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IHS THESIS SERIES

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In this issue, we present a selection of the theses of the UMD Master's programme: 2012-2013, UMD 9.

A CD-ROM is enclosed at the back of this publication that contains the full, unedited versions of the selected theses.

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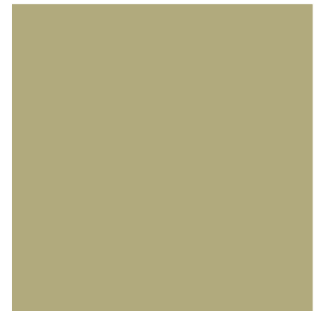
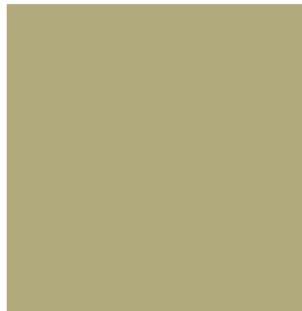


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SUMMARY 1

Multi-unit housing in Tirana, Albania

The challenge of management

Author Endri Mëneri

Country Albania

Supervisor Ellen Geurts, MSc (IHS)

The challenge of this research is to provide a clear view of a growing problem that is a major threat to the longevity and quality of the Albanian housing stock. This study is focused on the management of multi-unit buildings in Tirana, Albania. More specifically, this study focuses on the way that the various financial, technical, social, legal and institutional factors affect the current management practice of the multi-unit housing stock, as applied to its equally divided composition of privatized and newer buildings. The research aimed at both compiling an extensive overview of the issues as well as providing a comparative outlook on the two building types. A single embedded case study was conducted to assess the impacts of the factors on a purposive sample of multi-unit residential buildings in the city of Tirana.

Similar to other post-communist countries, a significant number of Albanian multifamily houses are older, low-quality and dilapidated buildings that are markedly unmaintained. The rapid privatization process after the regime change placed the management responsibilities in the hands of newly private owners. Since then, a series of legal and policy documents have been compiled and approved to inform the way in which owners could manage their joint-ownership spaces, with the latest being passed in 2009.

Despite the widely available legislation, the law has remained 'on paper' and has barely been used by the public during these four years.

Following the introduction of the free market after the collapse of the totalitarian state, the city of Tirana witnessed a large increase in construction activity. Owing to massive internal migration, the newly built multi-unit housing stock rapidly increased to the point of surpassing the older stock in 2011. However, this newer stock also suffers from the same lack in endorsement of management law. Newly constructed buildings do not plan for the future management of the building, leaving the uninformed buyers poorly equipped to establish a formal management system for their buildings. Additionally, population

movements have altered the social composition of the existing buildings, introducing more renters and empty apartments that further complicate the building management issues.

The research reveals that the factors influencing building management differ significantly when comparing privatized buildings and newer buildings. The differences extend beyond just physical characteristics and also include factors such as their maintenance requirements, their social make up and dynamic, as well as financial considerations. Yet, the legal framework provides a 'one size fits all' solution to the management issue in the country. Municipal institutions seeking to implement the law do not anticipate these differences. The public was not very aware of the law and the obligations regarding joint-ownership areas, whereas impractical procedures of registration were a barrier to the endorsement of legal management bodies.

Strikingly, it was observed that financial considerations did not have a predominant effect on the choice of management and that management quality does not directly affect the property's value. Awareness of the necessity of management was considered the main contributor towards better building management as well as the desire for transparency, accountability and cost equality. Yet, the study found that the majority of administrators are currently acting informally and that they possess no training with regard to their duties.

Relevant policymakers should make these issues their primary focus. Awareness campaigns, viable means of training and information, as well as facilitating or subsidizing the registration process are ways that may positively impact the management practices in the city of Tirana. Furthermore, different tactics must be employed to tackle the vastly different contexts of privatized and newer buildings, to ensure that formal, quality management can be endorsed by all.

SUMMARY 2

Urban competitiveness of Chinese cities in FDI and domestic investment networks

Author Shuai Shi**Country China****Supervisor Dr. Ronald Wall, PhD (IHS)**

Over the last three decades, the rate of urbanization in China has soared from 17.92 percent in 1978 to 52.57 percent in 2012. There is no doubt that the city is the engine that drives economic development. Investment largely impacts the economy and contributes to the prosperity and dynamics of the city. Investment is also the main factor that promotes technology. Among investment types, Foreign Direct Investment (FDI) and Domestic Investment (DI) are two key players that promote the economy on a large scale. Consequently, Chinese cities compete with each other to strive for FDI and DI and need to know how to create competitive advantages.

