Metropolitan Regions
as Governance Systems

Metropolitan Governance: A Framework for Capacity Assessment

Guidance Notes and Toolbox

Imprint

Preface

Urbanization is a megatrend which will significantly shape the economic, political and social transformation of societies and their spatial impacts. It is estimated that up to 70% of the global population will be living in cities by 2050. Future urban growth will almost exclusively take place in developing countries. Thereby, spatial and functional interrelations between cities, settlements and their surrounding rural areas are increasing and the metropolitan scale is gaining more and more relevance for integrated urban and city-regional planning, governance, financing, and implementation.

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. Within this approach, the Sector Project operates in four focus areas to address the diverse social, economic and ecologic challenges in urban agglomerations.

The four focus areas refer to:

- Metropolitan governance structures and cooperation beyond administrative boundaries / urban-rural linkages
- Integrated resource-efficient development / Urban NEXUS
- Regional economic development and innovative business regions / Smart Cities
- Inclusive labor markets and residential centers in metropolitan 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.

We encourage a critical and intensive discussion about the findings and recommendations offered by the discussion papers, case study reports, and toolboxes through policy makers and practitioners as well as academia. The publication series shall serve as a reference point for the ongoing international discussion on transforming urbanization, implementing the Sustainable Development Goals at the local and metropolitan level and thereby contribute to the Habitat III debate.

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List of Abbreviations

GIZ   Deutsche Gesellschaft für Internationale Zusammenarbeit GmbH

MetroCAM   Metropolitan Capacity Assessment Methodology

RJMR   Rio de Janeiro Metropolitan Region

UN SDSN   United Nations Sustainable Development Solutions Network

Executive Summary

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 neighboring 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 outcome document of the Habitat III process (New Urban Agenda) have thus recognized 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 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 Habitat III agenda, 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, starting with existing capacity, future needs, and potential trigger points and then identifying what else is needed to deal with a particular need or challenge (e.g. mobility, resilience, social inclusion). 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.

Using this methodology will provide a framework that can both guide decision making about what needs to be done and then provide useful tools for conducting the relevant activity steps. 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. As important as the capacity assessment itself, the MetroCAM is also a process to build consensus. The whole assessment process is a way to foster dialogue and get political buy-in to initiate or deepen a reform. The ultimate aim of the MetroCAM is to lead to the provision of informative analysis of key issues, together with recommendations for initiatives that would contribute to solving problems, creating innovations, or improving existing services and conditions. 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.

PART A: THE ASSESSMENT FRAMEWORK AND GUIDANCE NOTES

1.   Introduction

1.1 The need for capacity assessment in metropolitan regions

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 neighboring cities or the peri-urban and rural hinterland - constituting metropolitan regions. Each is a single economy and labour market, a community with common interests and benefits of joint actions in various sectors. 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. 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.

Within this cooperation between GIZ and UN-Habitat on metropolitan governance, the Metropolitan Capacity Assessment Methodology (MetroCAM) has been developed as a contribution to the implementation of the Agenda2030, in particular SDG 11, and the outcome document of the Habitat III process, the New Urban Agenda. 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.

1.2 The Metropolitan Capacity Assessment Methodology

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. The approach stresses the need to start with understanding existing capacity as the first step and then to identify what else is needed to deal with a particular need or challenge. As important as the capacity assessment itself, the MetroCAM is also a process to build consensus. The whole assessment process is a way to foster dialogue and get political buy-in to initiate or deepen a reform.

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[1]For a full discussion of 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

Nothing in the MetroCAM is intended to be definitive rules that have to be followed exactly. Instead, it provides prompts about the issues that need attention at the start in order to get things well organised, and on how to conduct and wrap up the assessment process. 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 outputs of assessments will therefore vary, but may include useful resources such as stakeholder maps, self-assessment reports, ideas for innovation and how to implement them; and case studies.

The following pages of Part A provide guidance and a structure to lead decision making about: start up activities; how to conduct the assessment process - through steps such as stakeholder mapping, gathering core data, conducting consultative workshops, and so on; a framework for assessment and analysis; and using the analysis to identify recommendations and next steps for action. There is also guidance on issues such as resources considerations and working on a theme. Part B is a selection of useful tools for conducting 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 recommendations for initiatives that would contribute to solving problems, creating innovations, or improving existing services and conditions.

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

Figure 1: Overview of the MetroCAM

The Capacity Assessment Methodology

Start up → **The assessment framework**

Assessment team
- Assessment framework, purpose and scope
- Resource and time considerations
- Sequencing activities
- Review

Facts and Figures
- Core Urban Data
- Metropolitan Financial Arrangements
- Division of Service Provision at City Level
- Self-Evaluation of Cooperation Needs

Stakeholders
- Stakeholder Mapping and Analysis
- Options for Stakeholder Consultations
- Guiding Interview Questions
- Workshop Design for Interactive Learning

Analysis
- Analysis and Identification of Windows of Opportunity
- Capacity Assessment Matrix

Conclusions
- Prioritization Matrix
- Identification of Recommendations for Metropolitan Action

The table below gives an indication of the where to find guidance about different parts of the MetroCAM and the available tools that can be used including a brief overview of what is in each part.

