

# Governance and Metropolitan Areas

Mohamed A. ElShafie<sup>1</sup>, Ahmed A. A. Shetawy<sup>2</sup>, Mohab A. ElRefaie<sup>3</sup>, Ahmed S. AlAttar<sup>4</sup>

<sup>1, 2, 3, 4</sup>Ain Shams University, Faculty of Engineering, Urban Design & Planning Department, 11517 Cairo, Egypt

**Abstract:** Cities around the globe always play vital roles in both local and global levels. Starting at the local level, cities provide their residents with a set of services and products that they need while maintaining an acceptable quality of life and developing local economies. While on the global scale, cities are considered sources of economic growth and the nations' driving forces towards development in cultural, social, political and economic life. These roles face restraints as cities expand neglecting their administrative boundaries while experiencing a shortage in either financial or jurisdictional capacity to fulfill their responsibilities. Such expansion and shortage need coordination among local governments through introducing different models of governance targeting successful coordination among local governments. These models of coordination range from voluntary actions among local governments, to the establishment of larger entities at Metropolitan scale. Thus, this paper firstly identifies the evolution of the term Metropolitan and its relation to the City. Besides, the relations between city, metropolitan areas, governance, and performance are described. Thirdly, different models of metropolitan governance will be explored. This paper presents a comparison between different models of metropolitan governance showing that there nothing as best model. It is concluded that enhancement of metropolitan areas governance is directly linked to five main pillars. These main pillars of governance depend more on providing appropriate fiscal powers to achieve effectiveness rather than the selection of the right model of governance (model of coordination).

**Keywords:** Metropolitan areas Governance, Models of Governance, Performance and Governance Main Pillars

## 1. Introduction

According to the UN habitat [1], the phenomenon of Urbanization takes place when urban areas extends and grows towards outside their borders. In other words, when cities border physically gradually disappears and nothing becomes separating them from their surroundings (i.e. Rural land) [1]. Consequently, these growing urban areas faces challenges as shortage in their financial and/or jurisdictional capacity. Such state of complexity lately is named "Metropolitanization". Clark and Moonen [2] referred to such term as the way urban areas deal with population and economic growth under the pressure of urbanization phenomena while aiming for more effective and efficient management of their growing urban areas.

During the 11th Metropolis World Congress [3], the growing urban areas transformation to a larger complex urban agglomerations/urban region is considered as the predominant form of human settlement named metropolitan areas (MAs). Such complexity raised the necessity of joint solutions for regional issues and problems that increased due to Urbanization and Metropolitanization on urban areas. In the early beginning was in the United States in early 1950. According to Wikstrom [4], the first attempt took place when Local leaders call for regional conferences which were later called Councils of Government (COGs). Such councils are a voluntarily actions where certain regional policies, bodies of regulations, and guidelines and rules at metropolitan scale are established.

## 2. Phases and Evolution of Metropolitan Governmental Arrangement

There were three main phases since the evolution of metropolitan governance concept in 1950 in the United States. (See Fig 1.1). Regionalism was the first attempts ever to discuss or try to formulate any institutional arrangements

to govern at metropolitan scale. Public Choice reaction took place during the mid-20th century which encourages the local control. Finally, New Regionalism, in 1980s, which appeared mostly in Global North. These three phases influenced the formulation of metropolitan governance models [5].

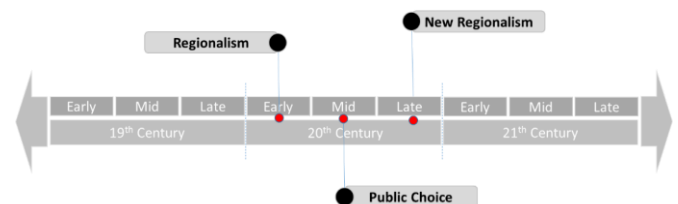


Figure 1: Phases of Governmental Arrangements for MAs

## 3. Evolution of Governance

From administration point of view, governance is the fourth phase of public administration where all the actors share same targets for public participation promotion. This phase is where civil society, private sector and the state indicate clearly their interests, mediate differences and share powers, legal rights and obligations to promote people-centered development through sets of rules, institutions and practices that set limits and provide motivations for individuals, organizations and firms [6], [7], [8], [9].

Furthermore, Neo and Siong stresses that governance is always in a dynamic state of change and customization as leaders and decision makers are seeking to overcome the day-by-day problems facing their Metropolitan areas [10].