The research focused on city competitiveness to attract FDI and DI. First, on the basis of network analysis, the research defines the positions of every city within the network. The network analysis includes general analysis, sector analysis, centrality analysis and core-periphery analysis in the FDI network and the DI network respectively. In this part, UCINET software is introduced. Second, the research focuses on finding the main competitors for major cities. Third, the research concentrates on the location factors analysis by using SPSS. The location factor analysis comprises a general analysis, category analysis, coastal cities analysis and inland cities analysis for FDI and DI respectively. Finally, the research explores the relationship between FDI and DI. The following methods were utilized during the analysis: Trend Analysis, Network Analysis, Manhattan Distance Analysis, GIS Analysis and Multiple Regression Analysis.

The research identified seven clear findings: 1) International investors are retreating from the Chinese market and DI is upgrading from heavy industry and manufacturing to technology and service sectors; 2) Based on network analysis, the research establishes the performance of each city in the network and assigns a rank; 3) Based on core-periphery analysis, the research establishes the position of cities in the core-block and the periphery block; 4) The number of Employed Persons in Urban Private Enterprises, Self-employed

Individuals and Average Wage of Staff and Workers are the most important indicators to attract FDI and DI, respectively; 5) The location factor analysis is governed by categories, whereby Humanities Factors and Expenditure for Science Administration are the most important for attracting both FDI and DI. Park, Garden and Green Area and Number of Public Transportation Vehicles contribute most to attract FDI and DI respectively in Environment Factors; 6) The number of Employed Persons in Urban Private Enterprises and Self-Employed Individuals and Average Wage of Staff and Workers tended to attract most FDI and DI respectively for Economy Factors; 7) The research confirms that FDI and DI positively influence each other.

The research makes the following recommendations. If China intends to remain competitive and attract FDI, it has to expand its value chain. Cities in the periphery block should consolidate their linkages with core actors; on the other hand, they should cooperate with each other so as to become more independent. To contribute to the improvement of significant factors, cities should develop policies to encourage entrepreneurship and open some economic sectors for private capital in order to improve market openness. In order to attract talent, local governments should reform the Household Registration System (HRS) and offer Comprehensive Social Services to outsiders, while simultaneously developing local education that offers reliable and qualified human resources. Furthermore, Academic Liberty is essential and it is important that the central administration authority is decentralized and is distributed among academic institutions. Concerning Humanities Factors, local governments should increase financial support to scientific institutions and offer preferential policies to attract high-tech industries. For Environment Factors, governments should take account of green areas in urban planning. For Economy Factors, market openness and employee welfare are the most important factors to attract FDI and DI respectively. Lastly, since DI is more attractive to absorb FDI, cities can place particular emphasis on DI so that they can more efficiently attract both FDI and DI.

SUMMARY 3

Land value capture through market-oriented public land leasing

The case of metro system finance in Changsha City, China

Author Sisi Nie
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Supervisor Dr. Paul Rabé, PhD

This research mainly focuses on the study of the land value capture instrument, namely public land leasing. The research is based on the current situation in China, where a market-oriented land leasing mechanism called the bidding, auction and listing leasing system was introduced. In recent decades, local governments have generated revenue from land to finance infrastructure implementation. With respect to bidding, auction and listing approaches, compared with the past land disposal methods, it generated considerable land revenue. The purpose of this research was to understand the land market and the different land transfer method in Changsha City. Moreover, the aim was to reflect upon the profitability and value of bidding, auction and listing leasing approaches. The research took place against the background of the construction of a the metro system in the city, which influenced land values and revenues. This descriptive research intends to understand the land value capture concept in context of Changsha City and to find out how market-oriented public land leasing is working in this city through analysing and summarizing the merits and demerits.

