflicts or tensions exist? How can they be resolved?
- Who are the change champions?
- Are (potential) drivers of change top down or bottom up driven?
- Where does the most significant resistance to change exist?
- What incentives do stakeholders want/need to see in place before they will engage?

Themes

- What enabling conditions (for example laws or fiscal arrangements) are already in place? Will these conditions support change? If not, what needs to be put in place?
- What mechanisms and instruments (political, institutional, financial, social or sectoral) exist that would support an initiative in the theme? How efficient and effective are they?

If formal arrangements are in place

- Which institutions and agencies are responsible?
    - What is the absorptive capacity of existing institutions and agencies?
    - Would it be necessary to create new institutions or agencies?
- What is the correlation between the institutional arrangements and the proposed trigger point?

If no formal arrangements are in place

- What, if any, are the informal arrangements that have been made? By whom?

For both formal and informal arrangements

- What horizontal and vertical links and or arrangements exist specific to this trigger point?
    - What is the quality and effectiveness of those links and arrangements?
    - Are they strong enough to support change initiatives?
- How well are arrangements working?
    - How well are stakeholders' needs met? If not sufficient, what else do they need?
- What technical capacities are in place?
    - What else is needed?
- Do any specific considerations arise from cross-cutting issues?
- What incentives or barriers for change exist?
    - Are the incentives adequate to support sustainable change? If not what might be effective?
    - What drivers of change could be leveraged to create incentives?
- What conditions in other parts of the system are relevant to change at this entry point?
    - What will support success?
    - What factors will impede success? In particular the lack of relevant conditions in other parts of the system.
- What trade-offs are already in place or would need to be negotiated to go forward?
- What weighting should be given to findings on cross cutting issues?
- What are the overall findings about the potential trigger point?
- What conclusions and recommendations can be drawn from the findings?
    - In particular are there any clear recommendations for further assessments to look in more depth at possible entry points?
    - Are there any opportunities for activities that would pilot or support the start of an initiative?

Tool 14: Format of a capacity development strategy

All the key findings and recommendations from assessments should be pulled together into a cohesive summary. This would most usually take the form of a report. Key stakeholders should review any reports before they are finalised in order to ensure accuracy of facts and the correct representation of opinions and perspectives of different groups. All the work undertaken to complete the assessment will be of little benefit unless clear steps are taken to follow up the results with action. There will be many variations on what the next steps might be, according to the nature and location of the assessment. However, two *essential steps* that should always be undertaken are:

- Sharing findings (analysis, summary and recommendations) with key stakeholders; and,
- Deciding how to follow up on the identified windows of opportunity, for example through the design of a project and proposal development.

Other activities that may be considered might be:

- Creating a publication to share findings more generally,
- Commissioning a more detailed research study on particular aspects of the theme; or,
- Using selected findings for lobbying national government or development partners.

This section depicts a **reporting format** for a capacity development strategy, which forms a possible outcome of a capacity assessment process. The depicted format is useful for capacity assessors, because it offers a guide on how to fund, manage, monitor and evaluate the capacity assessment. If one would instead aim to build political commitment or inform the public, the strategy might be put into another format, such as a leaflet, presentation, website, you-tube movie, radio message, etc. The proposed sections of a capacity development strategy includes the following sections:

1. Introduction

Briefly describe the urban initiative that the capacity assessment enables, why the strategy is important, its context and the structure of the report.

2. Background

- ➔ overview of the broader metropolitan problem and initiative for which one assesses capacity (phase 2).
- ➔ description of the political economy within which the capacity building takes place (i.e. opportunities and challenges of metropolitan cooperation based on historical path dependence and power relations). (phase 4)

3. Capacity needs

This section draws on a stakeholder analysis in order to describe the capacity needs of all stakeholders. The findings of tools 4 to 7 are presented.