Table 1: Component Parts of the MetroCAM

Section	Overview
Part A: The Assessment Framework and Guidance Notes	
1 **Introduction**	The introduction sets the scene for the relevance of metropolitan development and the establishment of respective governance structures to bring about sustainable development. It displays how the MetroCAM can contribute to filling the gap and provide helpful advice and concrete tools for decision makers, local government representatives, researchers or development organizations.
2 **Start up** 2.1 The assessment team and its role	This section provides guidance on the aspects to think about once the decision for conducting the assessment has been made. It covers

	2.2 Clarifying the purpose, scope and focus of the assessment 2.3 Framing the assessment 2.4 Decisions about data collection and analysis 2.5 Timetable 2.6 Checklist for reviewing plans	all the important questions that need to be addressed and/or put in place in order to get the assessment off to a good start.
3	**The assessment framework** 3.1 Facts and figures 3.2 Stakeholders 3.3 Analysis 3.4 Conclusions	The framework is the core of the MetroCAM. First it provides lists of the core urban data and other types of information that are needed to be sure of having all the necessary facts and figures included in the assessment. Next it looks at the importance of stakeholders in understanding governance and offers options for how to consult and involve them in ways that work towards building understanding and consensus. Generating lots of information and opinions isn't enough. It all needs to be analysed in order to reach clear understanding of the issues, challenges and windows of opportunity for change. When the assessment and analysis activities are completed, the framework guides clarification on recommendations, summarizing the findings, and planning next steps.
4	**Resource and time considerations**	This section gives guidance on how much time and other resources different activities and outputs might need.
5	**Ideas for sequencing activities**	There are many different steps and activities that might be undertaken as part of an assessment. Some of them might need to be sequential, but others might take place simultaneously. This section provides an example of how activities could be sequenced.
6	**Review of the process**	As assessing metropolitan governance is a relatively new practice it is important that learning is drawn from each assessment undertaken to help improve the method and tools. This section gives some ideas for how to review what has happened and identify key learning points.
Part B: Tools to support the process		
Module 1: Facts and figures		
1	Core urban data	Manual on basic data on features of metropolitan regions (i.e. structure, spatial structure, legal frameworks) which are essential to understand the nature of the metropolitan region. It also offers a guide to classification of governance arrangements.
2	Metropolitan Financial Arrangements	A list of facts that can be gathered about financial matters in the metropolitan region, depending on the nature of arrangements and relevant legal instruments.
3	Division of Service Provision at City Level	A table listing different groups of functions in order to note which type of entity currently provides them (on reality vs. on paper): national government, metropolitan authorities, municipalities or the private sector.
4	Self-Evaluation of Cooperation Needs	A two-part tool, the first is about how to assess current coordination using a rating scale for the answers to the list of questions. The second part offers questions to probe for ideas to improve on the current situation through better coordination.
Module 2: Stakeholders		
5	Stakeholder Mapping and Analysis	Offers different ways to look at the group of stakeholders and understand their contributions, and interests. Most importantly, it identifies the nature and quality of the formal and informal links

		between different stakeholders. This is essential for understanding the political economy for change.
6	Options for Stakeholder Consultations	Gives guidance about surveys, interviews, focus group discussions, and workshops. When to use them and the strengths and weaknesses of each.
7	Guiding Interview Questions	Guidance on how to put together interview questions based on the tools in the facts and figures group.
8	Workshop Design for Interactive Learning	Guidance and examples on how to set objectives for a workshop, and then plan the activities to achieve the objectives.
Module 3: Analysis		
9	Guide questions for analysis	Answering the prompt questions in this tool will help to produce some clear analysis from all the assembled information from activities.
10	Capacity analysis matrix	Matrix to summarise what has been learned about important aspects of capacity for the theme, and work through from what exists to recommendations for action.
Module 4: Conclusions		
11	Prioritization matrix	Tool to use as a discussion prompt during analysis, to help identify what really needs priority attention.
12	Identification of Recommendations for Metropolitan Action	A stepped process for reviewing recommendations to ensure their viability before using them as the basis for going forward.
Part C: Annexes		
1	Links to other resources for capacity development models	A list of links to helpful sources of models and tools for capacity assessment and development from many different agencies.
2	Example of a participant profile questionnaire	The profile questionnaire sent to participants before the Rio de Janeiro workshops in March 2016.
3	Examples of workshop programs	The program for the Rio de Janeiro workshop, with suggestions for how this program could be extended to two days.
4	Selection of Workshop Elements	A list of useful icebreakers, activities and elements of an analysis for the set-up of a workshop.

2. Start-up steps and planning considerations

2.1 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 organizing 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, of course, at any stage be expanded 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.

Key activities to be included in the first round of planning steps are set out below. The sequence is not prescribed as the activities may happen in any order, or simultaneously, according to circumstances. Some elements of the overall MetroCAM process are essential, and these are:

- Fact and figures (Tool 1)
- Stakeholder consultations, mapping and analysis (Tool 5);
- Ongoing assessment and analysis (Tool 9, 10); and,

- Conclusions and recommendations (Tool 11, 12).

Use of other tools (see the overview of tools above) is optional to complement the inquiries with different types of information, for example:

- Metropolitan Financial Arrangements (Tool 2);
- Division of functions (Tool 3);
- Coordination needs and future improvements (Tool 4)
- Options for Stakeholder Consultation (Tool 6)
- Guiding Interview Questions (Tool 7), and
- Workshop Design for Interactive Learning (Tool 8)

It is also important to keep the activity plan under regular review throughout the process, as often one activity produces results that influence the next steps in some way. For example, it becomes clear that more information is needed, or that there is an additional stakeholder group to consult. A checklist for reviewing plans is given in section 2.7 below.

2.2 Clarifying the purpose, scope and focus 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 1 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.

<table>
<tr><td>Box 1: Sample Worksheet to Clarify and Agree to the Purpose and Scope of the Assessment</td></tr>
</table>

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.

Goal

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.

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.
- Time frame
- Resource needs

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.