The data collection and analysis led to three major findings. Firstly, bidding, auction and listing leasing approaches abide by market rules and generate more revenue than other means, it also reflects the real relationship between land supply and demand. Secondly, land value could be affected by the construction of the new metro system, which precisely corresponds to the notion of land value capture that envisages government sharing the incremental land value for public goods, which is a feasible option in this context, as the metro stimulated land appreciation. Thirdly, the land revenue generated is adequate for the short-term current metro construction, however, for long-term metro projects, land revenue may not be sufficient to finance further expansion. In short, although the bidding, auction and listing mechanism has certain imperfections for various reasons, it performs adequately as a land value capture instrument to generate sufficient revenue to finance the initial stages (two metro lines) of the metro system in Changsha City.

SUMMARY 4

Urban competitiveness between regions of the Global South

Reshaping the global urban economic network

Author Olga Lucía Gómez Charry

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Supervisor Ronald Wall, PhD (IHS)

This study aims to provide an overview of the situation of the global urban economic network in the Global South as a result of the current financial crisis. The crisis is hitting the global urban economic network at its core, while the periphery of the network is enjoying an economic boom, which is causing changes in the global economy. Key concepts to help provide an understanding of these changes are: city networks, urban competitiveness and multinationals.

The study provides an introductory overview of the theories that have contributed to the concept of the global urban economic network, describing the way that it is 'structured', its main features and the way that internal economic flows are affected by the ongoing global financial crisis. The emphasis of the study is on the southernmost component of this network, the Global South, which has been largely dependent on exporting goods and services to the northern hemisphere, but is set to 'revolutionize the global economy'. The generation of a South-South network that will be at the core of this revolution is thoroughly discussed.

The main research question was: What is the state of the global urban economic network in the Global South? From which two specific research questions were derived: 1) What have the trends and patterns of FDI in the Global South been during the last decade? and 2) Which location factors have been crucial for attracting this FDI? In order to answer these questions, the study combines descriptive and explanatory approaches to provide an understanding of the contemporary structure of the Global South within the world system, and the causes of the transformation of the global urban economic network. In the first part of the study a dataset based on Foreign Direct Investment (FDI) is analysed to find flow trends and patterns, especially in the Global South, that could reveal the development of a network within the so-called 'periphery', which corresponds to a large extent with the Global South. The second part uses location factors to test the results from the first part in order to understand the following: the processes behind the changes going on in the

world economy, the factors impacting the decisions of multinational enterprises to invest in a given place and the consequences of such investments on specific countries and regions.

The analyses shows that during the ten-year period covered by the study the investments originating in the South were double the investments originating in the North, and continue to grow even after the 2008 crisis, although they still represent a very small amount (8 percent) of the total volume of investments worldwide. The outcome of this is that the Global South's share in the global economic urban network is beginning to grow in strength and relevance, and as result the South-South and South-North links of the network are rapidly being strengthened.

When observing the structure and geographical distribution of FDI flows, the research revealed that the network has a strong hierarchical structure with its central elements located in India and the UAE. In addition, two established heterarchical patterns were identified. The first is in a region constituted by Asia Pacific and part of the Middle East and the second is in Latin America. Still at the periphery of the global economic urban network are vast parts of Africa, which have only a few asymmetrical economic relations with a limited number of core countries.

This study also demonstrates that location factors such as domestic market size, innovation, technological readiness and the macroeconomic environment are key to attracting investment flows to the Global South as well as being central to investments from the South in the North. This set of location factors indicates that what is required from the region nowadays is more sophisticated than the mere provision of raw materials or cheap labour. The study also indicates that a country's national state of affairs (local policies, economic and social conditions, politics, and so forth) matters for FDI attraction and for becoming part of the global urban economic network.

This study can be considered a guideline for understanding the development of the Global South as a whole, and as a part of the global system. This study also contributes to closing at least one of the gaps in world city research. Further research could lead to a deeper understanding of the structure of the global urban economic network in the Global South, and to more accurate and resource conscious urban planning, management and policymaking processes.

SUMMARY 5

The role of institutional factors on the implementation of the rights-based approach in the resettlement projects

Case study: Resettlement Process in El Plumon, Colombia caused by the massive transportation system project - Megabus

Author Sandra Paola Rincón Corrales

Country Colombia

Supervisor Maartje van Eerd, PhD (IHS)

The rapid augmentation of population and the increasing level of urbanization have precipitated an important challenge to public infrastructure. In this context, governments around the world have implemented different development projects in order to cope with the necessities of the population in the cities. Colombia has not been an exception. Among the services that have been affected by this situation have been the transportation systems in the different cities. In this context, due to the necessity to improve the urban transportation in different municipalities of the country, the national government started the implementation of the National Project on Urban Mobility. In order to prepare cities for the new transportation systems, the construction of different roads, central stations for the new buses and other different infrastructure projects took place. Although these processes were performed for the purpose of public interest, they generated involuntary displacement processes. This situation resulted in the necessity to start resettlement processes together with compensating the affected people for their socioeconomic losses.