- ➔ What are the capacity constraints in terms of staffing, organisational capacity, networks/cooperation and regulations and the effects of capacity constraints on sustainable and equitable development in the metropolitan region? Phase 4, see also GIZ Capacity Works: capacity development strategy (tool 8)
- ➔ What capacities are needed for the proposed initiative and what are the capacity gaps? (Phase 4)
- ➔ include a stakeholder map and the following table(s) as a summary of findings, focused on the capacities needed for the metropolitan initiative:

We propose to include a stakeholder map and the following table(s) as a summary of findings, focused on the capacities needed for the metropolitan initiative:

Table 10: Identification of the capacity gap

Level	Actor	Present capacity	Needed capacity	Capacity gap
Individual level	Actor 1			
	Actor 2			
	…			
Organisational level	Actor 1			
	Actor 2			
	…			
Cooperation level	Cooperation 1			
	Cooperation 2			
	…			
Enabling frameworks level	Law…			
	Programme…			
	…			

4. Windows of Opportunity

This section describes the windows of opportunity that capacity development opens (i.e. the contribution(s) of capacity building to the metropolitan initiative and to metropolitan development in a broader sense). It also mentions indicators of success, such as how many beneficiaries are reached, the potential contributed to metropolitan development, e.g. income increased by 20%). Finally, the section mentions the sources of information or methods used to verify the achievements of the indicators.

This section particularly relates to **tool 13 Windows of Opportunity**.

5. Objectives

This section describes a broad and a specific SMART objective.

It first mentions the overall, broad, long-term objective to which the capacity building aims to contribute (i.e. the benefits for all urbanites, especially the urban poor). Key indicators can be mentioned, which are specified in quantity, quality and time. The sources of information or methods used to verify the achievements of the indicators are mentioned as well.

Second, the section mentions specific objectives, that is: what the recipients/direct are clients able to do after the

capacity building intervention. Key indicators are specified in quantity, quality and time and the sources of information or methods used to verify the achievements of the indicators are given.

The section mentions the key assumptions (factors outside project management's control) that may impact on meeting the objectives. In a metropolitan context, negative spillovers, unpredictability, mistrust and politicised environments form major risks. On the other hand, capacity building may benefit from agglomeration economies, successful past experiences and available and innovative forms of network governance.

The objectives have been defined in phase 2 of the process and refined in phase 5. The **tool 1 problem analysis** **and tool 3 SMART** objectives can be used.

6. Outputs

This section lists and describes the capacity building outputs in terms of hard and soft skills, individual competences, organizational development, partnerships and enabling frameworks. For each key indicators are given, such as number of people per stakeholder trained per topic and level, by whom, where and when. The sources of information or methods used to verify the achievements of the indicators are given as well, as are the important assumptions (factors outside project management's control that may impact on the outputs).

See also **chapter 1.3 what is metropolitan capacity?** and **phase 2: purpose, focus and scope of the assessment**.

Note that other tools may offer the specific information required to identify and specify outputs, indicators and assumptions.

To capture capacity gaps, outputs and indicators, the following table is recommended

Table 11: Outputs to be achieved

Level	Actor	Capacity gap	Outputs	Indicators	Assumptions
Individual level	Actor 1		*These may include training, workshops, on the job training*	*Number of people, duration,* …	
	Actor 2				
	…				
Organisational level	Actor 1		*Including changes in organizational management, structure and HRM,*	*Number of changes; …*	
	Actor 2				
	…				
Cooperation level	Actor 1		*Including changes in/ new cooperation and forms of cooperation*	*Number of people involved , ..*	
	Actor 2				
	…				
Enabling frameworks level	Actor 1				
	Actor 2				
	…				

7. Activities

This section lists and describes the key activities to be carried out in order to build metropolitan capacity. The activities can be grouped according to research outputs and enumerated accordingly. Major milestones, quick-wins and assumptions are described as well.

This part of the report draws information from phase 5 of the process and the use of the tool 13. Note that other tools may offer the specific information required to identify and specify outputs, indicators and assumptions.

Table 12: Activities

Output	Activity	Who	When	Assumptions	Budget
1 …	1				
	2				
	…				
2 …	1				
	2				
	…				
3 …	1				
	2				
	…				
…	1				
	2				
	…				

8. Risk assessments and spill-overs

Metropolitan capacity building projects run major risks, including negative spillovers, unpredictability, mistrust and politicised environments. As all other projects, additional risks may arise due to political change, disasters, etc. On the other hand, the projects may also have windfalls due to agglomeration economies, successful past experiences and available and innovative forms of network governance within the metropole.

- ➔ Explicitly describe the risks, as well as the economic costs and benefits of the metropolitan initiative. Complex and larger projects may prefer to conduct an economic cost-benefit analysis, sensitivity analysis, or use another tool to measure and compare costs and benefits within a complex and risky metropolitan context.

This section of the report draws on all phases and tools. It is the most difficult part, because it has to assess the link between capacity building and its metropolitan (governance) context.