The question is: when is governance called bad or good? According to Weiss [24] governance is said to be good if it can achieve: equity, justice and protection of individual life and property, preservation of rule of law, enhancing popular participation, and improvement of the living condition of the

governed. While, bad governance is when it fails to achieve such aims.

#### 4. Governance and Performance

There is a question which remains unanswered: Why leaders seek the perfect model of governance and how is governance related to performance?

Performance is one of the main principles of good governance where poor MAs governance, sometimes called bad governance, is consequently mean poor MAs performance [11], [12], [13]. Based on GIZ model “capacity WORKs”, it was found that the five success factors of this model can work as 5 main pillars of metropolitan governance. Throughout these five pillars sets of indicators might lead MA leaders to highlight where the reformation/development process should take place and/or identify the problem within a functioning MG. These five main pillars are: Strategy, Capacities, Cooperation, Processes and Steering Structure.

#### 5. Models of Metropolitan Governance

Quang yen and Yezhuang stress that steering structure, also named organizational structure, is a framework used to outline any organization usually encompasses policies, rules and responsibilities for everyone in this organization. MG is more than a jurisdictional structure [14].

According to Gaetano and Strom, metropolitan governance is more about what are a metropolitan area governing institution relation? (i.e. how do governments, business and civil society interact to make decisions?); what is the governing logic? (essentially the principles under which decisions are made); who, in practice, are the key decision makers? (is power diffused or concentrated; and if concentrated, what are the political objectives that drive the system of governance? And how is it financed? [15].

Moreover, there are different dimensions to analyze any model of metropolitan governance [16] as: a) Institutional framework of the MG; b) spread of function delegated whether constitutional, legislative from higher levels of government, contingent on circumstances or advisory only; c) type of democracy; d) legislative and executive structure of the metropolitan authority; e) Fiscal and financial powers; f) presence of political parties and consonance with local, provincial or national politics; g) extent and character of sub-metropolitan structures for decision-making or electoral representation; h) level of citizen engagement in decision-making.

Consequently, there are several attempts to identify typologies of MG models [2], [17], [18], [19]. Some of the most common and recent examples for these typologies are: a) Mats Andersson attempt through collaboration study with GIZ and UN-Habitat in 2015, b) OECD report in 2015, c) Robert D. Yaro and L. Nicolas Ronderos work in 2011, d) Aprodicio A. Laquian work concerning MG reform in Asia (2005), and e) Christian Lefevre typology in 1998.

##### a) OECD Typology

The Organization for Economic Co-operation and Development report “Governing the city” (2015) focuses on describing various arrangement for Metropolitan Governance. Such study is based on two main approaches, one is quantitative based on a survey and analyses for 263 OECD metropolitan areas while the other is qualitative based on a field case studies of selected 6 OECD metropolitan areas (Aix-Marseille, France; Athens-Attica, Greece; Chicago, United States; Daejeon, Korea; Frankfurt, Germany; and Puebla-Tlaxcala, Mexico) [20].

The previously stated report also introduced four broad typologies of metropolitan governance models: a) Informal/soft co-ordination, b) Inter-municipal authorities, c) Supra-municipal authorities, and d) Special status of “metropolitan cities”. Although, it is considered as a basic and broad typology rather than a specific and rigid typology since two or more of these typologies could coexist within the same metropolitan area [20].

##### b) Yaro and Ronderos Typology

According to the World bank (2011), Robert Yaro and Nicolas Ronderos carried out a study developed to provide a typology of international metropolitan governance. Throughout such study some examples for international best practices were analysed. One of the study outcomes was a typology developed based on the three phases and the history of metropolitan governance (i.e. regionalism, public choice and new regionalism) [5].

The need for metropolitan governance led to different solutions giving a spectrum of alternatives for MG models, based on the phases previously discussed, as following: a) Metropolitan government: Unitary institution with complete regional authority; b) Metropolitan council: Umbrella organization of local units that promotes shared objectives; c) Territorial polycentrism: Political fragmentation and local self-government; d) Single purpose district: Seeks service consolidation through inter-jurisdictional coverage; and e) Inter-local cooperation: Regional pragmatism and multi-actor inclusion [5].

##### c) Laquian Typology

Throughout Laquian typology in 2005, based on the study of a set of Asian metropolitan areas, he witnessed that most of the structural reforms of metropolitan governments have taken either one of two forms: a) unified metropolitan governance or b) tiered metropolitan structures. According to Laquian, based on these two forms of structures, metropolitan governance models can be divided into four typologies: a) One-tier autonomous local governance, b) Multi-tier confederated regional governance, c) Mixed or voluntary system of metropolitan governance, and d) Special or single-purpose districts [21].