2.3 Framing the assessment

When doing a capacity assessment, it is always helpful to have a guiding framework that defines how capacity is understood. This will be a helpful aid to framing the assessment and analysis. Capacity is a big and complex subject addressing many different issues and entities within any given context, so a comprehensive, holistic approach is helpful. For the purposes of a metropolitan capacity assessment, the GIZ model provides the type of guidance that is needed.

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.

Soft capacity indicators

- Stakeholder perceptions
- Quality of relationships
- Political relationships
- Informal networks
- Levels of trust
- Commitments to collaboration
- Leadership
- Adaptive capacities (flexibility)
- Ability to learn and innovate
- Ability to resolve conflicts and solve problems
- Change readiness
- Ability to manage change

Technical (hard) capacity indicators

- Permanence of institutional arrangements
- Flexibility of institutional arrangements
- Political systems
- Mechanisms for participation
- Mechanisms for consultations
- Mechanisms for collaboration
- Fiscal and financial arrangements
- Functional arrangements
- Quality and extent of service delivery
- Gender equities
- Economies of scale
- 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 2: 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 organisations structured along geographical or thematic lines, networks	Relationships and cooperation systems: establishment, development and steering of cooperation systems and networks (e.g. municipal, public-private, sectoral, transnational, product-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 organisations (state, civil society, private sector) involved in developing and negotiating the rules of the frameworks concerned	Policy advice: culture of negotiation, opportunities for participation by institutions and organisations, incentives for agreements, agenda analyses, 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

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Box 2: 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.

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;

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,

Systems development in the policy field: 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 1: Links to other resources for capacity development models** for a list of links to other capacity development models, from leading development agencies.

2.4 Decisions about data collection and analysis

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 the issue.

See **Tool 1: Core Urban Data**, **Tool 2: Metropolitan Financial Arrangements**, **Tool 3: Division of Service Provision at City Level** and **Tool 4: Self-Evaluation of Cooperation Needs** for a list of points and questions that can help in the process of deciding what core data is needed. The first part of the assessment framework below (section 4) gives guidance for the data collection process.

2.5 Timetable

The planning steps should include an estimate of the overall **timeframe** for the activities. It is also helpful at this stage to agree on the **date for any workshops** that will be needed for consultation with key stakeholders and informants. This will allow for getting a 'save the date' notice out as soon as possible. See Section 4 below for guidance on the time needed for various steps in the process.

2.6 Initial stakeholder list

Complete an **initial stakeholder list** exercise to ensure that relevant groups are identified, including political actors, agencies and individuals. The first round of stakeholder listing can be done quickly and easily as a brainstorming exercise among the assessment team. When you have the initial list of known stakeholders, make a note of what is already known about their interests in the issue. Next decide which groups and individuals will be consulted, and how best to involve them.

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**.

2.7 Checklist for reviewing plans

Plans always need to be reviewed and revised as activities are underway, and that applies equally to assessment processes as to anything else. 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.

3. Assessment and analysis framework

This section gives guidance on the major components of an assessment and analysis process, ensuring that the findings lead to identification of windows of opportunity and recommendations for future action. As noted above the steps will not necessarily be completed in the order given below. Many will take place simultaneously and there may on occasion be a need to loop back to a previous step as new information or opportunities come to light.

3.1 Fact and Figures

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.

Tools that give lists of many different types of data to consider in this step are:

        Tool 1: Core Urban Data Guidance Sheet
        Tool 2: Metropolitan Financial Arrangements
        Tool 3: Division of Service Provision at City Level, and
        Tool 4: Self-Evaluation of Cooperation Needs

These lists should be used as a 'pick and mix' list for the selection of points that are relevant to the particular assessment. After gathering the readily available data, it will be possible to know what more needs to be accessed through other means.

3.2. 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.

Tools that offer guidance for the main approaches to consultation processes such as questionnaires, interviews and workshops are:

> **Tool 5: Stakeholder Mapping and Analysis**
> **Tool 6: Options for Stakeholder Consultations**
> **Tool 7: Guiding Interview Questions**
> **Tool 8: Workshop Design for Interactive Learning**

It is advisable to keep the consultation plan under review and adapt it if required. For example, by adding or removing respondents, or changing the way a stakeholder group is consulted.

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

3.3. Analysis

The assessment of **Module 1: 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.

The questions offered in **Tool 9: Analysis and Identification of Windows of Opportunity**, 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.

The second essential area of analysis is the previously mentioned **Module 2: Stakeholders capacity and relationships**. 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.

In addition of a very good understanding of key stakeholders and their interactions, it is equally important to analyse their capacities. Here, **Tool 10: Capacity analysis matrix** provides valuable input to get to the roots of existing

capacities, current and future challenges and opportunities among stakeholders. Ultimately, it is vital that the analysis leads to identification of windows of opportunity for action and change, and clear recommendations for action.

3.4. Conclusion

In the concluding steps of the assessment process, it is important to prioritize action. In the **Tool 11: Prioritization Matrix**, the assessment team openly discusses a road map towards the agreed actions for change and prioritizes next steps. It is further essential to ensure that recommendations, made by informants during the process, are reviewed to assess their viability as an option for action. There would likely be recommendations for some or all of the key stakeholders relevant to the issue, including the formal authority in case it exists. Each recommendation should be considered in detail on its own merits, and then all should be considered together as a whole to ensure that there are no unhelpful gaps or overlaps in terms of next steps for each of the actors. See **Tool 12: Identification of Recommendations for Metropolitan Action**.

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. The content and structure of which should be decided on a case by case basis. Key stakeholders should review any reports before they are finalized 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.

4. 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 4 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.