PART 4: ANNEX

Annex I: Selection of Workshop Elements

A selection of icebreakers and energisers

Three Questions Game: Everyone in the group writes down 3 questions they would like to ask others in the group. Not the normal "what's your name?" type questions but something like,

- Where is the most interesting place you ever travelled to? or
- What issues do you feel absolutely passionate about?

Give them time to mingle, and to ask three different people in the group one of their three questions. Bring the group back together and have each person stand and give their name. As they say their name, ask the group to tell what they know about this person.

The Pocket/Purse Game: Everyone selects one item from their pocket or purse that has personal significance for them. They introduce themselves and do a 'show and tell' for the selected item and why it is important to them.

Birthday Game: Have the group stand up in a straight line. Tell them to re-arrange the line so that they are in line by their birthday. January 1 on one end and December 31 at the other end. They have to do it without talking or writing anything down.

The Artist Game: Give everyone a piece of paper and a pencil. In 5 minutes they must draw a picture that conveys who they are without writing any words or numbers. At the end of 5 minutes the facilitator collects the pictures and shows them to the group one at a time. The group have to guess who drew it. After this each of the artists introduces themselves and explains how their drawing conveys who they are.

Three in Common Game: Break the group into 3's. Their objective is for each group to find 3 things they have in common. But not normal things like age, sex or hair color. It must be three uncommon things. After letting the groups talk for 10 - 15 minutes, they (as a group) must tell the rest of the groups the 3 things they have in common.

Famous People/Cities Game: As each participant arrives, tape a 3 x 5 index card on their back with the name of a famous person or city. They must circulate in the room and ask questions that can ONLY be answered with a YES or NO to identify clues that will help them find out the name of the person or city on their index card. EXAMPLES: Paris, Santa Claus, Nelson Mandela, Nairobi, etc.

Circle of Friends Game: This is a great greeting and departure for a large group who will be attending a seminar for more than one day together and the chances of meeting everyone in the room is almost impossible. Form two large circles (or simply form two lines side by side), one inside the other and have the people in the inside circle face the people in the outside circle. Ask the circles to take one step in the opposite directions, allowing them to meet each new person as the circle continues to move very slowly. If lines are formed, they simply keep the line moving very slowly, as they introduce themselves.

Ball Toss Game: This is a semi-review and wake-up exercise when covering material that requires heavy concentration. Everyone stands in a circle, facing in, looking at each other. Toss a soft ball to someone and have them say what they thought the most important learning point was. They then toss the ball to someone and that person explains what they thought was the most important learning point. Continue the exercise until everyone has caught the ball at least once and explained an important point of the material just covered.

Out on the Town Game: If you have a two-day meeting and need a quick warm-up for day two, ask everyone to pantomime something they did the night before. Individuals or groups can act out a movie they went to, describe a meal they ate, or recreate something they saw on the way home.

Straw & Paperclip Game: Give each group a box of straws not (flexible straws) and a box of paperclips. Check that the paperclips can fit snuggly into the end of the straws. Give each group a task (you can use the same one for each group if you want) and let them go. Sample tasks: Build the structure as a group – tallest, strongest, longest, most creative, most functional, etc. Debriefing includes describing teamwork and situational leadership skills used as well as how different models are needed to accomplish different tasks.

Two truths and a lie: Each person writes down three facts about themselves, one of which is a lie. Each person takes turns reading their list aloud and the rest of the team has to guess which one they think is the lie.

A to Z Freeze Game: The participants recite the alphabet in unison. After a while call 'stop!' and identify the letter they stopped on. Ask everyone to share something they are looking forward to during the workshop that begins with that letter. For example, if the letter is "F" they might say "finding our something new about …" or "finishing on time". Repeat a few times, stopping on a different letter and asking a different question each time.

Puzzles Game: Give participants a blank piece of puzzle (cut up a sheet of index card stock). Each person writes on the piece one skill which they can contribute to the group. The puzzle is then assembled to show that everyone contributes to the whole.

What if… Game: This is good for generating a feeling of shared problem solving. Everyone sits in a circle and the facilitator starts the process with a statement such as 'What if there was a flood in (*name of area*)? Going around the circle each person in turn has to make a statement about what they or the group could do to solve the problem, building on each other's ideas to generate solutions.

Yes, and … Story Game: The group sits in a circle, and someone begins with the introduction line to a story. 'There was a very poor woman living in (*name of area*) with her children. Going around the circle each person adds a line to the story, starting with 'Yes, and …' and building on what has already been said. Keep going around the group until there are no more ideas to add to the story.