##### d) Lefevre Typology

LeFevre in 1998 attempts to classify different models of metropolitan governance ended up dividing these models into two major types: Institutional governance and non-institutional one. The institutional governance encompasses three main types: a) one-level governments, b) two-levels

government, and c) Assembly of Municipal authorities (CAM). Whereas, the non-institutional governance is divided into: a) coordination of existing structures, and b) Formal agreement [22].

**e) Andersson Typology**

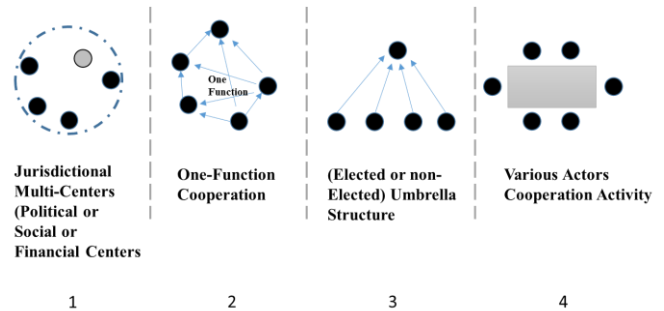
According to Andersson, there are four main types of MG models: a) Fragmented Governance which refers to some inter-municipal coordination (horizontal cooperation among local governments), b) Metropolitan / Regional Authority (i.e. metropolitan council, regional planning authority, regional service delivery authority, or regional planning & service delivery authority), c) Metropolitan or regional government (i.e. Metropolitan-level local government or regional government established by the national government), and d) Consolidated Local Government (i.e. Territorial annexation or amalgamation of local governments) [17].

**6. Models of Metropolitan Governance: Review and Assessment**

Based on the above exploration of different attempts to classify different models of metropolitan governance, it is concluded that there are four common types that represent the common institutional type-governance models of MAs as

shown in figure 1-2. Nevertheless, there are some cases of metropolitan governance that are considered as an exception. It has to be stressed that no model of the above could be considered as the perfect model of MA governance where contexts (e.g. culture, economic, social, urban, etc.) varies considerably. Additionally, each model of the above has considerable advantages as well as disadvantages as shown in table 1-1 [5], [17], [23].

**Models for Metropolitan Governance**



**Figure 2:** The models of institutional type-governance at metropolitan level [5], [17], [20], [21], [22].

**Table 1:** Comparison between different models of metropolitan governance

Forms	Formulation/Approach	Characteristics	Pros (Advantages)	Cons (disadvantages)	Example
a) Umbrella Structure (Elected or Non-Elected)					
1- Unitary Government (sometimes called Single-tier Authority Framework)	A government established by a higher-level or national government for a metro area. The area and population vary but tend to be a small area and a small population compared to the other models with only one government.	-It is where a single locality is of charge of the whole or part of metropolitan area. Funding would usually be part of the higher tier government budget.	- Centralization of some functions while preserving local identities - Funding usually carried out by national government.	- Risk of limited engagement by the local governments in the area. - Access by residents may be affected - Accountability may be weakened or unclear	Manila, Philippines
2- Metropolitan Councils	A hybrid metro level and local government structure. Such councils are either directly elected or appointed by higher-level government. It is usually found in metropolitan areas with medium number of governments, large land areas and high populations relative to other types of MG models	- The metropolitan council is usually responsible for planning, monitoring, coordination tasks and sometimes some infrastructure services can be provided at the metropolitan level.	- A permanent government structure (elected or appointed) for certain metropolitan functions. - Funding usually carried out by national government.	- Effectiveness tends to depend on: a) the degree of its authority over the other local governments; b) funding; c) planning functions or some service delivery functions as well.	Dar es salaam, Tanzania
3- Special status of "metropolitan cities" or sometimes called "Territorial annexation" or "Consolidated local government"	It exists when a city witnesses an exceed in population than their legally defined threshold.	- In this case a city can be upgraded into a special status as "metropolitan cities" that accompanies a change of its level of government towards a consolidated government with jurisdiction covering a large portion (or all) of the metropolitan city/area.	- Facilitates coordination, - Redistribution / equalization of costs.	- Resident access to the local government may be affected - Local responsiveness and accountability weakened. - Reduce competition and public choice.	Barcelona Metropolitan, Spain
b) Jurisdictional Multi-Centers					