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 $$$	• 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: 🕐🕐

	• Logistics support: $	
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 🕐

5. Ideas for sequencing activities

Every assessment will be different. Thus, it is neither wise nor possible to offer a prescription for how to sequence activities. The example in Box 3 below, from Rio de Janeiro, is offered to give an illustration of how different parts of the MetroCAM might be used and in what order.

Box 3: An Assessment Process for Governance on Resilience Challenges in Rio de Janeiro

Rio de Janeiro has a newly established high-level chamber, the *Câmara Metropolitana,* which was set up as a coordination entity for issues arising across the Rio de Janeiro metropolitan region (RJMR). GIZ, in partnership with the UN Sustainable Development Solutions Network Brazil (SDSN Brazil) and the *Câmara Metropolitana,* organized an initial scoping workshop on the current governance structure of RJMR, focusing on the key challenge of climate resilience.

The one day workshop organised by a small core group of GIZ staff, and GIZ supported consultants, aimed to bring together key actors concerned with resilience. These included central and local government authorities, non-government organisations, academic and research institutes, advocacy groups, and representatives of citizens groups identified as a result of the **initial stakeholder mapping**. The purpose was to create shared understanding of the key features, challenges, needs and existent capacities, generate ideas about possible options for reform, and identify opportunities for future initiatives.

In one workshop exercise, the participants were asked to identify all the initiatives they were aware of (**core data collection**) and all the actors with whom they had formal or informal links (**extended stakeholder map).** A further output of the workshop was a collective vision statement for RJMR's resilience in the future, and a list of identified

opportunities and challenges for achieving the vision (**stakeholder consultations**). Possibly the most important output was the shared understanding that the various stakeholders gained about each other's roles, interests and perspectives with regard to resilience, which is an important foundation stone in the networks for collaborative action.

See **Annex 3: Examples of workshop programs** for the program of the workshop, and suggestions for a two-day program. The activities that the assessment team might consider following this workshop are:

- Review and refinement of the stakeholder map, based on information gained in the workshop (**stakeholder mapping**);
- Assemble necessary data, such as legal frameworks, statistics, and remember to investigate alternative sources of data (**core data collection**).
- Conduct interviews and meetings with key stakeholders to probe their experience, views and ideas in depth (**stakeholder consultations**);
- Collate, summarise and analyse findings from all previous activities (**analysis**);
- Present findings at a second workshop to generate recommendations for initiatives and commitments for action (**stakeholder consultations**). In this workshop it would be important to reach (or revise) shared agreement about:
  - o A definition of resilience in the RJMR context;
  - o A vision for the future and goals to achieve it;
  - o Relevant initiatives and actions; and,
  - o Commitment to next steps.
- Plan for development of project concept and proposal/s, including identification of relevant indicators for monitoring progress.

6. Review of the process

Undertaking assessment processes of this nature in metropolitan regions is a relatively new initiative. Taking some time to review and document the effectiveness, what has been done and lessons learned, will contribute towards improving the knowledge of how to do them, and help to improve the quality of future assessments.

Some questions to guide review of the effectiveness of the process include:

- Were the right people involved?
- Which data sources were the most valuable and why?
- Were any important data sources unavailable? If yes, what was the impact?
- What impact did participating in the inquiry have on the respondents?
- How well did the activities fit the needs of the assessment? If they did not fit, what else could or should have been done?
- What was most successful, and why?
- What was not successful and should be avoided in future?
- What are the key lessons learned about how to conduct an assessment?
- Anything else important?

PART B: TOOLBOX TO SUPPORT THE ASSESSMENT PROCESS

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 3: The Tools Grouped by Primary Purpose

Facts and Figures
- Core Urban Data
- Metropolitan Financial Arrangements
- Division of Service Provision at City Level
- Self-Evaluation of Cooperation Needs

Stakeholders
- Stakeholder Mapping and Analysis
- Options for Stakeholder Consultations
- Guiding Interview Questions
- Workshop Design for Interactive Learning

Analysis
- Analysis and Identification of Windows of Opportunity
- Capacity Assessment Matrix

Conclusions
- Prioritization Matrix
- Identification of Recommendations for Metropolitan Action

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.

Module 1: Facts and figures

Tool 1: Core Urban Data Guidance Sheet

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 4: Core Urban Data Guidance Sheet			
Data	*Need?*	*Possible source*	*Comments (including gaps/missing information)*
	Yes/No		
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?			

Table 4: Core Urban Data Guidance Sheet			
Data	**Need?**	**Possible source**	**Comments (including gaps/missing information)**
	Yes/No		
• 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.			
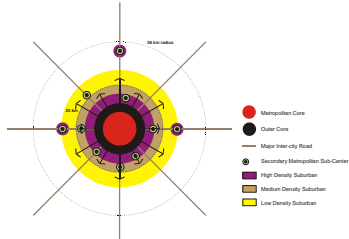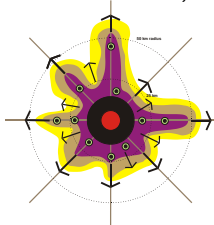
1. Sprawl

2. Monocentric Structure
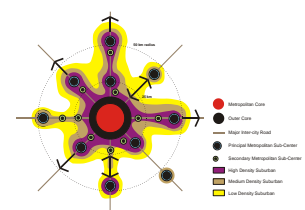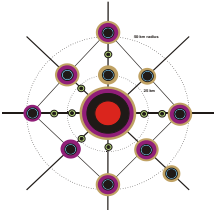
3. Polycentric Structure

4. Multipolar Structure

Source: Edward Leman, Chreod Ltd, 2001

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?