Explanation of activities

Capacity analysis matrix: Small groups can be given a blank matrix with guidance about how to complete for the agency or issue being considered. Participants could be asked to complete a Capacity Analysis Matrix, as follows:

- Start with existing capacity:
  - Which entities, networks or sectors currently have capacity that enables the metropolitan area to deal with this issue, or some part of it, effectively and efficiently? Remember that capacity comes in many forms: it is not just about technical skills and resources, but also about 'soft' abilities like leadership, the ability to collaborate and manage change processes, and, problem solving skills.
  - Also think about the enabling environment, in particular the legal frameworks, actual and potential resource availability, the political will and support for change and so on.
- Next decide what capacity would need to be in place in 2030 if your vision is to be achieved. Again look at all the relevant entities, networks and sectors, and all the different types of capacity that they would need. Also look at the enabling environment and identify what is needed there.
- Now think about the opportunities and challenges that you think will occur when trying to achieve the vision.
- Finally decide about the recommendations you would like to make to the metropolitan area, and any other actor, including the national government. Your recommendations should be about clear, concrete steps that can help to take things forward. Please write each recommendation on a separate A4 paper.

Brainstorming: Brainstorming is a technique for enabling people to suggest ideas at random. The facilitator encourages everyone to participate, records everything, dismisses nothing, and prevents any negative comments about others ideas. When all ideas have been recorded, different coloured pens can be used to categorise, group, connect and link the random ideas. These can then be refined into lists or themes as required for further work.

Case studies: Case studies can be used in two ways in workshops. One way involves a prepared case study, which is given to small groups to participants with guide questions for their discussion and analysis. If it is lengthy it is best to send the case study to the participants in advance of the workshop, so that their time together can be used for discussion rather than reading. The second way involves asking the participants to create a case study of a particular challenge, or interesting project, based on their experience of what happened and how well it worked.

Gallery walk - market place: A gallery walk or market place is a good alternative to having a lot of PowerPoint presentations given to the whole group. Instead the participants create displays or 'stalls' of the information that they want to share with the whole group. This information - photos, charts, and any other interesting visual media – is put up on boards set out around the room. Participants are then put into small groups to visit the different 'stalls' in the market place, with questions to guide their observations, which are then used as the basis for plenary discussion.

Guided reflection: Guided reflection is helpful for many different reasons. For example, this approach is particularly useful for surfacing and challenging any assumptions that may be in place relevant to the issue. This can be done by working through a series of steps, as follows:

- What do you think is the best option to resolve this challenge, and why is this the best option?
- What assumptions underpin the choice? (Make a list.)
- Beside each one write a counter-assumption (a statement of the opposite)
- Work down the lists and delete ineffective assumption/counter-assumption pairs i.e. where it would make little difference to your choice whether the assumption or the counter-assumption were actually the case.
- Assess each of the remaining assumptions in terms of potential impact i.e. ask how critical is its truth to the success of the option?

Mapping: Participants are grouped according to their function/agency/area of expertise. They create a visual map on the floor of what is happening in different parts of the overall system under consideration, showing the links to other agencies/groups/ sectors and what is happening in those relationships, e.g. coordination (or not!). Colour coding for different types of actor, and for in/formal arrangements is helpful. Participants are then grouped into pairs or trios of people who don't work together and are given guide questions to review the map.

Figure 10: Example of a Map Produced during a MetroCAM Workshop

Pair work: There are many ways to use pair work in workshops. For example, participants can be split into pairs to interview each other to get in-depth knowledge of each other's understanding and experience on a particular issue. Pairs can also be used as a way for people to test out and refine their ideas before sharing them with the whole group. An advantage of pair work is that for shy participants it can be more comfortable to share their ideas than having to speak in a large group.

Annex II: Links to other resources for capacity development models

There is a wealth of other material, however not explicitly focused on capacity development within a metropolitan region. This section refers to some key guidelines and toolboxes. Please note that new material is published digitally on a daily basis.

The following resources are useful for anyone who wants to look in more detail at how capacity and capacity development are currently understood and practiced.

