Global
Experts
Group
Meeting

THE ROLE OF METROPOLITAN DEVELOPMENT IN SUPPORTING THE NEW URBAN AGENDA

Guadalajara, Mexico 3-4 December 2015





With the collaboration of:











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1. INTRODUCTION

bout 30 international experts participated in a Global Experts Group Meeting (EGM) "The Role of Metropolitan Development in Supporting the New Urban Agenda", Guadalajara (Mexico) between 03-04 December 2015. The participants included representatives of international development agencies, policy makers, academic, national and metropolitan Government and private representatives, the representatives from all over the World. The meeting was organized by UN-Habitat, in collaboration with the Andalusian Agency of International Cooperation for Development, the Ministry of Development and Housing of the Government of Andalusia, the Mexican Chamber of the Construction Industry and the Government of the State of Jalisco.

The EGM reviewed and built on the results and lessons learned from the experiences of the speakers to strengthen the role of UN-Habitat to better define its role, focus and impact in supporting sustainable development metropolitan management. This EGM is the result of the recognition of the benefits associated with sustainable urbanisation. The participants made several recommendations as an outcome of the EGM summarised in form of a communiqué to support strengthening metropolitan the development.

The EGM also offered an opportunity for discussion of preliminary findings and ideas from the background papers prepared by UN-Habitat in the build up to the EGM and created a consensus understanding with regard to the topics and recommendations for UN-Habitat's future work in metropolitan development. In addition, the findings of the papers and inputs from participants during the EGM pointed to ways forward in reinforcing UN-Habitat's advisory role to national and local Governments in promotina sustainable metropolitan development, and recommended areas where focus should be, which niche could be explored in view of remaining gaps, and the role of other partners in international development cooperation.

The findings and conclusions of the EGM will serve as a basis for collecting trends, policies, tools, innovations and good practices that can be promoted by UN-Habitat and other organizations focused on understanding the role of metropolitan development in preparation of the New Urban Agenda to be drawn at the Third United Nations

Conference on Housing and Sustainable Urban Development (Habitat III) next year in Quito, Ecuador. This EGM will contribute to development of a "road map" for the development of an agenda for UN-Habitat on metropolitan areas to promote more productive and resilient Cities.

2. BACKGROUND

ontinued urbanization around the world and natural population growth – are creating larger Cities and local economic areas, particularly in developing countries. The Cities that are currently experiencing 5% or higher rates of growth will expand two-fold every 14 years, which means that a city would have to rebuild itself every 14 years. With improved transportation, people are able to commute over longer distances from villages or towns to larger urban areas, and with current communication technology advances the functional economic areas are becoming larger. As a result, Cities are becoming increasingly economically interdependent with their surrounding settlements and rural areas, constituting what we call metropolitan areas or regions (MR), city-regions, or extended urban regions — each a single economy and labor market, a community with common interests and benefits of some joint actions. 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. Interdependencies characterize the formation and emergence of a metropolitan area.

The jurisdictional boundaries of local Governments tend to have a long history, but the urban growth often change an area's character over time. Therefore, a metropolitan area usually includes a of independent local Government jurisdictions. A metropolitan area may emerge or be formed either through outbound growth of a city or through a gradual expansion and integration of various "satellite" settlements that at some point interdependent, agglomerated an metropolitan area (see box 1). As metropolitan areas emerge and grow, the need for metropolitan planning, governance and finance increases. Metropolitan regions usually need some form of institutional arrangements (formal or informal) to coordinate their development or undertake some joint functions for more efficient and equitable service provision and cost sharing, in addition to efforts by each individual local Government. A lack of such arrangement tends to reflect missed opportunities.

How Do Cities Grow Spatially?

Cities grow spatially in different ways. Figures 1 through 4 illustrate four types of spatial growth of a city or area. In a monocentric structure, a core city is growing outward from a central core, in more-orless concentric circles over time, with decreasing population densities the farther one gets from the center. Sometime the spatial extension has instead the character of sprawl, with low-density areas expanding in various directions.

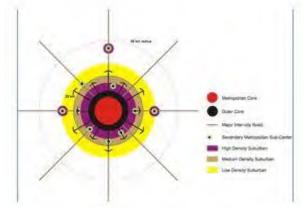


Figure 1 Monocentric Structure

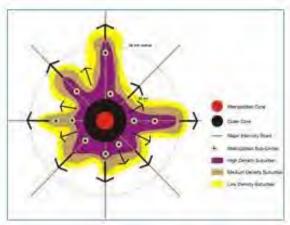


Figure 2 Sprawl

A polycentric structure (figure 3) results from growth that is more a matter of integration of various areas than an outward expansion of a core area. A number of urban sub-centers may exist and grow, and over time become sufficiently close to a main city from a transport perspective, to allow significant business interaction and daily commuting. A polycentric structure tends to evolve toward a multipolar one (figure 4), which is characterized by a core city and various secondary sub-centers, with areas in-between becoming denser in population, forming contiguous urban settlements.

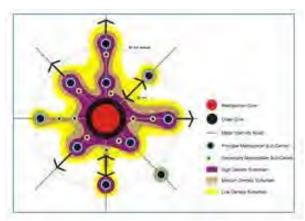


Figure 3 Polycentric Structure

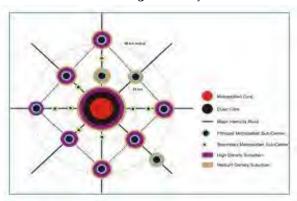


Figure 4 Multipolar Structure

Significant regional differences exist. International experience shows a great diversity of metropolitan models, particularly across Europe and North America (OECD 2006; Slack 2007). In East Asia, China, Japan and South Korea have consolidated metropolitan Governments for their larger Cities (Yang 2009). Many large Cities exist in South Asia, but few effective metropolitan governance approaches have yet emerged . Although Latin America is home to many large Cities, the frameworks for metropolitan governance in the larger Cities are still not fully developed. Sub-Saharan Africa is rapidly urbanizing, but most Cities lack effective institutions to govern at metropolitan scale. Where institutional arrangements at local levels are lacking or weak, the main coordination tend to be exercised by regional Governments; for example in Lagos State, Nigeria; state Governments in India; and in many of the states of Brazil. In Australia, public transport and some other functions usually considered "local", are managed by the provincial Governments.

Metropolitan development and management has therefore to do with the territorial coordination of public policies implemented by various stakeholders. At national or sub-national level, it embraces the setting of metropolitan laws and rules to guide and supervise multi-scale public arrangements and planning, financial and fiscal systems. At

metropolitan level, it has to do with daily coordination among municipalities, with upper levels of Government and with the society at large, in order to agree upon and operationalize a common vision. Implementing a metropolitan vision requires consensus on the right balance of leadership, financial and fiscal contributions, efficient processes for inter-jurisdictional cooperation, specific arrangement for metropolitan projects, including through predictable and transparent partnerships with the private sector and communities.

3. ALIGNMENT WITH INTERNATIONAL AGENDAS

3.1 POST-2015 DEVELOPMENT AGENDA AND SUSTAINABLE DEVELOPMENT GOALS

he adopted Goal 11 on "making Cities and human settlements inclusive, safe, resilient and sustainable" of the Sustainable Development Goals (SDGs) includes several targets that are relevant at metropolitan scale.

It is worth mentioning the proposed targets 11a and 11b focusing on means of implementation:

- ✓ "11.a Support positive economic, social and environmental links between urban, peri-urban and rural areas by strengthening national and regional development planning;
- ✓ 11.b By 2020, increase by [x] per cent the number of Cities and human settlements adopting and implementing integrated policies and plans towards inclusion, resource efficiency, mitigation and adaptation to climate change, resilience to disasters, develop and implement, in line with the forthcoming Hyogo Framework, holistic disaster risk management at all levels." The list of indicators still under refinement might also strengthen the metropolitan agenda.

✓ The metropolitan agenda is also relevant to SDG 9 that strives to "Build resilient infrastructure, promote inclusive and sustainable industrialization and foster innovation."

3.2 UN-HABITAT'S MANDATE ON METROPOLITAN ISSUES

3.2.1 HABITAT II AGENDA (1996)

The Habitat Agenda clearly includes the metropolitan areas as a level of action (see paragraphs 44, 45, 185 and 186). The Heads of State or Government and the official delegations of countries assembled at Habitat II in Istanbul committed to the strategy of enabling all key actors in the public, private and community sectors to play an effective role at the national, state/provincial, metropolitan and local levels- in human settlements and shelter development (paragraph 44).

Paragraphs 185 and 186 are specifically dedicated to the metropolitan scale: the Agenda recognizes the unique problems that managers of metropolitan areas and mega-cities face, caused by the size and complexity of their tasks and responsibilities (paragraph 185) and proposes a series of actionoriented recommendations (paragraph 186.

3.2.2 RIO+20 – THE FUTURE WE WANT (2012)

The Rio+20 Outcome Document "The Future We Want" also explicitly recognizes the role of metropolitan development in paragraph 136:

"We emphasize the importance of increasing the number of metropolitan regions, Cities and towns that are implementing policies for sustainable urban planning and design in order to respond effectively to the expected growth of urban populations in the coming decades. We note that sustainable urban planning benefits from the involvement of multiple stakeholders as well as from full use of information sex-disagaregated data. includina demographic trends, income distribution and informal settlements. We recognize the important role of municipal governments in setting a vision for sustainable Cities, from the initiation of city planning through to revitalization of older Cities and neighbourhoods, including by adopting energy efficiency programmes in building management and developing sustainable, locally appropriate transport systems. We further recognize the importance of mixed-use planning and of encouraging nonmotorized mobility, including by promoting pedestrian and cycling infrastructures.'