Table 4: Core Urban Data Guidance Sheet			
Data	*Need?*	*Possible source*	*Comments (including gaps/missing information)*
	Yes/No		
• 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?			
• 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.			

Table 4: Core Urban Data Guidance Sheet			
Data	*Need?*	*Possible source*	*Comments (including gaps/missing information)*
	Yes/No		
• 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. 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?			
• 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			

Table 4: Core Urban Data Guidance Sheet			
Data	*Need?*	*Possible source*	*Comments (including gaps/missing information)*
	Yes/No		
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[2]. If no arrangements exist, this section is not relevant.

Table 5: 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 <u>local</u> 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

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[2] 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 2: Metropolitan Financial Arrangements

These questions may be linked with the information about division of responsibilities. See **Tool 3: Division of Service Provision 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 6: Budget Comparison	Central city in the metropolitan region	Other municipalities in the metropolitan region
Expenditures		
- 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 3: Division of Service Provision at City Level

Indication of the Division of Functions and Service Provision at City Level

- 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 7: 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					

Table 7: 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.**
Local land use planning					
Land allocation					
Land surveying					
Titling, provision of tenure					
Housing and facilities					
Housing					
Social/low income housing					
Community upgrading					
Cultural facilities					
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					

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.**
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					
Solid waste disposal					
Social services					
Education, primary and secondary					
Health					
Welfare assistance					
Child care services					
Power					
Electricity supply					
Gas supply					

Table 7: Division of Service Provision at City Level

Table 7: 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.**
Miscellaneous					
Libraries					
Business licensing					
Local agriculture					

Tool 4: Self-Evaluation of Cooperation Needss

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.

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 Very high		
			(equity aspect)		
6	The degree of unfair, or lack of **cost sharing** in the area is:		1 ⟵⟶ 4		
			Very low Very high		
			(equity aspect)		
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		

Table 8: Current Coordination

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?
    - o What type of coordination would be the best approach for this purpose?
    - o 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?
    - o 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?
    - o What type of coordination would be the best approach for this purpose?
    - o 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?
    - o 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?
    - o What type of coordination would be the best approach for this purpose?
    - o 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?
    - o 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?
    - o What type of coordination would be the best approach for this purpose?
    - o 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?
    - o 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?
    - o What type of coordination would be the best approach for this purpose?
    - o 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?
    - o 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.
    - o What type of coordination would be the best approach for this purpose?
    - o 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?
    - o What factors would support or hinder the start and success of any relevant initiatives?

Module 2: Stakeholders

Tool 5: Stakeholder Mapping and Analysis

As noted above in Part A, 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 Rio de Janeiro workshop program in **Annex 3: Examples of workshop programs** as a guidance); or,
- To help **analyse** what has been learned about different stakeholders and the relationships between them.

Figure 4: 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.

5.1. Analysis of stakeholder map

The GIZ **Capacity Works Manual** has a very comprehensive section on *Cooperation* as a key success factor explaining that its importance is increasingly recognised by development actors. This section covers many different aspects of knowing, understanding, and working with different stakeholder groups, and offers some useful tools to help with the process of mapping and analysis. It is noted that methods of cooperation can vary significantly from formal systems to informal networks. Additionally these choices on cooperation have implications for those involved. 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.

Tool 9 in the Capacity Works Manual offers some helpful guidance on ways to arrange the information about stakeholders, as follows:

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 5: Map of Actors

The Onion:
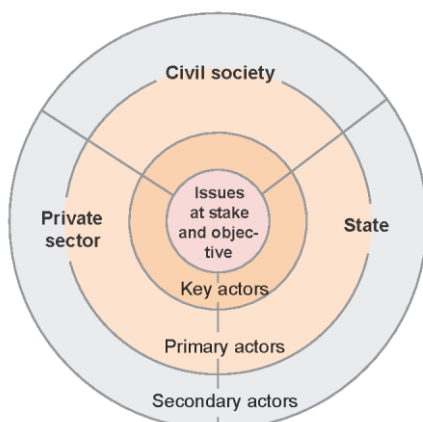
The Rainbow:

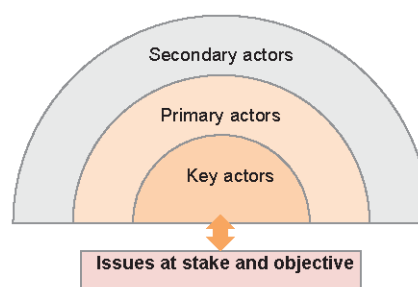When reviewing any stakeholder map, however formulated, the following questions will be useful to guide the analysis.

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 6: 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.

Overview of methods

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

- Questionnaires and surveys;
- **Interviews (in depth:** Tool 7: Guiding Interview Questions**);**
- Focus group discussions; and,
- **Workshops (in depth:** Tool 8: 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.

6.1 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.
See **Tool 7: Guiding Interview Questions** for a listing of questions that could be used or adapted for questionnaires and surveys.

6.2. 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 7: Guiding Interview Questions for a listing of detailed interview questions.

6.3. 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.

6.4. 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 8: 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 11: Excellence and priority matrix; and,**
- **Tool 12: Identification of Recommendations for Metropolitan Action**

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 7: 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 1: Core Urban Data Guidance Sheet**
  - **Tool 2: Metropolitan Financial Arrangements**
  - **Tool 3: Division of Service Provision at City Level, and**
  - **Tool 4: Self-Evaluation of Cooperation Needss**

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 8: Workshop Design for Interactive Learning

8.1. 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 A: 2 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.

8.2. 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?

See **Annex 2: Example of a participant profile questionnaire** in order to have some information about them in advance to help guide the workshop design. This example can be adapted to make it more specific to any event.