<p>Either (Political or Social or Financial Centers)</p>	<p>The existence of a fragmented authorities (localities) in a medium range areas and population within large number of governments compared to other models</p>	<p>- This model is usually sector based but local or state in implementation i.e. local functions and administration rely upon a fragmented organization and implementation structure for policies and plans and localized decision-making and engagement.</p>	<p>- Low Vertical or Horizontal relations (with a structure concerning about management factor) - Self-financing - Increase in participation of society in decision making cycle together with multi-actor involvement comparing with Umbrella Structure model</p>	<p>- Tendency towards more localized decision-making and engagement - Coordination and technical efficiency are least important in this model as localities carry the planning and service delivery competencies and autonomous acting as the municipal level of government.</p>	<p>Mexico City, Mexico</p>
<p>c) One/Multi-Function Cooperation</p>					
<p>Sometimes named "Special" or "Single" Purpose. It takes many forms as Council of Governments and/or Planning Authority and/or Service Delivery Authority.</p>	<p>Independent legal entity and sometimes is a voluntary association created by local governments to make better use of their public resources. This model exists in a small area and small population metropolitan with large number of governments, compared to other models.</p>	<p>- This model overcomes the challenges for the provision of services due to large number of local governments within metropolitan area. - It relies on horizontal intergovernmental relations where all localities participate equally where decisions are made at high level and implementation and engagement tends to be locally. - It is usually financed by intra-local transfers or user fees or other charges where national government is responsible of the both monitoring and supervision.</p>	<p>- Flexible, if allowing members to join/exit at any time or participate on some subjects only. - Useful to achieve efficiencies for certain service(s). - A helpful form of governance that addresses common/ regional interests while maintaining local authority and identity. - Local governments engaged as active owners - It helps in analyzing spillovers, and inequalities.</p>	<p>- Effectiveness tends to depend on the level of member commitment. - Sometimes it suffers from limited impact (i.e. advisory only) - Effectiveness depends on financial authority especially service delivery</p>	<p>Regional Plan Association for New York metro area</p>
<p>d) Various Actors Cooperation Activity.</p>					
<p>Also known as "Fragmented Government" and/or "Horizontal Coordination" and/or "Mixed or Voluntary System" and/or "Inter-local Cooperation"</p>	<p>Such model can take many forms as: joint initiatives, contracting among local governments, and consultation and partnership. Such model usually found in metropolitan areas with large areas and low population within many governments compared to other models</p>	<p>- It is a model where several municipalities (localities) join together to provide a public service. - This model offers incentives for coordination among the constituting local jurisdictions that require pragmatic and civic led governance. - Joining efforts might be led by one of the following, according to the forms of this model respectively: When joint action leads to a stronger position in bulk purchasing, contracting, firefighting, road maintenance, tourism promotion or to attract firms, events, or tourists; for the delivery of a service; for consultation and advisory. - It mostly related to benefits, the more the benefits, the more incentive the local governments to join forces.</p>	<p>- It is considered as the most Flexible approach. - It can be an initial phase to build trust for further cooperation - It is useful when one local government cannot carry out a whole project in terms of Finance or capacity or on the contrary one government can specialize in a service, for the benefit of others in the area. - It can work without the need for formal agreement from higher or national level government (if formal arrangements are constrained by politics or prohibited legally).</p>	<p>- It is in most cases suffers from limitation in scope. - Access by residents to a service provider may be affected. - Accountability may be weakened or unclear. - Sometimes it requires monitoring for service quality and coverage provided. - Sometimes such model witnesses lack of commitment and inventiveness from the member local governments.</p>	<p>Sydney, New South Wales (NSW), Australia</p>

**7. Results and Discussion**

It is argued that the transformation from one model of governance to other results in an increase in local level functionalism and administration involvement with respect to the spatial coverage context. In addition, the horizontal level coordination among local governments in public policies or problem-solving also increases. Furthermore, there is always a noticeable increase in participation of society in the

decision-making cycle together with multi-actor involvement resulting in the enhancement of democratic engagement.

Finally, the national or the central government main role among all models is to monitor or supervise the participation or collaboration of the localities. On one hand, all four models are self-financed except for the inter-local cooperation model which depends on localities or other actors. On the other hand, service delivery and development

planning are at the core responsibilities of all the four models to execute.