3.2.3 INTERNATIONAL GUIDELINES ON URBAN AND TERRITORIAL PLANNING (2015)

In April 2015, the UN-Habitat Governing Council approved the International Guidelines on Urban and Territorial Planning (Resolution 25/L5). Resolution calls upon "international financial institutions, development agencies, and UN-Habitat to assist interested member States in using and adapting the Guidelines to their territorial and national contexts, where appropriate, and further developing tools and monitoring indicators". The Guidelines are a source of inspiration and a global reference framework that will act as a compass for decision makers and urban professionals while urban and territorial developing planning frameworks.

4. CONTEXT AND RATIONALE

4.1 RATIONALE FOR ENGAGEMENT

- ✓ The metropolitan topic is becoming every time more important to UN-Habitat's work because of:
- ✓ The growing number of metropolitan regions and the global trend towards "metropolization".
- ✓ The economic and population weights of metropolitan regions in countries and their potential to be levers of change towards poverty reduction and sustainable urban development.
- ✓ The complexity of this scale of action, as it centres around multi-level governance challenges: local, regional and central Governments are de facto involved in metropolitan management.
- ✓ The interest for metropolitan thematic is rapidly growing worldwide and many international institutions are developing their related expertise and strategic interventions.
- Responses to the complexity have not been developed yet in a satisfactory manner for developing countries and there is an

- emerging demand from partners and countries.
- ✓ Global agendas such as the Post-2015 development agenda and the New Urban Agenda (2016) will be implemented at the national and local levels, including the metropolitan level which is one of the key and relevant scales of action.

4.2 OBJECTIVES

he EGM aimed at reviewing and capitalizing on the main outcomes and lessons learnt from peer experiences and from UN-Habitat's recent engagement with the experts with a view to better define UN-Habitat's role and enhance its approach and impact on supporting sustainable metropolitan development and management.

The objectives of the EGM included: to capitalize from experiences, practices and lessons learnt on metropolitan development; to review a series of tools and methodologies to guide sustainable metropolitan planning, governance and finance, and to consolidate UN-Habitat's position on metropolitan development to inform the New Urban Agenda and its implementation.

Specifically the EGM aimed at identifying good practices and tools in metropolitan development and management and extract key lessons to inform the development of frameworks, toolkits and capacity building programmes to support the needs of metropolitan authorities. This was geared at forming the basis of a synthesis of trends, policies, tools, innovations and practices that could be promoted by UN-Habitat and development organizations, including through implementation of the New Urban Agenda. It also aimed at confronting experts' assessments with practitioners and leaders' perspectives with a view to strengthen a network for collaboration between practitioners, academia, metropolitan engaged authorities and think tanks metropolitan development and management.

4.3 METHODOLOGY

he EGM formulation began with the development of background papers prior to the preparation of the EGM. These were based on previous research, UN-Habitat's documents and the outcomes of RAMA's meetings and Montreal conference, the three Branches (UPDB, ULLG and UEB) prepared concise reflective

background reviews on the topics of the EGM. The preliminary findings of the thematic papers were presented during the EGM to guide the structuring of presentations, discussions and outcomes. The proposed papers focussed on the following themes:

Metropolitan Planning: The paper focused on identifying the underlying problems, and reviewing approaches, methodologies, tools and practices that can support metropolitan areas throughout the process of planning and implementation. A strong emphasis was put on spatial issues and challenges and opportunities in developing countries. A specific attention was also given to challenges and possible solutions related to horizontal (across sectors), vertical (across scales) and temporal integration (across political mandates) of metropolitan plans and strategies.

Metropolitan Governance approaches: It focused on reviewing and exploring the different institutional models for metropolitan management and the institutional mechanisms that facilitate horizontal and vertical integration at the metropolitan scale. It also looked at challenges of the legal and regulatory aspects of metropolitan development and ultimately, a specific emphasis was on the needs of the metropolitan and local authorities when it comes to determining a metropolitan governance structure in a multilevel governance framework (triggers, incentives and constraints, trade-offs between central and local levels) were examined.

Sustainable Finance for Development: The paper covered both the financing of development and metropolitan the management of metropolitan financial resources. The paper identified the mechanisms to finance and maintain metropolitan infrastructure, explore the role of private sector and review the related and arrangements instruments sustainable growth. A specific attention was put on the metropolitan specificity of externalities and savings: "get more with less". The financial and fiscal management was also highlighted in the paper, looking at policies, instruments and innovations to reinforce the metropolitan authorities' means of action.

5. THE UN-HABITAT EXPERT GROUP MEETING

he EGM brought together external expertise to discuss and help UN-Habitat to define principles and policy recommendations for effective development of metropolitan management tools and methodologies. participants were expected to contribute to the debate and help to identify ways forward for reinforcina UN-Habitat's advisorv metropolitan management and development. The participants included representatives development agencies, policy makers, academic, national and metropolitan Governments, private sectors and a few from civil society. The Expert Group Meeting consisted of two days of work with 4 sessions and a wrap up session. The sessions' with background started presentations outlining the main background information, main challenges, innovations and paradigm changes needed. Discussants then reacted to the keynote presentations, posing questions, comments and sharing their experiences, challenges and progress in different areas related to metropolitan development and management.

5.1 INTRODUCTION AND OPENNING SESSION

Erik Vittrup, UN-Habitat Representative in Mexico.

Marco Kamiya, Leader, Urban Economy and City Finance Unit, UN-Habitat.

Raúl Muñoz, Nicaragua Programme Coordinator, Andalusia Agency of International Cooperation in Nicaragua.

David Gómez-Álvarez, Representative from the Government of the State of Jalisco, Mexico.

Carlos Romero Sánchez, Vice president of the Mexican Chamber of the Construction Industry





Vittrup opened the session by thanking Andalusia Agency of International Cooperation for their support to the EGM. He stated that the discussions were timely and would contribute to the formulation of the New Urban Agenda and the Habitat Habitat III process. He also informed the participants that the EGM was being held at a time when the City of Guadalajara had just concluded International Forum on Metropolitan Governance Innovation between 23 - 24 November 2015. He also thanked the CMIC (Mexican Chamber of the Construction Industry) for hosting the event. He said that UN-Habitat has been organizing a series of EGMs with the objective of promoting knowledge sharing initiatives, in enhancing UN-Habitat's mandate to provide technical assistance to Governments and Cities. One of the recently concluded one was the EGM in Colombia on the Role of Intermediate Cities in Strengthening Urban Rural Linkages. He informed the participants that the discussions during the EGM would be summarized in form of a communiqué with guidelines to link to the Habitat III process.

He encouraged the participants to openly contribute their ideas and experiences in enriching the debate in metropolitan development. "We need collective ideas to enrich the debate on metro development." Mr. Vittrup informed the that Governments participants have spearheading Regional thematic meetings in the build up to Habitat III, for example the Montréal Thematic Meeting on metropolitan areas held in Montreal, Canada between 6 - 7 October 2015 that focused on the challenges of urbanization in the 21st century and the contribution of collaborative mechanisms implemented at the level metropolitan areas. In Mexico the Government has also been preparing a number of dialogue meetings to prepare for Habitat III. The regional meeting for Latin America and The Caribbean will be held in Toluca, Mexico 18-20 April 2016. He concluded by saying that Mexico has large metropolitan areas and the issues being discussed during the EGM were relevant for the Country, where there is need for capacity in the formulation of metropolitan Governments.

In his brief remarks, the Deputy Secretary of planning and evaluation of the state of Jalisco, Mr Gómez-Álvarez said that Jalisco was pleased to host the EGM, and thanked UN-Habitat for organizing the meeting, saying that it is important to Mexico and Guadalajara. He added that " the agenda on metropolitan development is of a lot of interest to Mexico and Jalisco", and that the discussions would contribute to improvement of metropolitan areas in Mexico. He wished the participants a good stay in Mexico. Carlos Romero, the Vice president of CMIC chamber indicated that the Mexican Chamber of the Construction Industry was pleased to take part and host the international meeting, and that as an agency they were keen to find solutions to problems facing metropolitan areas. Mr Gomez-Álvarez welcomed the participants to Guadalajara and indicated that he was keen to hear the outcomes of the discussions.

5.2 THEMATIC PANELS

5.2.1 SESSION 1 – METROPOLITAN GOVERNANCE

Erik Vittrup, UN-Habitat Representative in Mexico. Keynote presentation of the main findings of the Thematic Paper 1: Metropolitan Governance.

Discussants:

Michel Max Raynaud, Coordinator, Réseau d'Échanges Stratégiques pour une Afrique Urbaine Durable (RESAUD).

Zheng Jing, Director General, Guangzhou Urban Planning and Design Survey Research Institute.

Verena Maier, Sector Project "Sustainable Development of Metropolitan Regions", German Technical Cooperation Agency (GIZ). Daniela Glocker, Urban Policy Unit, Organisation for Economic Co-operation and Development (OECD).

Nicholas Awortwi, Director of Research, Partnership for African Social and Governance Research (PASGR)

ROUNDTABLE DISCUSSIONS

Moderator: Pedro Ortiz, Senior Urban Planner, World Bank.