- Capacity Works, GIZ https://www.giz.de/expertise/html/4620.html
- Learning Package on Capacity Development LenCD www.lencd.org/learning
- European Centre for Development Policy Management [ECDPM] (2008) *Capacity Change and Performance: Insights and Implications for Development Cooperation.* Available at http://www.lmgforhealth.org/sites/default/files/Capacity_Change_and_Performance_Insights_and_Implications_for_Development_Cooperation_0.pdf [accessed 23 March 2016].
- EuropeAid
    - (2005) **Institutional Assessment and Capacity Development Why, what and how?** Available at http://ec.europa.eu/europeaid/sites/devco/files/methodology-tools-and-methods-series-institutional-assessment-capacity-development-200509_en_2.pdf
    - (2009) **Toolkit for Capacity Development**, Tools and Methods Series, Reference Document No.6, European Commission, Brussels available at http://ec.europa.eu/europeaid/sites/devco/files/guidelines-toolkit-capacity-development-2010_en.pdf
- SDC: Capacity development framework. Available at http://www.deza.admin.ch/en/Home/Themes/Learning_and_Networking/Capacity_Development
- UNDP
    - (2009) **Capacity Development: A UNDP Primer**, United Nations Development Programme Capacity Development Group, New York, 2009 available at http://www.undp.org/content/undp/en/home/librarypage/capacity-building/capacity-development-a-undp-primer.html
    - http://www.undp-globalfund-capacitydevelopment.org/en/functional-capacities/understanding-capacity-development/
    - http://www.undp-globalfund-capacitydevelopment.org/en/functional-capacities/developing-five-functional-capacities/project-governance-and-programme-management/
- WBI(2009)**The Capacity Development Results Framework**, World Bank Institute, Washington, 2009 available at http://siteresources.worldbank.org/CSO/Resources/228716-1369241545034/The_Capacity_Development_Results_Framework.pdf

- GLTN/ UN-Habitat (2014) **Capacity Development strategy,** Global land tool network, Nairobi 2014, available at http://unhabitat.org/books/gltn-capacity-development-strategy/ and capacity development tools example http://www.gltn.net/index.php/land-tools/capacity-development
- World Bank (2008) Capacity Assessment and Capacity Development in a Sector Context Tool Kit, URL: siteresources.worldbank.org/INTCDRC/Resources/CD_Toolkit.pdf
- World Bank (2009) The Capacity Development Results Framework. A strategic and results-oriented approach to learning for capacity development. URL: http://siteresources.worldbank.org/CSO/Resources/228716-1369241545034/The_Capacity_Development_Results_Framework.pdf

Metropolitan governance

1. GIZ (2016) Impact, Challenges and Functions of Metropolitan Governance for Sustainable Development.
2. GIZ/ UN Habitat (2016) Unpacking Metropolitan Governance for Sustainable Development. Analysis of Case Studies. Summary Reports of Case Studies.
3. GIZ/ UN Habitat (2015) Unpacking Metropolitan Governance for Sustainable Development. Discussion Paper.
4. Metropolis (2014) Comparative Study on Metropolitan Governance, URL: https://www.metropolis.org/sites/default/files/comparative_study_on_metropolitan_governance_eng.pdf

On-line toolkits on urban management and development

1. Toolkit for City Development Strategies 2.0 (Cities Alliance 2017) http://www.citiesalliance.org/sites/citiesalliance.org/files/CDS_Toolkit_Web.pdf
2. Decentralisation toolkit (World Bank) http://www1.worldbank.org/publicsector/decentralization/toolkit9.pdf
3. Local Economic Development Toolkit (UN Habitat) https://unhabitat.org/books/promoting-local-economic-development-through-strategic-planning-local-economic-development-led-series-volume-3-toolkit-tools-to-support-the-planning-process/
4. Roadmap for localising the SDGs: implementation and monitoring at subnational level https://www.uclg.org/sites/default/files/roadmap_for_localizing_the_sdgs_0.pdf
5. Housing needs survey http://www.academia.edu/18545213/Local_Housing_Needs_Assessment_A_guide_to_good_practice
6. SDI community upgrading toolkit http://www.citiesalliance.org/sites/citiesalliance.org/files/ACTogether-Toolkit-LEARNING-BY-DOING_0.pdf
7. Measuring the fiscal health of cities https://www.lincolninst.edu/sites/default/files/pubfiles/mcdonald_wp17bm1.pdf
8. Guidebook on Capital Investment Planning for Local Governments (World Bank): http://siteresources.worldbank.org/INTURBANDEVELOPMENT/Resources/336387-1169585750379/UDS13CIP.pdf
9. City Infrastructure Investment Programme and Prioritisation (CIPP) http://cdia.asia/download/ciipp-toolkit-brochure/

Annex III: Institutional Arrangements of Metropolitan Regions

Four types of institutional approaches that are (or have been) applied in metropolitan regions across the world are described in this chapter with city examples. The advantages and disadvantages of these "models" are then explained and a few cases that reflect examples of challenges to reach effective governance arrangements are described. See GIZ/ UN Habitat (2015) Unpacking Metropolitan Governance for Sustainable Development. Discussion Paper for more and deeper insights on the matters.