8.3. Choose relevant activities

See below for explanation of activities in **Annex 4: 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.

8.4. 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 make sure 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.

Annex 3: Examples of workshop programs is the program used in a workshop in Rio de Janeiro that provides an example process. This one-day workshop program is followed by suggestions for extension to a two-day workshop if time allows.

In **Annex 4: Selection of Workshop Elements**, a selection of ice breakers, energisers and activities is compiled in order to guide the detailed workshop design.

Module 3: Analysis

Tool 9: Analysis and Identification of Windows of Opportunity

9.1 Current arrangements in the general background environment

Good understanding of capacity for any specific theme is dependent on understanding of the environmental capacity 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 is the quality and effectiveness of formal and informal arrangements for horizontal and vertical links?
- 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?

9.2. 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 10: Capacity analysis matrix

Level	Organisational (be specific about each relevant agency/group/ entity – this can also include sectors and networks)	Enabling environment (laws, strategies, political commitment, etc.)
Table 10: Capacity Analysis Matrix		
Existing capacity		
What is needed?		
Opportunities		
Challenges		
Recommendations		

Module 4: Conclusions

Tool 11: Prioritization Matrix

Use this matrix to discuss any aspect of functioning or service delivery to reach agreement about which box it should be allocated to. It guides a prioritization of future activities based on quality and priority.

The tool is useful for two purposes:

- Firstly, as a workshop exercise, to get participants engaged in a discussion about the current state of services and the priorities for change or improvements in the specific sector; and,
- Secondly, it can be used as part of the decision making process at the end of the assessment, when reviewing key findings and recommendations, to help decide which challenges or initiatives should be addressed first.

Table 11: Prioritization Matrix			
Excellence **Priority**	Poor	Good	Excellent
Low	**Poor quality** **Low priority**	**Good quality** **Low priority**	**Excellent quality** **Low priority**
Medium	**Poor quality** **Medium priority**	**Good quality** **Medium priority**	**Excellent quality Medium priority**
High	**Poor quality** **High priority**	**Good quality** **High priority**	**Excellent quality** **High priority**

Tool 12: Identification of Recommendations for Metropolitan Action

Use this tool to examine and clarify all the recommendations that have arisen during the course of the inquiries.

Some suggested questions to ask about each recommendation are given below, but this should not be viewed as a comprehensive and final list. Other questions specific to the issue should be added as relevant.

- What is the recommendation?
    - Who is it for?
    - Who made it?
- How does this relate to an identified (formal or informal) window of opportunity? Please specify the nature of that opportunity.
- Does it represent a clear option for action?
    - If no, can it be reformulated?
- To which need would the action respond?
    - What is the level of priority?
- What relevant capacity is in place?
    - Which institutions are working on this issue?
    - What are the main problems they have faced in resolving the issue?
    - What kind of financial resources already exist to address the issue?
    - What level of financial/institutional resources would be necessary to address this issue?
    - What further capacity would be needed for implementation?
- Who made commitments?
    - To do what?
- Conclusion: Is this a viable option for action?
    - Give reasons for the decision.
- If viable, what are the next steps for key stakeholders (including development partners)?

Complete the list of questions for each recommendation. When each has been reviewed, check across all and amend as required to produce **a clear, coherent and complementary set of recommendations and next steps for all relevant agencies or groups that respond to identified windows of opportunity.**

PART C: ANNEX

Annex 1: Links to other resources for capacity development models

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

Annex 2: Example of a participant profile questionnaire

This example is taken from a workshop on metropolitan resilience conducted in the Rio de Janeiro Metropolitan Area (RJMA) in March 2016.

Resilience and Metropolitan Governance:

Capacities and Needs in the Rio de Janeiro Metropolitan Area

Participant Profile

Workshop objectives:

At the end of the workshop, we plan to have achieved the following:

1. Exchanged information and experience with key stakeholders, and begun the shared dialogue necessary to support reform.
2. Identified key features of the current state of Metropolitan Governance for resilience
3. A common vision and understanding of options for reform, and the related capacity needs and challenges for implementation;
4. Identified recommendations for possible next steps, in particular for the *Câmara Metropolitana* and Ministry of Cities on topics such as institutional arrangements;
5. Produced input for the implementation of Agenda 2030, e.g. SDG 11 and the Habitat III process.

We are very much looking forward to working with you in the workshop and would like to thank you for agreeing to participate. It will be helpful for us to have some information about you in advance, so that we can ensure that the time and opportunity of having you and others together at this event is utilised to best effect. Please complete the following, limiting your answers to 1.5 pages.

Name:

Organisation:

Position Title:

Professional Focus Area:

1. What is your main interest/work focus related to resilience in RJMA?
2. Please describe briefly the relevant projects or initiatives that you are currently involved in around metropolitan resilience.
3. Please think of an example of when an initiative in RJMA has worked well – what were the factors contributing to that success?
4. Please think of an example of when an initiative in RJMA did not succeed – what were the factors working against success?
5. What do you hope to gain from joining this workshop?
6. Anything else relevant that you would like to add?