Session Rapporteur: Jackson Kago, Consultant, Regional & Metropolitan Planning Unit, UN-Habitat.

Mr. Vittrup opened the session with a background presentation on metropolitan governance, indicating that the aim of the paper was to ignite some debate. He indicated that there are different modalities of how metropolitan areas are developing over time either as polycentric or monocentric structures; which is a determinant of the form of metropolitan governance structures that can be put in place.

He outlined the reasons why metropolitan areas should focus on metropolitan governance including: the increasing growth of urban areas and agglomerations - Mexican Cities included; boundaries between Cities are changing and metropolitan regions are becoming agents of National development; metropolitan Governments are facing challenges of managing the complexities of these growth necessitating the need for finding innovative ways to tackle challenges and take advantage of metropolitan opportunities - Mexico has 9 out of 32 states that have legislated metropolitan governance architecture; and metropolitan authorities are grappling with institutional capacity issues.

He outlined the various types of metropolitan governance models, explaining that there exist variations of metropolitan authorities addressing various issues like: planning and/or service delivery purpose, advisory functions, single or for multiple sectoral functions and also some with decision making powers. There are also different modalities of how they are formed: some are appointed, while others are elected. UN-Habitat has a set of good principles on metropolitan governance that are: sustainability, equity, efficiency, transparency and accountability, and civic engagement and citizenship.

Mr. Vittrup highlighted some of the factors that would enhance metropolitan governance like existence of laws and regulations. For instance Brazil passed a metropolitan law in 2015 and has a Minister for metropolitan development. Colombia has also put in place legislation on metropolitan governance. These laws are using experimental approaches, and already the law in Brazil under review. There is fear in Mexico on creation of this kind of legislation. He emphasized the need for political consensus on a metropolitan agenda, and also the division of functions from all levels of Government such that each is aware of their specific functions. Some of the constraining factors in setting up functioning metropolitan governance systems include discouraging and old laws that do not take onto consideration metropolitan dynamics; lack of laws, discouraging intentions and political pressures, lack of political support fragmentation of Governments - not knowing who is responsible for what and lack of existing capacity.

> "There is need for political consensus on a metropolitan agenda, and also clear division of functions from all levels of Government." Erik Vittrup

He mentioned some of the trigger factors in setting up metropolitan Governments; including the need to administer joint projects; need to have efficient supply chains and mobility, need to have efficient infrastructure, need to link with private sector initiatives and need to set up better coordination mechanisms. Additionally, the need for better financial mechanisms remains a key issue, for instance creation of metropolitan development funds; local tax sharing; ability to generate revenue, how to generate taxes, and multi-source infrastructures finance that cross municipal boundaries. Discussions are being explored on how to develop metropolitan finance in Mexico.

In conclusion, he indicated that "No one size fits all" in regard to metropolitan governance, and policies need to be based on local contextual issues on case to case basis. Legal frameworks are necessary but should not be an excuse for inertia. He emphasized that focus on the process is

important coupled with horizontal inter-municipality issues - "municipalities should cooperate, do not compete."

Erik Vittrup "Municipalities should cooperate, not compete."

Mr. Raynaud noted that there is no unique solution for metro development, adding that UN-Habitat and RESAUD have been exploring workable models in Bukina Faso, Camerooon and Senegal to break the vicious cycle of metropolitan mis-development trap in metropolitan areas and link social and economic issues in Cities, especially touching on issues of security of tenure and public safety. He emphasized the role of universities in knowledge policy development partnerships metropolitan stakeholders as incubators of knowledge and innovation. He also proposed that interventions in metropolitan areas should be anchored on reliable data that universities can provide. Universities can host urban/ metropolitan observatories and City labs to work on developing solutions for the City. He said that "Governments and Cities should not deprive knowledge, dynamism and innovative capacities of Universities.'

"Universities have a role in knowledge and policy development partnerships with metropolitan stakeholders as incubators of knowledge and innovation."

Michel Max Raynaud

Mr. Zheng presented a case study of Guangzhou a large metropolitan region composed of many Cities along the Pearl River Delta region with a population of 100m people. He emphasised on the need for contextualizing metropolitan governance in relation to the different political history and regional issues. He singled out that the governance structure in Chinese Cities is different, each dealing with different issues. In China, Cities have to deal with the huge problem of urban population increase -Every year Guangzhou has an increase of 300,000 people, and the city authorities have to plan to manage that expansion. Every week 1 km is extended. The City has also to deal with where the money comes from: loans from banks, Cities output, and city taxes. The City is also facing environmental and traffic challenges. Guangzhou is working on developing different sectoral plans and strategies to address the problems, including formation of new towns - free trade area and protection of agricultural land of all people. Mr. Zheng indicated that every city has its own Government and its own development agendas, but common problems and projects are organized at the provincial level, which have more powers.

Ms. Maier indicated that metropolitan regions are characterized by the functional interlink ages and system of Cities and rural - urban linkages. Urban agglomerations have to innovate ways to solve challenges within their contexts. Metropolitan governance needs to deal with the issues of the divide between urban and rural areas. "If you just look at metropolitan areas within the city boundaries it will be difficult to get overarching solutions." There is also need to incorporate issues of climate change. She noted the complexity of metropolitan governance due to the reason that national, municipal and local levels operating in metropolitan space are refusing to cede their powers and maintaining their autonomy. She posed that models of metropolitan governance have to clearly spell out the roles at the national, regional or the local levels. One of the approaches would be focusing on key areas that have clear benefits and incentives - like joint infrastructure projects. Issues of consideration like how regions pay for the benefits should be looked at. In addition metropolitan areas have to know the trigger factors and capitalize on them. Also key is the need for cooperation and political will at the national and local levels and flexibility to allow Governments to change the metro structures over time. She concluded by saying that "No one size fits all."

Verena Maier "No one size fits all in regard to approaches towards metropolitan governance."

Ms. Glocker said that it is important to take in to consideration the effect of reforms in metropolitan governance, plans and strategies. She also emphasized on the need for solutions that are informed by data evidence. She indicated that a study by OECD shows that fragmentation is associated with lower productivity hence the case for metropolitan governance. In addition, where the governance structures exist, the Cities are more compact compared to those without that are associated with sprawl. She pointed out that for governance to work well, there has to be a common project that the Local Authorities can identify with, to ensure ownership among stakeholders and enabling reliable sources of metropolitan financing. In addition, it is necessary to provide incentives and develop modalities for compensation and compromises. In implementing long-term process monitoring and evaluation to check the effectiveness of various approaches should be put in place. She noted that in metropolitan governance, there are winners and losers, hence the need to create political compromises and shared common vision.

Daniela Glocker "fragmentation is associated with lower productivity.... where metropolitan governance structures exist, the Cities are more compact "



Mr. Awortwi pointed out that the fact that Cities contribute high GDP for their countries is clear justification of having effective governance mechanisms. Why are Cities in Africa lacking effective governance mechanisms? He noted that Governments' perceptions are changing and there is increasing recognition of the benefits and challenges of urbanization. In particular, the African Union has put urbanization as a priority in its Africa 2063 Agenda, viewing it as the spring board of development. The Pan African agenda is shifting from rural to urban development. Large Cities are positioning themselves within the urban space and as such, effective metropolitan Governments, the mutual relationship between national, regional, and local Governments and visionary leadership capacity essential. Promoting good metropolitan governance is a major requirement for the transformation of African Cities. One of the major underlying challenges is the politics decentralization; Governments have divided Cities fragments small in the name decentralization limited fiscal capacity and powers at the urban scale of Government. Further, national Governments have the fear of losing power to the local Governments. Rwanda has merged 106 towns to take advantage of economies of scale. In Bukina Faso and Mali they increased the no of smaller administrative Governments through creation of new Districts by sub-dividing large towns to smaller towns. Thus it's imperative that there is need for structures to merge fragmented Governments, especially at a metropolitan scale. Coordination mechanisms for metropolitan governance, anchored on cooperation rather than competition with winwin political support and leadership capacity.

Nicholas Awortwi "Coordination mechanisms for metropolitan governance should be anchored on cooperation rather than competition"

Mr. Raynaud acknowledged the problem of power struggle in metropolitan space and called for creation of structures to encourage public consultation for all stakeholders to accept the systems of governance. The involvement of citizenry is important for governance issues so as to explain the vision and the plan. Ms. Glocker, emphasized that shared common vision for instance a project that can pull people together like public infrastructure, good integrated public transport

regions, others like Olympics and sporting are good triggers for metropolitan governance. Mr. Awortwi underscored the need for leadership, giving a case of Lagos that was in 1990s faced with the challenge of informality and prevalence of slums and issues of leadership challenges. With change in leadership, the City came up with a business model approach that turned around the city in terms of services, security and youth mobilization. Change in leadership may reverse the benefits or changes made. There is need for governance structures to sustain continuity. Ms. Argo indicated that there is need for sensitization to increase Governments' recognition of the metropolitan level. Metropolitan governance should be viewed as a political issue both at the national and international level. UN-Habitat should play a role at the international level.

In Ghana there is a regional Government that occasionally coordinates regional projects, but there is no institutionalized governance structure. At the end of the project the collaboration can then be dissolved. Mr. Vittrup noted that the politics of metropolitan governance have been less discussed, whereas creation of metropolitan frameworks is influenced a lot by the political environment. There is need to redefine political priorities to establish some kind of cooperation mechanism. The focus should be on the political agenda of metropolitan governance.