Typology of Institutional Arrangements

Most metropolitan regions do not have well established governance arrangements for coordination and financing at that scale (Metropolis 2014). The following four types of institutional approaches have been applied in some cities though, albeit mostly in OECD countries to date.

Inter-municipal Cooperation Mechanisms (in cases of fragmented governance structure)

Examples: Paris, France; Milan, Italy; Ruhr, Germany; Greater Toronto, Canada; Brazil (consortiums)[6]

These arrangements may take the form of committees, commissions, working groups, consultative platforms, etc.; or more permanent city networks, associations, and consortiums. They can be temporary or permanent bodies for coordination; sometimes on a specific issue, topic or investment project; sometimes for more broad-based collaboration. The local governments would join forces when it clearly benefits them and their constituents, compared with acting independently.

Metropolitan / Regional Authorities

Examples: Vancouver; Manila; Delhi; and common in France and USA

A regional authority is an independent legal entity; conceptually a voluntary organization established by the member local governments for planning and/or service delivery to make better use of their public resources.[7] Two or more local governments may associate in this way to achieve economies of scale. For example, for a transport network, jointly operate a waste disposal facility, etc. Some countries (e.g., France, Poland, and Italy) have established a separate legal framework for such arrangements.[8] This approach represents an administrative integration, with member governments represented on the governing board or council. Regional authorities, sometimes established as utility companies, can usually levy user charges for services provided, and/or collect from the member local governments. Some regional authorities have been given more extensive taxing powers (e.g. Vancouver).

Many variations of Regional (Metropolitan) Authorities exist. They can be distinguished in terms of being created:

- For planning purposes only, or for planning as well as service delivery;
- For a single sector (e.g. transport) or for multiple sectors;
- Having advisory authority only, or full decision-making powers for the sector(s) (or making decisions which need to be ratified by each local government council); and in terms of accountability,

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[6] Brazil has a separate legal framework for consortiums. This framework (a law of 2005) encourages the formation of consortiums, which in some cases can become entities somewhat similar to regional agencies. A new, stronger law is under consideration in Brazil, to make it mandatory for neighboring municipalities to form some kind of metropolitan governance arrangement.

[7] Such city-to-city arrangements are called "special purpose associations or districts" in the United States.

[8] In France called *communauté urbaine* ("urban community") or *syndicats inter-communaux* ("syndicate").

- With a council appointed or indirectly elected (by the member local governments), or directly elected by the residents of the area.

Second Level Metropolitan Local Government (or a Regional Government established by a higher tier government)

Examples: Directly elected (e.g. Stuttgart, Germany; London, U.K.); appointed by a higher-tier government (e.g. Minneapolis-St. Paul, USA).

The responsibilities for regional coordination, and some service delivery functions, may be vested with a separate local government. Such local governments would not necessarily be hierarchically above the other local governments in the area in terms of reporting relationships, but possibly of equal rank and legal status. For example: (a) no substantial authority over them (Dar es Salaam); (b) limited authority (Budapest); or (c) substantial authority over the area's lower-level local governments (London). They tend to be funded mainly through transfers from a national or regional government.

Metropolitan governance reforms have rarely emerged from local government initiatives only. A national or provincial government has usually initiated change by either imposing or encouraging it (OECD 2006). Although many metropolitan governments have been established by a higher-tier government, experience shows that such institution will often be weak unless they are supported by the local governments in the area with which it must work. (Slack 2007)

Second level metropolitan governments – and regional authorities as well - carry a risk that the access by residents will be negatively affected, and thereby accountability will be weakened or become unclear due to the more diverse and complex institutional structure. Therefore, in these cases, it is particularly important to make it clear to the residents "who is responsible for what". Authority should coincide with representation; and finance should follow function (expenditure responsibilities). This means that any entity established to coordinate or provide services to a metropolitan area should ideally be represented by, and accountable to, the corresponding entire jurisdiction and receive corresponding resources. A framework for division of functions between local and metropolitan level governance is outlined below (table 3).