Annex 3: Examples of workshop programs

A *workshop program from Rio de Janeiro*

Purpose: To bring together key actors on the subject of resilience in the Rio de Janeiro metropolitan area

Source: GIZ, 2016

Table 12: Time Table Workshop Rio de Janeiro		
Time	**Activity**	**Resource needs**
9.00 – 9.30	Registration and coffee	Coffee
9.30 (flexible) – 9.40	Opening comments from: • GIZ • The Ministry of Cities	
9.40 – 9.50	• Moderator to ask each participant to introduce themselves briefly, name and institute/organisation • Moderator gives brief overview of objectives and program for the day	PPT with objectives and program overview
9.50 – 10.15	Executive Director of *Câmara Metropolitana* will present an overview of the current state of metropolitan governance in the RJMA, and a few inspirational vision visuals about resilience from their previous workshop. Brief Q&A for clarifications.	Projector and screen for vision visuals
10.15 – 11.00	**Mapping exercise: Who is doing what and where** Participants will be grouped according to their function/agency/area of expertise. They will create a visual map on the floor of what is happening in different parts of the overall system of the RJMR, showing the links to other agencies/groups/sectors and what is happening in those relationships and links, e.g. coordination (or not!). Time allowed: 45 minutes	Flipchart paper, coloured A4 or card, string/tape, scissors, markers, sticky tape.

Table 12: Time Table Workshop Rio de Janeiro		
Time	**Activity**	**Resource needs**
11.00 – 11.20	Coffee break	Coffee
11.20 – 1.00	**Analysis of the map** Participants are grouped into pairs or trios of people who don't work together. The task is to review the map, using the following guide questions to structure their reflection and analysis: • What do you see as the important aspects of both formal and informal arrangements? • Who are the key actors? What different institutional interests are shown? • 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 RJMR, in particular women and any vulnerable groups? • Who, if any, are relevant stakeholders not represented in the room? • Has anything else emerged as interesting or important from this visualisation? Moderator leads whole group discussion about what the map has shown. Changes or additions can be made to the map if important new information or aspects emerge as the discussion proceeds.	PPT Handout with guide questions
1.00 – 2.00	Lunch break	Lunch
2.00 – 3.45 The groups will take their break when it suits their work process. They will need to be ready to present at 3.45	**Looking to the future** Participants go into four groups, each one to work on a different aspect of resilience, as guided by CM. Groups will be pre-selected to match specific expertise with the chosen issues. Each group to work through the following steps for their allocated aspect of resilience. 1. Create a **vision statement** Your first task is to create a comprehensive vision statement for your issue, by thinking forward to how you would like to be able to describe it in 2030. (See explanation of activities below) 2. Complete the **Capacity Analysis** matrix The matrix is a guide to thinking about the capacity that exists now, what is needed and how to get it into place, both at the level of organisations, and in the enabling environment. Please record the key points from your discussions so that your analysis can be documented for future use. (See explanation of activities below) 3. Draw a **River of Change** to show how you see the way forward (See	Handout of exercise instructions. See attached to be translated and copied for the participants. Flipchart paper Coloured markers A4 paper or cards Whiteboards or pin boards for each group plus two extra

Time	Activity	Resource needs
	explanation of activities below)	
	4. Prepare to present:	
	• Your vision statement written on flipchart • Your river of change • The recommendations from your capacity analysis	
3.45 – 4.30	Presentations from the four groups and discussion of outputs. All recommendations from the groups to be put together on a separate board at the front of the group.	

4.30 – 5.30	Wrap up, concluding comments and commitments for going forward
	
	1. Individual reflection: each participant to think about their responses to the following:
	
	    a. My most important learning today has been …
	    b. I will take this learning into my work by….
	    c. The questions I still have are …
	    d. My priorities among the recommendations made are …
	    e. What I can do to help RJMR move forward towards the vision is ….
	
	2. Ask each participant to choose their top three recommendations, and to put a tick against each on the cards.
	3. Go around the group in turn for them to share some thoughts about what they have got from the day, especially what they see as priority recommendations.
	4. Synthesis of the key findings and recommendations that have emerged from the exercises. Facilitator to do this and then ask for comments from the group to check if they agree with her summary.
	
	Workshop evaluation
	
	Closing comments from GIZ and CM	

Table 12: Time Table Workshop Rio de Janeiro

If time and resources allowed for a two-day workshop it would be possible to go deeper into the issues raised and move towards deeper examination of recommendations and ask participants to make commitments to next steps. If this were possible the workshop evaluation and closing comments would be deferred and the day 2 program could be as follows.

Annex 4: 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. In the Rio de Janeiro workshop the participants were asked to complete the Capacity Analysis Matrix (**Tool 10**), as follows:

- Start with existing capacity:
    - Which entities, networks or sectors currently have capacity that enables RJMA 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 Câmara Metropolitana, 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 7: Example of a Map Produced in the Rio de Janeiro 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.

Presentations: These can be PowerPoint or in another form. While presentations are often a very helpful way of sharing information in a workshop, they should be used carefully. A long session of presentations one after the other does not usually require a great deal of audience participation and can result in a loss of focus and energy among the group. A more active option for sharing is the gallery walk – market place as above.

River of life, or river of change: This exercise can be used either to review past processes to create understanding of how the present situation was arrived at – river of life, or to think forward to the future and how to get there – river of change. This is the process used in the Rio de Janeiro workshop to create a river of change.

- Think of the way from now to your vision as a river of change.
- Draw the river of change across the flip chart paper, starting on the left with how things are now (maybe just a little stream, or perhaps a big polluted water way) and ending on the right with something that represents your vision (for example the river is now big and wide, or maybe it has flowed into a lake).
- Use river images to represent the changes and challenges for getting from now to 2030 (for example, a challenge might be shown as a dam or rapids, and a good change could be something helpful flowing into the river from a tributary).

Role plays: Role plays are an accepted way of working through unknown or problem scenarios to try to find understanding, make sense of a theory, gather concepts into a practical experience, or seek resolution. Some participants are given a briefing to take a 'role' in a scenario and then come together to act out the process. The others observe and then everyone discusses together what has happened. Sometimes the scene is acted again with new ideas incorporated. The purpose of the exercise and the briefs for each role need to be very clear, so that the role players know, exactly what it is they are trying to achieve. Role plays need strong facilitation and caution must be exercised if the subject is one that could upset anyone.