5.2.2 SESSION 2 - METROPOLITAN FINANCE

Marco Kamiya, Leader, Urban Economy and City Finance Unit, UN-Habitat. Keynote presentation of the main findings of the Thematic Paper 2: Sustainable Finance for Development.

Discussants:

Huáscar Eguino, Lead Specialist in Urban Development and Municipal Management, Inter-American Development Bank (IADB).

Teti Armiati Argo, Researcher, Institute of Technology Bandung (ITB).

Camilio Osorio, PhD Student, University of Catalonia.

Eric Huybrechts, Senior Architect & Regional/Urban Planner, International affairs for the Regional & Urban planning Agency of Paris

ROUNDTABLE DISCUSSIONS

Moderator:

Michel Max Raynaud, Coordinator, Réseau d'Échanges Stratégiques pour une Afrique Urbaine Durable (RESAUD).

Session Rapporteur: Efrén Osorio, Consultant, UN-Habitat Office in Mexico.

Mr. Kamiya highlighted the challenge facing metropolitan Cities in generating revenue as a result of increasing population growth and the need to provide for services and infrastructure and create employment. Cities are growing in population but the productivity is not growing. The informal sector is growing leading to informality and slums. He emphasized that sustainable urbanization depends in good municipal finance. Cities are also faced with the problem of de-industrialization and loss of jobsgrowth has not generated enough jobs.

"Cities need to boost revenue to provide for services and infrastructure and create employment... sustainable urbanization depends in good municipal finance " Marco Kamiya



How can Cities finance urban/ metropolitan infrastructure? A study in Rwanda on the probable cost of creating a secondary in Rubavu showed that the total cost would be USD 160m compared to the available budget of USD 16m. Countries are

expanding but have no money to pay for this infrastructure. Another challenge is that there are inadequate structures for land administration. Only 4% of land is registered in Africa, and 60% of Cities are informal, reducing their opportunity to generate taxes from the unregistered land. In addition, some municipalities are too small to create revenue.

There is need to improve the governance structures to enable Cities to expand their own source of revenue. Local Governments are too small and too politicized to have long term vision. They need to expand endogenous sources of revenue through taxation reforms, betterment of levies and land value capture. Structures should be put in place for Local Financial and Asset Management Systems, and transparent services and financial management systems. Local Governments have to devise systems for managing exogenous sources of finance. Expectation on bonds and international loans are excessive whereas Cities do not understand the requirements for getting bonds and credit rating is not embedded into local authorities. In addition Cities need to get local revenue sources like Findeter in Colombia, Caixa in Brazil or ICMA in Mexico.

Capacity should be developed in building integrated systems for infrastructure finance. Large infrastructure finance is often divorced from Local Governments. Local investment is not considered in large infrastructure projects by development banks, private sector, or local authorities. There is need for governance mechanisms to synchronize local infrastructure and finance. Infrastructure Finance through development Banks and Private Sector, reduce cost of national and local cost of infrastructure.

Public Assets Management has a potential of boosting local revenue. Public commercial assets include corporations, finance institutions, real estate, infrastructure, commercial activities and utilities - e.g. local revenue gotten from a local school. Endogenous Revenue is dependent on a reliable land value capture, and works where the legal frameworks are in place and where land is registered.



Mr. Equino presented some selected cases on metropolitan finance, showing how finance is connected with planning and governance. He indicated that the link between the three should be strengthened and well synthesized. There is also need to illustrate experiences and opportunities of private sector participation in metropolitan finance, while also involving the relevant ministries of finance and infrastructure in the debate. He indicated that IADB is working on developing metropolitan profiles of 24 metropolitan areas preparing the base data. The information will give the actual investment capacity of metropolitan areas and enhance understanding of the metropolitan challenges, for instance information the relationship between sprawl productivity; analysis of sectoral coordination in Latin America - Metropolitan coordination per sector; Inter-sectorial coordination - Form of metropolitan plans.

He outlined the main underlying issues of lack of metropolitan governance bodies/ institutions with debt authority; the issues of low credit rating not only in local Governments but also public utilities agencies (exceptions like Medellin); metropolitan projects that exceeds fiscal capacities; emerging demands of climate change, and increasing competitiveness among cities. He proposed that there is need to increase tax efficiency; improve expenditure efficiency, diversify sources of funding, leveraging resources, innovate, improve legal framework in order to boost metropolitan revenue. He mentioned that the instruments that could be used include: land adjustments, engaging investment corporations, and through PPPs. Joint projects at the metropolitan levels need to be increased. Examples of Countries implementing finance projects include Brazil which is building the legal, institutional and financing mechanisms and has already created a metropolitan fund at the metropolitan level. Argentina has set metropolitan Governance structures, and Colombia is building metropolitan financing systems.

Ms. Argo indicated that contextual differences should be put into consideration. She also emphasized on the need for creating synergy among local Governments. She gave a case study of

Bandung Metropolitan area where the central Government idea of how to define metropolitan is different from that of the provincial Government. The central Government is more oriented towards watershed while the provincial is oriented towards the functional metropolitan area. She also said contextual differences apply to monocentric and polycentric structures. She proposed that public budget processes at the metropolitan level should be exposed to budgetary auditing just like the private sector. She called for legislative mechanisms to regulate public budget allocation for metropolitan areas.

Mr. Osorio made a presentation on metropolitan safety indicating that 48 out of 50 most unsafe Cities are metropolitan regions. Urban unsafety is no longer an urban problem, but a metropolitan problem as it does not respect a city jurisdiction; (un)safety has now a metropolitan character and should be addressed at that scale. He emphasized that approaches and interventions should be multisectoral covering political, economic, social, cultural, and physical elements. He called on the need to avoid fragmentation of metropolitan governance, which he said is associated with increased crime peri-urban areas/ metropolitan borders have high levels of crime because they have unclear jurisdictions of borders; an impediment in preventing crime. Metropolitan governance and planning must assume preventive role of urban safety with strategies that extend beyond the Cities' jurisdictional boundaries.

Mr. Huybrechts said that there is a close link between finance and planning. He said that metropolitan finance should include support for economic competitiveness in metropolitan areas; support to social justice; regulation of the city land and real estate markets; support to large urban projects and mega infrastructures; allocation of money for urban services and support to housing market. He indicated that some of the challenges the of current were weaknesses finance administrative mechanisms, lack of long-term vision in annual budgeting and the mere complexity of metropolitan projects. He gave examples of Greater Mumbai where there is a property tax for municipal budget which is used to fund large urban and



infrastructure projects. In Beirut, transportation is funded by state Government, while the City center is funded by private sector. Solid waste management is funded by a national coalition of private sector and Government. Rio De Janiero has no metro planning and decentralization but has a new law of metropolitan areas. In Paris the question is who develops the infrastructure? Is it Greater Paris or the central Paris?

Mr. Awortwi indicated that there is need to establish ways of how to increase fiscal efforts of increasing municipal finance. Municipalities do not have capacity to borrow, and there is need for tools to support municipalities in growing their revenues through local taxes and increasing their efficiency in collecting their own revenue. Mr. Kamiya informed participants that Ministries' dealing with urban and Territorial development area usually weak in finance issues, and there is need to strengthen dialogue with Ministry of Finance and office of the president and support and train stakeholders and staff on metropolitan finance and resource mobilization. There is also need to develop approached to support PPPs at the metropolitan level.

5.2.3 SESSION 3 – METROPOLITAN PLANNING

Jackson Kago, Consultant, Regional & Metropolitan Planning Unit, UN-Habitat. Keynote presentation of the main findings of the Thematic Paper 3: Metropolitan Planning.

Discussants:

Kayom Wilson, Physical Planning Specialist, Ministry of Lands Housing and Urban Development, Uganda.

Pedro Ortiz, Senior Urban Planner at the World Bank, Washington DC.

Teng Xi, Guangzhou Urban Planning and Design Survey Research Institute.

Rahmatouca Sow Dieye, Spatial Planner, City of Dakar.

Carlota Rosés Montesinos, Barcelona Metropolitan Area

ROUNDTABLE DISCUSSIONS

Moderator: Verena Maier, Sector Project "Sustainable Development of Metropolitan Regions", GIZ.

Session Rapporteur: Joaquin Pardo, Consultant, UN-habitat Office in Spain.

Ms. Maier in her introduction indicated the need to relate metropolitan planning, governance and dealing finance when with metropolitan development. She challenged the participants to develop innovative models for metropolitan planning. Mr. Kago started the presentation by indicating that growing expansion of metropolises have been a concern among various nations worldwide especially where it has characterized by inadequate planning, formation of informal settlements. He indicated that metropolitan areas are facing extraordinary challenges due to the sheer size and complexity, jurisdictional challenges, few available tools, lack of supporting legislation and good governance and limited dialogue between local and metropolitan planners.

He emphasized the need to approach metropolitan development from a planning, governance and economic perspective. UN-Habitat is advocating for a three prong approach that places emphasis on urban legislation, urban planning and design, and urban finance and economy. "Although planning can influence the spatial structure of Cities indirectly, in the long run market forces are building Cities, with constraints of city regulations, taxation and opportunities provided by new investments." Spatial plans can influence location of new investments, bring better connectivity, create nodes of business areas, and upgrade old economic zones, which can be an important factor in influencing spatial concentrations of economic development. He indicated that metropolitan planning should



adopt an integrated approach covering the key pillars of physical, socio, and environmental issues. He outlined various approaches that have been applied to contribute to metropolitan planning, saying that they are not necessarily fundamentally different and have cross-cutting elements. These include: Metropolitan Planning for Clustered Growth; Approaches towards Spatial/territorial Cohesion; Planned City Extensions; Metropolitan Reticular Matrix Planning; Strategic Spatial Plans; Development Corridors and Transit Oriented Development; City Region Planning; and Polycentric Approaches to Regional Planning.