Consolidated Local Government (Annexation or Amalgamation of Local Governments)

Examples: Cape Town, Istanbul, Toronto.

Annexation or amalgamation can in few cases be effective to achieve efficiency and equity in public service delivery, reducing institutional complexity. Yet it tends to be politically controversial, usually requiring the active involvement of a national or a regional government. Few amalgamations have achieved coverage of an entire metropolitan area; usually because of the local political dynamics. The exceptions are the municipalities in South Africa (e.g. Cape Town's boundaries cover about 95 % of the people who live and work there). A jurisdiction that covers a large portion (or all) of the metropolitan area can facilitate equalization in the area since it would have one tax base. However, with a larger jurisdiction, the access by residents to their local government may be affected and the local accountability weakened. While cost savings usually occur through scale economies, harmonization of service and salary levels across the new local government may be standardised based on the local government with the highest level, and thereby result in higher costs (Slack 2007 re. Toronto). One-time transition costs also need to be taken into account; frequent reorganization may run the risk of disrupting local service delivery because of the time and resources required by the changes.

Table 13: Metropolitan Governance Arrangements with City example[9]

Approach	Description	City Examples
1. FRAGMENTED GOVERNANCE: WITH SOME INTER-MUNICIPAL COORDINATION (horizontal cooperation among the local governments)		
(i) Case-by-case joint initiatives	Ad hoc cooperation initiatives or arrangements for specific purposes	Frequent approach in cities without permanent arrangements
(ii) Committee, Association, Consortium, Consultative platforms, etc.	Temporary or permanent bodies for coordination	Many cities in Brazil; Ruhr, Germany; Turin and Milan, Italy; Paris, France; Greater Toronto, Canada
(iii) Contracting among Local Governments	A local government engaging another local government for the delivery of a service that they are responsible for	Los Angeles County, USA
2. METROPOLITAN / REGIONAL AUTHORITY (sometimes called special purpose district; a "bottom-up", voluntary organization)		
(i) Metropolitan Council of governments (COG)	Forum for coordinated efforts by member local governments. Decisions need endorsement of the respective local Council	São Paulo, Brazil; Bologna, Italy; Montreal, Canada; numerous examples in the United States.
(ii) Planning Authority	Formal entity similar to COG to design regional strategies and/or exercise planning and policy development authority	Many examples of advisory entities exist, but few with decision-making or implementing powers. Portland, U.S. (in the past, with decision-making power); New York City, U.S. (operated by an NGO).
(iii) Service Delivery Authority	Public service agency/corporation/cooperative (owned by member local governments) for delivery of one or more services	Greater Vancouver Regional Service District (GVRSD), Canada, a multiservice public corporation.
(iv) Planning & Service Delivery Authority	Combination of (ii) & (iii), i.e. planning and delivery of one or more services (e.g. a Regional Transport or Water Authority).	Lyon and Marseille, France; Lagos Mega-City Development Authority, Nigeria; "Development agencies" in Delhi, India and Dhaka, Bangladesh.
3. METROPOLITAN OR REGIONAL GOVERNMENT		
(i) A higher-level metropolitan local government.	Separate metropolitan local government for coordination / selective functions	Quito, Ecuador; Dar es Salaam, Tanzania; Abidjan, Cote d'Ivoire (until 2001); Barcelona, Spain; London, UK; Budapest, Hungary; Stuttgart, Germany; Toronto, Canada (1954–98); Portland, U.S.; Shanghai (all large Chinese cities).

[9] Various arrangements may exist in a metropolitan area at the same time. E.g. a second level metropolitan government, one or more authorities (for transport, water, etc.), while still some local governments may engage in inter-municipal cooperation on other specific topics.

Approach	Description	City Examples
(ii) A Regional Government	Government established by a higher level government for a metropolitan area	Abidjan, Cote d'Ivoire (from 2001); Madrid, Spain; Manila, Philippines.
4. CONSOLIDATED LOCAL GOVERNMENT (through amalgamation of local governments or annexation of territory)		
(i) One jurisdiction covering metropolitan area	One jurisdiction covering large portion (or all) of a metropolitan area	The Municipalities in South Africa; Istanbul, Turkey

Assessment of the Institutional Arrangements

Advantages and disadvantages of each of the institutional arrangements are summarised in Table 4 below.