## References

- [1] UN Habitat, 2004. Urban Governance Index: Methodology Guidelines. In: Urban Governance Index: Conceptual Foundation and Field Test Report. Nairobi: s.n.
- [2] Clark, G. & Moonen, T., 2016b. The role of metropolitan areas in the global agenda of Local and Regional Governments for the 21st Century, s.l.: 4th Global Report on Local Democracy and Decentralization (GOLD VI).
- [3] Metropolis World Congress, October 2014. Cities for All. Hyderabad, India, Metropolis.
- [4] Wikstrom, N., March 1978. Councils of Governments, A Study Of Political Incrementalism. Southern Review of Public Administration SRPA, 1(4), pp. 577-580.
- [5] Yaro, R. D. & Ronderos, L. N., 2011. International metropolitan governance: Typology, case studies and recommendations. Columbia: The World Bank Group and Regional Plan Association.
- [6] Tiina Randma-Liiv, Wolfgang Drechsler, (2017) "Three decades, four phases: Public administration development in Central and Eastern Europe, 1989-2017", International Journal of Public Sector Management, Vol. 30 Issue: 6-7, pp.595-605
- [7] Cheema, G. S., 2005. From public administration to governance: The paradigm shift in the link between government and citizens. 24-27 May.
- [8] UNDP, 1999. Decentralization: A Sampling of Definitions. UNDP-Government of Germany evaluation of the UNDP role in decentralization and local governance.
- [9] UNDP, 1997. Governance for sustainable human development, New York: United Nations Development Programme.
- [10] Neo, Boon Siong and Chen, Geraldine, Dynamic Governance: Embedding Culture, Capabilities and Change in Singapore (July 3, 2007).
- [11] Ma. Nina I. Adriano & Estimada, D. P., November 2014. The Effectiveness of the Local Governance Performance Management. Asia Pacific Journal of Education, Arts and Sciences, 1(5), pp. 29-38
- [12] OECD, 2001a. Cities for Citizens: Improving Metropolitan Governance, Paris: OECD.
- [13] OECD, 2001b. Linking Leadership to Performance in Public Organizations, Paris: OECD - Public Management Committee HRM.
- [14] Quangyen Tran, Yezhuang Tian, "Organizational Structure: Influencing Factors and Impact on a Firm," American Journal of Industrial and Business Management, Vol. 3 No. 2, 2013, pp. 229-236.
- [15] A. Di Gaetano and E. Strom, "Comparative Urban Governance. An Integrated Approach," Urban Affairs Review, Vol. 38, No. 3, 2003, pp. 356-395.
- [16] Wilmoth, D., 2016. International trends in metropolitan governance. Conference on political reordering of space and optimal governance of Tehran City, Excellent Center of political Geography, 7-8 March.
- [17] Andersson, M., 2015. Unpacking Metropolitan Governance for Sustainable Development. Bonn and Eschborn, Germany: Deutsche Gesellschaft für Internationale Zusammenarbeit (GIZ) GmbH in collaboration with United Nations Human Settlements Programme (UN-Habitat).
- [18] Newman, P. & Thornley, A., 2013. Case study window. Global Cities: Governance Cultures and Urban Policy in New York, Paris, Tokyo and Beijing. In: G. Young & D. Stevenson, eds. The Ashgate Research Companion to Planning and Culture. London and New York: Routledge, pp. 69-84.
- [19] Moir, E., Moonen, T. & Clark, G., 2014. What are Future Cities? Origins, Meanings and Uses, s.l.: Foresight Future of Cities Project and Future Cities Catapult,
- [20] OECD, 2015, Governing the city, Paris, OECD
- [21] Laquian, A. A., 2005. Metropolitan governance reform in Asia. Public administration and development, 25(4), pp. 307-315.
- [22] Lefèvre, C., 1998. Metropolitan government and governance in western countries: a critical review. International journal of urban and regional research, 22(1), pp. 9-25.
- [23] Wilson, R. H., 2012. Metropolitan Governance Systems in the Global South: Forms and Effectiveness. Beijing, China, s.n.
- [24] Weiss, Thomas G. "Governance, Good Governance and Global Governance: Conceptual and Actual Challenges." Third World Quarterly, vol. 21, no. 5, 2000, pp. 795-814.

## Author Profile



**Mohamed A. ElShafie** received the B.S. and M.S. degrees in Architecture Engineering – Urban Design and Planning from Faculty of Engineering, Ain Shams University in 2006 and 2011, respectively. During 2006-2018, he worked as a Teaching Assistant in Faculty of Engineering, Ain Shams University. He also worked as an urban planner and urban designer at Engineering Consultancy Unit - Ain Shams University and a part-time at different Consultancy offices.