He mentioned that some of the key issues that metropolitan planning should address including appropriate Land use and administration structures that address issues of sprawl especially in peri-urban areas. He added that developing a housing strategy at the metropolitan scale is also essential in identifying a suitable spatial distribution of affordable housing across the region to share the region's demand for low- and moderate-income housing. He further mentioned that infrastructure is a critical ingredient in ensuring metropolitan Cities are well connected between them, with other Cities and satellites and also with the hinterland. Infrastructure investments expose Cities to new economic opportunities and are critical in facilitating mobility and connectivity, which is essential to sustain vibrant city economy. Metropolitan areas should also focus on social inclusiveness is a key component to achieve sustainable regional development.

He recommended that approaches to metropolitan planning should be comprehensive to ensure that it integrates planning policies to infrastructure and service delivery including elements of transport, infrastructure, planning and environment. Planning consideration should also encompass provision of services that are out of reach for the small local authorities located in the metropolitan regions. In

addition, planning of metropolitan areas should be based on statistical and other information concerning the economic, social and physical structure of a metropolitan area and that metropolitan planning should aim at achieving more compact, better integrated and connected Cities which are socially inclusive and resilient to climate change.

"metropolitan planning should be comprehensive to ensure that it integrates planning policies to infrastructure and service delivery" Jackson Kago

Mr. Wilson while presenting a case study of Uganda questioned whether there is a conducive planning culture among the citizenry, he also questioned the low response on urban development by many least developed countries despite the existence of knowledge on relationship between urbanization and development. He posed that there should be a planning methodology that responds to the demands and challenges of metropolitan development. He acknowledged that some of the plans being prepared were not fully addressing some specific integrated needs like increasing population of urban youth. Some few components are not well captured. Ugandan Government is embracing urban development more through the Uganda Support for Municipal Infrastructure Development (USMID) Programme.

The Country is in the process of developing a National Spatial Framework before embarking on metropolitan planning, in line with Uganda's vision 2040. For Kampala metropolitan area to be planned there has to be national, regional and local level planning. Under this national spatial framework, Uganda has identified several development corridors and growth nodes in a strategy to distribution of population across the Country. This

will be complimented by Regional Spatial Development Framework and then Local Level Development Frameworks. He emphasized the need to reconcile plans and integrate them while developing metropolitan plans. Bringing different sectors together is not easy e.g transport plans that do not integrate with land use planning. Lastly he indicated that to achieve consensus, participatory planning principles should be applied in metropolitan planning.

Mr. Ortiz started by saying that urbanization was there to stay, and Cities have to plan for sustainable urbanization. "Three million people move to cities every week"1. He outlined the magnitude of the planning challenge by indicating that metropolises are not just Cities - they are like Countries; some metropolises have the population similar to that of "We are dealing several countries. metropolitan production - Their politics are complex." He said that the approach to metropolitan planning should integrate economic, social, environment and physical dimensions. Planners should plan to strike a balance when merging these four issues. Mr. Ortiz also outlined aspects in developing governance metropolitan plan including power, politics and the fundamental link between the institutional and the universities. He emphasized the critical role of human resource capacity in sustaining metropolitan strategies.



¹ http://www.citymetric.com/skylines/three-million-people-move-cities-every-week-so-how-can-cities-plan-migrants-1546

He called for sensitive planning approaches that take into consideration contextual factors and flexible mechanisms for redefining the strategy and adapting the plan. "Plans should adapt to different circumstances." For instance in Africa Cities there could be "Nollywood Planning" that addresses the issues of urban informality. Planners should also recognize the many actors in a metropolitan area; which calls for dialogue among the different institutions, and getting consensus from the several municipalities. He also mentioned that given the magnitude of investment required, policy makers can apply metropolitan acupuncture depending on the structure of the metropolis and the existing challenges to know the appropriate needle to use and where to place the point of development.

"Metropolises are not just Cities - they are like Countries" Pedro Ortiz

Mr. Teng presented a case study of Guangzhou Strategic Plan. The plan takes cognizance of the contextual issues including the structure of the city - the mountain City and farmlands. It has strategies to boost economic growth within the three urban Districts in Guangzhou. The 5 strategies of the metropolitan development from the Guangzhou's experience touches on: dislocation of competition complementary cluster divisions, facility optimization and population distribution, improving network connections and traffic flow, ecopreservation, intensive infrastructure and better coordination of urban actions. It also touches on strengthening urban-rural linkages between the metropolis and the City Region. The plan has also identified priority networks of growth and allocated 65% of land as green fills.

Ms. Montesinos started her presentation by indicating that while settling on the planning approach to adopt, "No one size fits all." Barcelona is in the process of reviewing its metropolitan strategies; a process of technical reflection through thematic workshops, discussion with various stakeholders, practitioners from other Cities, so as to get new ideas to take into consideration, and bring innovative elements in the new plan. To ensure community participation, the metropolis plans to communicate the plan to its citizens so that they can comment on it. The City is also identifying its international and global linkages to other metropolis in Spain and Europe. She also mentioned that there is need to understand the metropolitan area as the City of Cities while respecting the autonomy of different municipalities. Barcelona has identified the problems and identified a vision and plans to integrate the different issues.



Some of the key issues in the case of Barcelona are: Social inclusion in the design of housing, public spaces, public facilities; Sustainable economic development; different elements in the city and the metropolitan region; Planning towards a green economy; environmental sustainability - managing water and waste; urban mobility plans; and promotion of non-motorized transport. One of the key objectives is to develop a plan that is flexible. Some of the challenges in the formulation of the new plan are: legislation, creating the appropriate governance structures, politics, and funding capacity.

Presenting a case of Mexico, Mr. Iracheta said that planning is a socio- political process that should aim at addressing the main challenges facing Cities and metropolises. 77% of Mexican people live in 383 Cities that are facing challenges of urban expansion and sprawl - 80 inhabitants per hectare. The structures of these Cities' are shaped by use of vehicles. Mexico City for instance has grown to a Megalopolis, but faces challenges of expanding its public transport and addressing the housing deficit. Social housing solutions are not adequate. He indicated that Mexico needs develop a new metropolitan governance framework integrating the three tiers of Mexican Government - municipalities, states and national Government.

Mr. Huybrechts emphasized on the need to focus on the process of developing metropolitan plans and not only the end result. This includes articulation of the metropolitan plan with regional bodies. Political problems have to be solved with technical solutions. Mr. Awortwi said that metropolitan plans should address the issues of growing middle class in metropolitan areas in favour of living in gated communities with the resultant effect of urban sprawl. How will metropolitan planning create new areas for new immigrants and city expansion? Ms. Argo advocated for the use of information technology in analyzing the new age metropolitan spatial structure and smart Cities. Mr. Ortiz said there is a need for approaches on how to allocate land for

expanding metropolitan areas. How do we calculate how many immigrant are moving into the Cities? and how much will it cost the city? Mr. Huybrechts view was that planning of metropolitan areas should be compared to that of planning Countries.

CONTRIBUTION FROM THE RAPPORTEURS AND GENERAL DISCUSSIONS

Jackson Kago, Regional & Metropolitan Planning Unit, UN-habitat, Rapporteur Session 1.

Efrén Osorio, UN-Habitat Office in Mexico, Rapporteur Session 2.

Joaquin Pardo, Consultant, UN-habitat Office in Spain. Rapporteur Session 3.

Moderator: **Kayom Wilson,** Physical Planning Specialist, Ministry of Lands Housing and Urban Development, Uganda.

Mr. Kago presented some of the key issues that had been raised during the first session on governance. metropolitan One was acknowledgement of the varying metropolitan region definitions, and the need to take into contextual issues consideration and metropolitan development on reliable data. There was clear rationale to engage in metropolitan governance - Urban areas are growing fast, agglomerations are growing; limited capacity and fragmented governance structures are associated with low productivity of metropolitan areas. It was also clear that policy makers should capitalize on trigger factors for metropolitan governance while reducing constraining factors; foster cooperation and reduce competition among actors in the metropolitan areas; build strong a strong case and coalition for metropolitan development; rely on evidence, base interventions on local context and create an enabling political environment. There is additionally need to involve citizenry through participatory approaches and engagement frameworks. Lastly "No one size fits all" solution in terms of appropriate metropolitan governance approaches; while a number of general principles

may apply universally, Countries' context of what works should be put in consideration.

Jackson Kago "Every metropolis has its own contextual issues, and they should identify what works for them."

Presenting a wrap up of the second session on sustainable finance development, Mr. Kago said that sustainable urbanization depends in good municipal finance; metropolitan areas need to create investments and generate enough jobs, leveraging on clustering approaches. The origin of the revenue resources in various metropolitan areas varies across different metropolitan areas; in the developed world they have endogenous and locally generated resources, while in the developing countries, the origin of resources are transfers from other levels of Government.