Table 14: Advantages and Disadvantages of Metropolitan Governance Arrangements

Conceptual model	Advantages	Disadvantages
1. FRAGMENTED GOVERNANCE: WITH SOME INTER-MUNICIPAL COORDINATION (horizontal cooperation among the local governments)		
(i) Case-by-case joint initiatives ***(agreements among local authorities)***	• Useful for areas where limited inter-dependencies exist among local governments (or for a small area with only two local governments). • Can be an initial stage to gain experience and build trust for joint efforts among the local governments. • Possible approach when more permanent and formal arrangements are constrained by politics or prohibited by legal frameworks.	• Usually limited in scope (e.g. an event or an urgent issue). • No commitment to address a need on a longer term basis, if that is what is needed (sustainability).
(ii) Committees, commissions, working groups, consortiums, partnerships, consultative platforms, etc.	• Temporary or permanent bodies for coordination. (Sometimes they have character of networks rather than institutions.) • Flexible approaches.	• Often with an advisory role only.

Conceptual model	Advantages	Disadvantages
(iii) Contracting among local governments	• One local government can specialize in a particular service or function, for the benefit of all local governments in the metropolitan area. • Useful when one of the local governments dominates in terms of human and financial capacity.	• The contracting local government still needs to monitor the quality and coverage of the service provision (contracting out does not mean abdicating responsibility for the service or function). • Risks: (i) access by residents to the service provider may be affected; and (ii) the accountability may be weakened or unclear to residents.
	2. METROPOLITAN / REGIONAL AUTHORITY **(sometimes called special purpose district; a "bottom-up", voluntary organization)**	
(i) Metropolitan council of governments (COG) (and similar arrangements)	• A forum for local governments to address topics of common and regional interest, while maintaining their decision authority (if decisions require endorsement by their local councils). • Can provide some flexibility if members can join and exit easily.	• Impact depends on: (a) the financial and human resources mobilised or allocated to the COG; and (b) the degree of coherence among the member local government councils regarding views on metropolitan issues.
(ii) Regional planning authority ***(with or without authority to implement or enforce plans)***	• Permanent focal point for metropolitan (regional) planning. • Specialised, metropolitan-level analytical resources (highlighting spill-overs, opportunities for scale economies, inequalities, etc.).	• Risk of limited impact if their role is advisory only. • Requires significant institutional capacity and resources to be effective.
(iii) Regional service delivery authority ***(as a public entity or utility company)***	• Achieving economies of scale (efficiencies) for certain services. • Engagement by local governments as "owners" of the authority • (the service provision responsibility is "delegated" to the authority) • If corporatised (utility company), it may facilitate a transition to the service(s) being provided by the private sector or a public-private partnership (PPP) arrangement, as required.	• Effectiveness depends on authority to levy user charges (tariffs), collect contributions from local governments, apply precept powers, or have earmarked transfers or tax authority. • Risks: (i) access by residents to the service provider may be affected; and (ii) the accountability may be weakened or unclear to residents.
(iv) Regional planning and service delivery authority ***(as a public entity or utility company)***	• Combination of the advantages for regional planning authorities and regional service delivery authorities above.	• Combination of the disadvantages for regional planning authorities and regional service delivery authorities above.

Conceptual model	Advantages	Disadvantages
	3. METROPOLITAN OR REGIONAL GOVERNMENT	
(i) A higher-level metropolitan local government.	• A "permanent" government structure for certain metropolitan functions (appointed or elected directly or through lower-level local governments). • Specialised metropolitan-level resources.	• Effectiveness tends to depend on: (a) the degree of authority over the lower-level local governments; and (b) whether it has mainly planning functions or some service delivery functions as well.
(ii) A regional government established by a higher-tier government ***(for a particular metropolitan area).***	• A "permanent" government structure (directly elected or appointed by a higher-tier government) for certain metropolitan functions. • Usually resourced directly from the higher-tier government. • Specialised metropolitan-level resources.	• Risks: (i) limited connection with, and engagement by, the local governments in the area (may be mitigated with strong local government representation); (ii) access by residents may be affected; and (iii) the accountability may be weakened or unclear to residents.
	4. CONSOLIDATED LOCAL GOVERNMENT **(through amalgamation of local governments or annexation of territory)**	
(i) One jurisdiction covering essentially the metropolitan area	• Facilitates metropolitan-level coordination • Facilitates addressing equalization and harmonization of services within the area (one tax base)	• With a larger jurisdiction, access by residents to the local government may be affected, and local accountability may be weakened. • Local administrative offices or sector arrangements may still be needed.

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