Story boards: A fun way to guide groups through a problem solving process, for example:

Figure 8: Story Boards
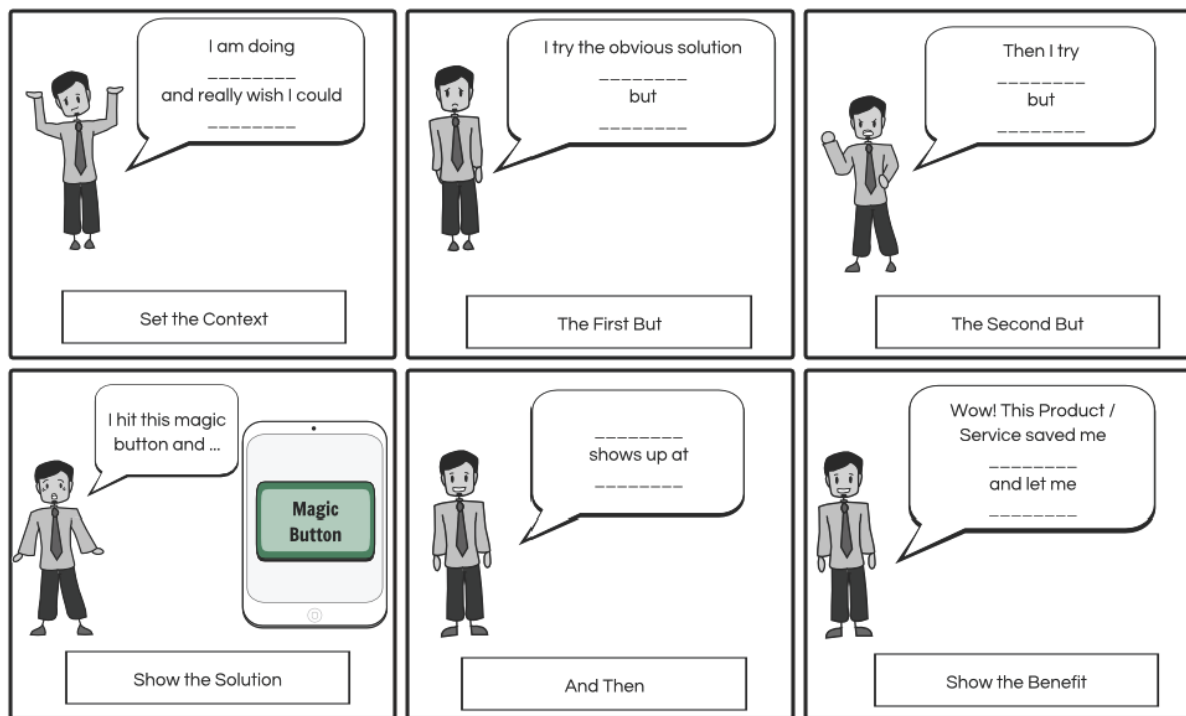
Create your own at StoryboardThat.com

Small group discussions: Small group discussions are a way to allow all participants to contribute their ideas to the task at hand. The group is given some key questions to answer, or a brief time for generating new ideas, and asked to discuss and produce a group output for sharing with the whole group.

Story telling: Stories can be used in different ways. For example, to open workshop discussions with participants sharing one-minute stories of an experience relevant to the topic of the day. For deeper sharing and exploration of issues, participants can be divided into small groups and asked to share their experience of the issue, using the following guidelines:

- Each person first works alone to identify the experience they want to share and make a note of who was involved, what happened, the result of what happened, etc.
- In the group each person in turn tells their story
- The group discusses the story using guide questions, such as:
    o What were the key success and challenge factors in this story?

- After all the stories have been told and discussed the group should review all they have heard and identify any main issues that emerged and what can be learned from these experiences.
- Presentation of learning points to the whole group.

Diagram 1 SWOT analysis
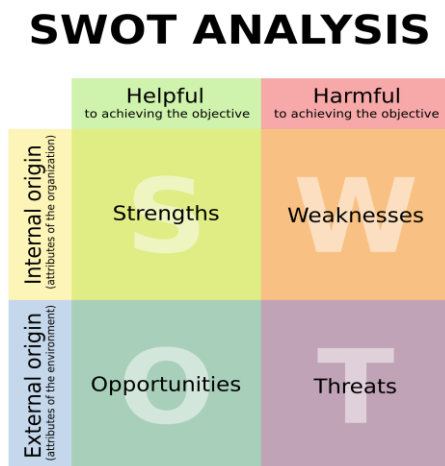
Swot analysis: is an acronym for *strengths, weaknesses*, *opportunities*, and *threats*. It is a structured method for evaluating either the current situation or an intended initiative. A SWOT analysis can be carried out for an agency, a project, a place, a sector, or any other focus of interest. It involves specifying the focus and the identifying the internal and external factors that are favourable and unfavourable, set out in a matrix like this diagram.

Visioning: There are many different ways to create a vision or vision statement. This is the process used in the Rio de Janeiro workshops.

Your task is to create a comprehensive vision statement for your issue, by thinking forward to how you would like to be able to describe it in 2030.

- The first sentence should start with something like 'It's 2030 and with regard to ____ RJMA is ...'
- The statement should cover all the important aspects of the issue
- Maximum length of the statement is one paragraph
- Your vision should not be too technical; it should be described in a way that the average citizen can easily understand