The paradox of city planning is that a well "planned city" usually costs more than the city income. The question is how to build a sustainable urban/ metropolitan finance? Maybe the answer is to move towards more complex financial instruments, according to the scope and type of project needed. metropolitan Governments Additionally, generate revenue through public assets. Some of the other key issues that were arising included the importance to differentiate urban finance from metropolitan finance. It was also recognised that national economics play an important role in the urban/local and metropolitan financial profile. To address urban financing some of the strategies required are: need to optimize existing resources, improve credit rating, diversify sources of funding, leverage resources, be innovative and improve legal frameworks. There is also need to strengthen dialogue with other relevant Government Ministries - Ministry of Finance and Office of the president. In addition, the link between metropolitan spatial structure and economic productivity of Cities needs to be studied more closely.

Mr. Osorio presented a summary of the key issues arising from the third session. First there was the question of whether Cities should focus on controlling metropolitan expansion, or plan for the expansion? The participants acknowledged that urbanization was there to stay and Cities would rather focus on planning for it. There is need to change the narrative and present cities as areas of opportunities and not problems. He also mentioned the three principles of sustainable Cities: compactness, integration and connectivity. Other key issues in metropolitan planning included the need for coordination of social, economic, and governance aspects of metropolitan development and need to relate with all levels from the national, regional and local. It was also clear that planning of

metropolitan areas should be equated to planning of counties because of their sheer size, and that the political tensions between national, regional and local Governments should be taken into consideration through clearly defining the roles of the metropolitan authorities. The large number of stakeholders in metropolitan planning calls for dialogue among relevant actors to build consensus. The City plan is about dialogue between the municipality and the citizens, the metropolitan plan is about the inter administrative dialogue among several municipalities.

"Cities should be presented as areas of opportunities and not problems"

Camilo Osorio

5.2.4 SESSION 4 – SYNTHESIZING KEY ISSUES ARISING

CONTRIBUTION FROM THE RAPPORTEURS AND GENERAL DISCUSSIONS

Jackson Kago, Regional & Metropolitan Planning Unit, UN-habitat, Rapporteur Session 1.

Efrén Osorio, UN-Habitat Office in Mexico, Rapporteur Session 2.

Joaquin Pardo, Consultant, UN-habitat Office in Spain. Rapporteur Session 3.

ROUNDTABLE DISCUSSIONS

Moderator: **Kayom Wilson,** Physical Planning Specialist, Ministry of Lands Housing and Urban Development, Uganda.

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"Every metropolis has its own contextual issues, and they should identify what works for them."

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finance. It was also recognised that national economics play an important role in the urban/local and metropolitan financial profile. To address urban financing some of the strategies required are: need to optimize existing resources, improve credit rating, diversify sources of funding, leverage resources, be innovative and improve legal frameworks. There is also need to strengthen dialogue with other relevant Government Ministries - Ministry of Finance and Office of the president. In addition, the link between metropolitan spatial structure and economic productivity of Cities needs to be studied more closely.

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"Cities should be presented as areas of opportunities and not problems"

Camilo Osorio

5.3 WRAP-UP OF THE DISCUSSIONS ON THE THREE SESSIONS - SUMMARY OF GROUP DISCUSSIONS

rik Vittrup, UN-Habitat Representative in Mexico.

Marco Kamiya, Leader, Urban Economy and

City Finance Unit, UN-Habitat.

It was noted that in in regard to metropolitan finance, the issue is not only to add income and expenditure but also efficient land valuation to boost revenue through improving tools for land valuation and asset management. The importance of understanding the financial indicators in metropolitan areas through metropolitan profiles was also seen as a good basis for assessing the type of intervention in metropolitan areas and also moving towards evidence based interventions approach.



In addition the capacity of metropolitan agencies in fiscal management needs to be strengthened. It is also essential to integrate finance is with governance and planning. The importance of addressing issues of urban safety at the metropolitan scale also underscored. was Metropolitan finance and urban finance should also be viewed as a continuum and it was also then necessary for metropolitan agencies to create their own sources of revenue. It was additionally agreed that Public Private Partnerships are not a solution for everything but an essential building block -Importance of building a strong capacity for a PPP. There is also need to review approaches to decentralization as it relates to metropolitan planning and governance. The appropriate political environment for metropolitan development to take place was underscored. It is necessary to produce a metropolitan governance engagement at all levels, and build a coalition of actors with a specific objective of developing metropolitan laws. What is the role of UN-Habitat in advocating for the right political space? Can metropolitan development be a win-win process at all levels of Government to avoid competition and power struggle? How can metropolitan governance be addressed politically during the Habitat III conference.

5.4 GROUP I: METROPOLITAN FINANCE

roup I identified the challenges of metropolitan finance including: urban scale vs financial capacity; new demanding topics for metropolitan financing like climate change; increasing competitiveness and low productivity; metropolitan insecurity and safety; urban renewal; green vs blue infrastructure and smart Cities. They proposed ways of financing metropolis through expanding and optimizing endogenous resources, improve credit rating, diversify sources of revenues (including direct access to capital market); public assets, supporting managing mechanisms (pooled finance, PPP) and providing funding to support policies and technical capacity on metropolitan projects. The group proposed the following measures in improving the capacity of metropolitan agencies and Governments. First the strengthening metropolitan agencies, planning, economic development, and land; supporting the development of strategies, policies, and regulations to implement joint urban projects, and large investments; and infrastructure empowering metropolitan sectoral authorities (transportation, energy, social services). Thev emphasized on the need for engaging new actors by incorporating metropolitan finance in the discussion on fiscal decentralization; promoting private sector participation in finance and budgetary supporting metropolitan productivity through adequate access to resources and building coalitions for investments and metropolitan branding.

5.5 GROUP II: METROPOLITAN GOVERNANCE

roup II defined a metropolis as a system of spatial and functional interlinked local Governments' jurisdictions comprising one or more set of Cities and the peri-urban, rural and agricultural surrounding areas.

The core issues regarding the metropolitan governance are:

There should be a coalition of change agents comprising all the stake holders from all sectors and across all levels, including the social sector and citizens;

Need for visionary leadership qualities and innovative management approaches;

Metropolises require coordination, dialogue and collaboration among and between vertical and horizontal authorities;

In order to achieve collective decisions, through consensus building, the political settlements require political willingness and flexibility.

In the metropolitan space, politicians should act under the principles of transparency, accountability and responsiveness

Need to enhance the discussion regarding social contracts at the metropolitan level

Thus, in order to achieve metropolitan governance, there is need to develop sound institutional arrangements on economic, social, political and spatial matters, which works for different metropolitan contexts of varying metropolises. This will require specific metropolitan tools in the form of Institutional systems, agencies or authorities, which together set incentives and awards, checks and balances for all the actors operating at both vertical and horizontal levels.



This means, that metropolis have to be differentiated from other Cities, mainly because they can spearhead regional long term visions; Cities as units alone cannot tackle the urban challenges beyond their jurisdictions. Additionally, planning towards inclusiveness; and working under a metropolitan logic, is cheaper/cost efficient to work together rather individual Cities.

5.6 GROUP III: METROPOLITAN PLANNING

roup three proposed that metropolitan planning has to be different from other types of planning. It should be transversal in sectors and territories (interstitial, not invasive). It also needs competences of stakeholders and an clear outlining of agenda, vision and issues to be

addressed. It should interface between local, municipal and national planning. Metropolitan planning needs to be both strategic focusing on achieving social consensus, technical projects, but should also involve development of physical/ land use guidance, identifying structural priorities. The latter could be strategic/structural: indicative (preferably 1:50.000) or regulatory and compulsory (preferably 1:5.000). Metropolitan planning should coordinate economic, social, environmental and institutional issues of vertical tiers and horizontal sectors of Government from the local, regional to national levels. Metropolitan planning should also be long term but should have adaptability and evolutionary flexibility. It should also take cognizance of the governance structure (formal or informal) of those metropolises.

Planning at a metropolitan level should address aspects of:

Components dialogue on economic, social, environmental and governance issues;

Sectors dialogue: green (turquoise), gray, productive, social and housing issues;

Scale dialogue at the National, Municipal, local levels and beyond;

Calibration dialogue: (Plan and Program differences);

Long-term sustainable: Adaptability (diachronic consensus)

Short-term prioritization: Flexibility (synchronic consensus)

Formal and informal sectors dialogue; and

Polycentric approach with strategic definition of role-playing to be performed by each territorial area (Clustering approach)

The group proposed that metropolitan planning should empower/induce/promote specific actions in a well-defined general context (vision) for the future. It should provide opportunities (room) to all stakeholders (Institutions, territorial and sectorial administrations (horizontal), and administration tiers (vertical).



6. CLOSING SESSION

r. Vittrup, while closing the EGM thanked the participants for their open contribution and said that UN-Habitat would draft a communiqué reflecting the discussions and share with participants for comments and adoption within a period of one

week. This would contribute to the Habitat III process and build on the declaration in Montreal. He also said that at the request of the participants, a structure of a synopsis of the presentations made by the participants would be prepared and shared to them through a group email. The presentations made during the EGM would also be shared with all the participants.



7. ANNEXES

7.1 ANNEX 1: COMMUNIQUÉ

BACKGROUND

In September 2015, 193 member states of the United Nations adopted the post-2015 development agenda, "Transforming Our World: 2030 Agenda for Sustainable Development", with SDG (Sustainable Development Goals) as its framework. In particular, Goal 11 seeks to "make cities and human settlements inclusive, safe, resilient and sustainable," and more specifically Target 11.2 seeks to "by 2030, provide access to safe, affordable, accessible and sustainable transport systems for all......" Target 11.a seeks to "Support positive economic, social and environmental links between urban, peri-urban and rural areas by strengthening national and regional development planning," and Target 11.3: to "by 2030, enhance inclusive and sustainable urbanization and capacity for participatory, integrated and sustainable human settlement planning and management in all countries."

The Habitat II Agenda that was adopted in 1996 in Istanbul as a global action plan to realize sustainable human settlements clearly includes the metropolitan areas as a level of action (see paragraphs 44, 45, 185 and 186). Para 101, the Habitat Agenda recognizes that "sustainable development will depend very largely on the capacity of urban and metropolitan areas to manage the production and consumption patterns and the transport and waste disposal systems needed to preserve the environment." Paragraphs 185 and 186 are specifically dedicated to the metropolitan planning and management: the Agenda recognizes the unique problems that managers of metropolitan areas and mega-cities face, caused by the size and complexity of their tasks and responsibilities (paragraph 185) and proposes a series of action-oriented recommendations (paragraph 186.)

The Rio+20 Outcome Document "The Future We Want" explicitly recognized the role of metropolitan development with paragraph 136 stating that "We emphasize the importance of increasing the number of metropolitan regions, Cities and towns that are implementing policies for sustainable urban planning and design in order to respond effectively to the expected growth of urban populations in the coming decades. We note that sustainable urban planning benefits from the involvement of multiple stakeholders as well as from full use of information and sex-disaggregated data, including demographic trends, income distribution and informal settlements.

In April 2015, the UN-Habitat Governing Council approved the International Guidelines on Urban and Territorial Planning (Resolution 25/L5). The Resolution calls upon "international financial institutions, development agencies, and UN-Habitat to assist interested member States in using and adapting the Guidelines to their territorial and national contexts, where appropriate, and further developing tools and monitoring indicators". The Guidelines are a source of inspiration and a global reference framework that will act as a compass for decision makers and urban professionals while developing urban and territorial planning frameworks.

On October 7 the Montréal Declaration on Metropolitan Areas was adopted during one of the thematic meetings of the UN Habitat III thematic meeting on metropolitan areas held under the aegis of the United Nations (UN). The declaration emphasizes the importance of metropolitan cooperation to meet the challenges of global urbanization which is concentrated in metropolitan areas. It proposes the establishment of partnerships between States, local and metropolitan institutions and civil society in order to continue to improve the quality of life of populations living in metropolitan regions.

PREAMBLE

UN-Habitat, in collaboration with the Andalusian Agency of International Cooperation for Development, the Ministry of Development and Housing of the Government of Andalusia, the Mexican Chamber of the Construction Industry and the Government of the state of Jalisco collaborated to organize the Expert Group Meeting (EGM) on "The Role of Metropolitan Development in Supporting the New Urban Agenda", in Guadalajara, Mexico between 3-4 December 2015;

The EGM brought together over 30 international and national participants from both developing and developed countries, with expertise in a variety of fields, representing International Development and Inter-Governmental Organizations, Development Finance Institutions, academia, national and metropolitan Government representatives, the private sector and NGOs. The overall objective of the EGM was to exchange practices and experiences on how to strengthen metropolitan development. More specific goals of the EGM in particular focused on consolidating good practices, tools and approaches in metropolitan governance, finance and planning that can contribute to the New Urban agenda;

As an outcome of our discussions:

- 1. WE take note of the recent development and endorsement of processes, such as the one embodied in the Sustainable Development Goals, the International Guidelines on Urban and Territorial Planning, the Habitat III regional thematic meeting on metropolitan development in Montreal, the International Forum on Metropolitan Governance Innovation in Guadalajara;
- 2. WE recognize that metropolitan regions contribute significantly to large proportions of their Countries Gross Domestic Product (GDP). We recognize their leading role as local, regional and national economic engines;
- 3. WE take note that metropolitan areas are "the places where the battle for sustainable development will be either won or lost";
- 4. WE take note that today over 50% of the World population lives in urban areas. A large part of which lives in metropolitan areas;
- 5. WE note that metropolitan areas are a system of spatially and functionally interlinked local and regional government jurisdictions comprising one or more cities and the surrounding peri-urban, rural and agricultural areas;
- 6. WE note that metropolitan areas are different from cities in scale, number of actors, political levels and jurisdictions involved and they have continuous and discontinuous infrastructure and services; thus metropolitan planning is different from urban planning and national planning and should be transversal in sectors and(interstitial but not invasive) with respect to the principle of subsidiarity;
- 7. WE note that the complexity of today's metropolitan challenges cannot be encountered by cities alone but require coherent strategies at a metropolitan scale to achieve inclusive, productive, resilient and livable cities for all;
- 8. WE recognize the vast potential of metropolitan cooperation in terms of efficiency gains, cost savings, improvement in the delivery of basic services, competitiveness, social inclusion and cohesion;
- 9. WE take note that metropolitan planning should be long term but should have adaptability and evolving flexibility to a changing physical, social and economic environment and specific tools to be more effective;
- 10. WE take note that metropolitan areas are facing political and economic challenges including harmonizing and linking planning, policies, infrastructure and service delivery; jurisdictional issues; inertia in attracting strategic investments and increasing employment, poor coordination of land management policies, weak decentralization and global economic instability;
- 11. WE take note of the negative threats to metropolitan development including urban sprawl, environmental pollution, impacts of climate change, environmental risks, unsafety, insecurity, spatial fragmentation, social segregation, and exclusion;
- 12. WE take note of the political issues that influence the nature of governance of metropolitan areas including power control and jurisdictional issues;
- 13. WE take note that collective decisions making in metropolitan development necessitates consensus building, political cooperation, political settlement and willingness supported by commensurate policies, reforms and legal frameworks;
- 14. WE appreciate the role of effective partnership and collaboration between all spheres of governments from national, regional and local level in fostering cooperation within metropolitan regions;
- 15. WE recognize that professional disciplines working independently are not sufficient to bring about effective coordinated metropolitan development but integrated solutions are needed;

- 16. WE recognize that new tools should be developed, selected and integrated to guide policy makers to manage metropolitan development;
- 17. WE recognize that many metropolitan areas have inadequate local data to enable them make strategic decisions and that not every metropolitan area can afford a statistical department;
- 18. WE take note of the diversity in definitions of metropolitan regions. We recognise that "no one size fits all" in approaches towards metropolitan governance, finance and planning and contextual differences should be applied (there is not a blue print or unique model for metropolitan development);
- 19. WE take note that metropolitan development should be guided by clear visions and innovation, and steered through able human resources and leadership guided by the principles of transparency, accountability and responsiveness;
- 20. WE take note that national, regional and local governments are not adequately empowered to deal with the complex challenges faced by expanding metropolises, and that institutional reforms will require specific institutions to manage metropolitan areas;
- 21. WE call upon multilaterals, including UN-Habitat, IADB, ADB, AfDB, WB, Metropolis or UCLG to make substantial contributions to share the existing scattered experience as well as to develop a specific knowledge in a multitier dialogue between academia, managers and decision-makers;
- 22. WE call upon governments to bridge the rural-urban divide, foster cross-sectoral and inter-municipal cooperation, in order to enhance access and quality of service provision to all citizens:
- 23. WE call upon governments to set up institutional frameworks to enable metropolitan governance, planning and finance through strengthening metropolitan agencies: planning agencies, economic development, and land management agencies;
- 24. WE call upon governments (National, Regional and Local) to develop innovative strategies to boost local sources of financing for metropolitan areas including through land and property based tax revenues;
- 25. WE additionally call upon governments to support and develop effective strategies and policies, regulations, strategic urban projects, and large infrastructure investments to boost growth of metropolitan areas;
- 26. WE make the following recommendations to support the effort of strengthening metropolitan development:
 - ✓ Coordination and collaboration among and between vertical and horizontal authorities. Necessitating the development of new and innovative negotiating tools;
 - ✓ Development of a coalition of change agents, comprising stakeholders, from all sectors and from all levels, including the social, academic, research sectors and citizens;
 - ✓ Development of national law(s) to guide the governance of metropolitan areas;
 - ✓ Sustained dialogue between multi-stakeholder policy makers at the local, metropolitan, regional and national authorities;
 - ✓ Metropolitan planning should coordinate economic, social, environmental and institutional issues of vertical tiers and horizontal sectors of government from the local, regional to national level. A strong link should be established between metropolitan planning and public budgetary processes;
 - ✓ Metropolitan planning should take cognizance of the overall governance structure (including formal or informal) of those metropolis;
 - ✓ Expansion and optimization of endogenous sources of revenues, improvement of formal or shadow credit rating, diversification of sources of finance (including direct access to capital markets and Private Public Partnerships) in order to boost metropolitan finance;
 - ✓ Provision of funding to support policies and technical capacity on metropolitan projects;
 - ✓ Empowerment of metropolitan authorities/ bodies / agencies to steer the private sector to effectively manage metropolitan areas (e.g. planning, economic

- development, land management, environment, transportation, social services and utilities such as water, energy, and waste);
- ✓ Increased research including collecting and evaluating data, and building tools, dialogue, networking and knowledge exchange on issues of metropolitan development leveraging on resources from networks and partnerships including with universities and research institutes;
- ✓ Increased data and tools development on metropolitan development including through development of institutional structures, metropolitan profiles and observatory;
- ✓ Incorporation of metropolitan finances in the discussion on fiscal decentralization;
- ✓ Building coalitions between private and public actors for investments promotion, clustering and metropolitan branding to increase competitiveness;

27. Moving ahead,

- ✓ WE recommend that the EGM and its outcomes should be taken as contribution to Habitat III processes, particularly to the relevant policy units, regional and thematic meetings to ensure that the issue of metropolitan development is given significance importance in the outcome document of Habitat III Conference in October 2016;
- ✓ WE call for the outcomes of this EGM to inform the deliberations of the group setting the indicators for the SDGs, in particular the indicator Target 11.2, Target 11.a and Target 11.3;
- ✓ WE invite interested partners to sustain continued partnerships, networks and dialogues, to develop and share knowledge, develop and implement projects on metropolitan development;

Guadalajara, Mexico 4 December 2015

7.2 ANNEX 2: PARTICIPANTS LIST

International Experts

- 1. Camilo Osorio, PHD Student, University of Catalonia (Spain).
- 2. Carlota Rosés Montesinos, International Relations and Cooperation, Metropolitan Area Barcelona (Spain).
- 3. **Daniela Glocker**, Urban Policy Unit, Organisation for Economic Co-operation and Development (OECD)
- 4. Eric Huybrechts, Urban Planner and Visiting Professor, Institut d'Aménagement et d'Urbanisme d'Île-de-France (France)
- 5. **Huáscar Eguino**, Lead Specialist in Urban Development and Municipal Management, Lead Specialist Municipal Management and Urban Development (IDB)
- 6. **Kayom Wilson**, Former City manager, Uganda Support to Municipal Infrastructure Development (Uganda)
- 7. Louis Roger Manga, Chief Deputy, Cabinet of the mayor of Dakar (MAETUR) (Senegal)
- 8. Mario Silva, Director, Metropolitan Mobility Area, Guadalajara City Hall (Mexico)
- 9. **Michel Max Raynaud**, Director of RESAUD Network. Professor, Architect and Urban Planner. Université De Montréal (Canada)
- 10. Nicholas Awortwi, Professor, Partnership for African Asocial and Governance Research
- 11. Oliver Meza, Research & Consultant in Public Policy and Public Affairs, Centro de Investigación y Docencia Económicas (CIDE)
- 12. Pedro Ortiz, International Metropolitan Management and Planning Consultant (Mexico)
- 13. Rahmatouca Sow Dieye, Spatial Planner, Dakar (Senegal)
- 14. **Raul Muñoz**, Cooperation Program Coordinator in Nicaragua, Andalusian Agency of International Cooperation (Nicaragua)
- 15. Ricardo Gutiérrez, Director, Mexican Planning Institute of Guadalajara (Mexico)
- 16. **Salvador Herrera Montes**, Technic Secretary, Mexican Association of Municipal Planning Institutes (Mexico)
- 17. Teng Xi, Guangzhou Urban Planning and Design Survey Research Institute (China)
- 18. Teti Armiati Argo, Researcher, Institute of Technology Bandung (ITB)
- 19. **Verena Maier**, Sector Project "Sustainable Development of Metropolitan Regions", German Technical Cooperation Agency (GIZ).
- 20. Carlo Romero, the Vice president of CMIC (Mexican Chamber of the Construction Industry)
- 21. **Zheng Jing**, Director General, Guangzhou Urban Planning and Design Survey Research Institute (China)
- 22. Alfonso Iracheta, CEO, Centro EURE

UN-Habitat

- 23. Erik Vittrup Christensen, Representative, UN-Habitat (Mexico)
- 24. Marco Kamiya, Unit Leader, Urban Economy Branch (Nairobi)
- 25. Jackson Kago, Consultant, Urban Planning and Design Branch (Nairobi)
- 26. Efrén Osorio, Consultant and Project Coordinator, UN-Habitat (Mexico)
- 27. **Estefania Villalobos**, Special Assistant to the Regional Director, UN Habitat Regional Office Latin America and the Caribbean (Brazil)

7.3 ANNEX 3: EGM PROGRAMME

03 December 2015

8:00–8:30	Registration
8:30-9:30	Welcoming and introduction remarks Erik Vittrup, UN-Habitat Representative in Mexico. Marco Kamiya, Leader, Urban Economy and City Finance Unit, UN-Habitat. Raúl Muñoz, Nicaragua Programme Coordinator, Andalusia Agency of International Cooperation in Nicaragua. David Gómez-Álvarez, Representative from the Government of the State of Jalisco, Mexico. Carlos Romero Sánchez, Vice president of the Mexican Chamber of the Construction Industry Participants' introduction round
10:35-11:15	Session 1: Metropolitan Governance Erik Vittrup, UN-Habitat Representative in Mexico. Keynote presentation of the main findings of the Thematic Paper 1: Metropolitan Governance. Discussants: Michel Max Raynaud, Coordinator, Réseau d'Échanges Stratégiques pour une Afrique Urbaine Durable (RESAUD). Zheng Jing, Director General, Guangzhou Urban Planning and Design Survey Research Institute. Verena Maier, Sector Project "Sustainable Development of Metropolitan Regions", German Technical Cooperation Agency (GIZ). Daniela Glocker, Urban Policy Unit, Organisation for Economic Co-operation and Development (OECD). Nicholas Awortwi, Director of Research, Partnership for African Social and Governance Research (PASGR) Roundtable discussions Moderator: Pedro Ortiz, Senior Urban Planner, World Bank. Session Rapporteur: Jackson Kago, Consultant, Regional & Metropolitan Planning Unit, UN-Habitat.
11:15-11:30	Coffee Break

11:30-13:00

Session 2: Metropolitan Finance

Marco Kamiya, Leader, Urban Economy and City Finance Unit, UN-Habitat. Keynote presentation of the main findings of the Thematic Paper 2: Sustainable Finance for Development.

Discussants:

Huáscar Eguino, Lead Specialist in Urban Development and Municipal Management, Inter-American Development Bank (IADB).

Teti Armiati Argo, Researcher, Institute of Technology Bandung (ITB).

Camilio Osorio, PhD Student, University of Catalonia.

Eric Huybrechts, Senior Architect & Regional/Urban Planner, International affairs for the Regional & Urban planning Agency of Paris

Roundtable discussions

Moderator:

Michel Max Raynaud, Coordinator, Réseau d'Échanges Stratégiques pour une Afrique Urbaine Durable (RESAUD).

Session Rapporteur: Efrén Osorio, Consultant, UN-Habitat Office in Mexico.

13:00-15:00

Lunch Break

15:00-16:15

Session 3: Metropolitan Planning

Jackson Kago, Consultant, Regional & Metropolitan Planning Unit, UN-Habitat. Keynote presentation of the main findings of the Thematic Paper 3: Metropolitan Planning.

Discussants:

Kayom Wilson, Physical Planning Specialist, Ministry of Lands Housing and Urban Development, Uganda.

Pedro Ortiz, Senior Urban Planner at the World Bank, Washington DC.

Teng Xi, Guangzhou Urban Planning and Design Survey Research Institute.

Rahmatouca Sow Dieve, Spatial Planner, City of Dakar.

Carlota Rosés Montesinos, Barcelona Metropolitan Area

Roundtable discussions

Moderator:

Verena Maier, Sector Project "Sustainable Development of Metropolitan Regions", GI7

Session Rapporteur: Joaquin Pardo, Consultant, UN-Habitat Office in Spain

16:00-16:30

Coffee Break

16:15-17:30

Contribution from the Rapporteurs and General Discussions

Jackson Kago, Regional & Metropolitan Planning Unit, UN-habitat, Rapporteur Session

Efrén Osorio, UN-Habitat Office in Mexico, Rapporteur Session 2.

Joaquin Pardo, Consultant, UN-habitat Office in Spain. Rapporteur Session 3.

Roundtable discussions

Moderator:

Kayom Wilson, Physical Planning Specialist, Ministry of Lands Housing and Urban Development, Uganda.

04 December 2015

8:30-10:00

Session 4: Synthesizing key Issues Arising

Based on findings, priorities and potential areas for improvement, rapporteurs and experts outline recommendations for UN-Habitat's future work and the potential contribution of the work to the implementation of the New Urban Agenda.

Identifying remaining gaps - identification of areas for improvement in the three main thematic areas of Metropolitan Governance, Finance and Planning.

Group Discussions

Moderator:

Erik Vittrup, UN-Habitat Representative in Mexico.

Session Rapporteur: Jackson Kago, Consultant, Regional & Metropolitan Planning Unit, UN-Habitat.

10:00-10:30

Coffee Break

11:30-13:00

Session 5: Wrap-Up Session and Way Forward

Wrap-up of the discussions on the three sessions - summary of group discussions.

Recommendations and ways forward for Metropolitan development and management Based on findings, priorities and potential areas for improvement, rapporteurs and experts outline recommendations to support the New Urban Agenda and for UN-Habitat's future work.

Guadalajara, Mexico Communiqué on Metropolitan Development

Moderator:

Marco Kamiya, Leader, Urban Economy and City Finance Unit, UN-Habitat.

Session Rapporteur: Joaquin Pardo, Consultant, UN-habitat Office in Spain.

13:00-14:30

Lunch Break

14:30-16:00 | Closing Session

16:00-16:30

Erik Vittrup, UN-Habitat Representative in Mexico



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http://www.imacitychanger.org/imacc/ http://unhabitat.org/habitat-iii/







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