Different approaches have been used for the analysis of resettlement processes around the world; one of them is the rights-based approach. Most of the time this approach, as Filmer-Wilson (2005: p. 224) argued, 'goes no further than rhetoric'. Due to the importance of this approach, however, this study is focused on investigating how it can be applied to real situations through institutional factors. With regard to this, the research aims to analyse how institutional factors can facilitate or constrain the application of the rights-based approach in resettlement projects. In order to achieve this main objective, this research has structured its investigation into three different questions: 1) How has the rights-based approach been included in norms and policies related to resettlement processes caused by development projects? 2) What roles do national and local organizations play in the application of the rights-based approach in resettlement processes caused by development projects?

3) To what extent do the processes applied by local governments in resettlement processes follow the rights-based approach?

In order to answer the questions of how the norms, the institutional arrangement and the processes facilitate or constrain the application of the rights-based approach, this research used an explanatory case study, specifically a holistic single case. The case study chosen was the resettlement process done by Megabus in El Plumon, a neighbourhood in Pereira, Colombia. In this case study, the research took into account the national and the local perspectives through semi-structured interviews with national officials and experts, local officials and experts and the community. Moreover, this study included a policy analysis to complement the findings.

The principal findings were organized in terms of the norms found in the rights-based approach. The institutional arrangement and processes and the relation of those factors are grouped according to five variables (universalism and inalienability, equality and non-discrimination, indivisibility and interdependence, participation and accountability). In terms of the norms, it is clear that although there were enough general norms, nevertheless they were fragmented, which represented a threat in terms of upholding human rights. In addition, the fact that the general laws did not include specific procedures also restricted the application of the rights-based approach.

In relation to the institutional arrangements, it is important to highlight that each organization should have sufficient human and financial resources in order to fulfil their obligations. Moreover, an important finding in this respect is that it is very important that all organizations that take part in the resettlement process understand that it is a human matter and not a property matter.

In terms of the processes, it is clear that in relation to this factor, the application of the rights-based approach depends largely on how the norms, the policies and the institutional arrangement work. Moreover, the stage of application of the variables included in the rights-based approach by the processes depends on three elements: 1) the mandatory level of the norms, policies and guidelines and how clear those aspects are; 2) the available resources in order to implement the different activities; and 3) the level of commitment and will of the officials in order to develop better processes.

In conclusion, by comparing the conceptual framework and summarized findings, this case study shows that the institutional factors play a crucial role in the application of the rights-based approach in resettlement processes. The institutional factors can facilitate the application of the rights-based approach if the country considers three factors: 1) norms and policies that are based on the local realities from guidelines about general rights, but also about specific processes; 2) understanding that the resettlement process needs a strong institutional capacity in order to implement the different processes required; and 3) processes that follow the established norms can assure the fulfilment of economic rights and, at the same time, of social and procedural rights (participation, accountability and information). The success of the rights-based approach implementation is a consequence of the integration of the norms, institutional arrangement and processes, and how well these act together.

SUMMARY 6

The sale of development rights as a land value capture tool in Ecuador

The case of the metropolitan district of Quito, Ecuador

Author María Cristina Gomezjurado Jaramillo

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Supervisor Carlos Morales-Schechinger, MPhil (IHS)

The following research was conducted on the implementation of the Sale of Development Rights as a land value capture instrument in Ecuador, more specifically in the Metropolitan District of Quito. In general terms, the Sale of Development Rights is the concession to a landowner, or developer, of building rights beyond what is established in the zoning plan, as a mechanism to capture the increase of the land value by the government.

This tool is relatively new in the country, and its implementation in Quito began in 2012, therefore, an assessment of the first years of operation of the instrument seems necessary in order to generate recommendations for a more efficient and effective execution towards achieving its objectives.

This research intends to establish how the instrument has been applied in Quito by analysing it through four dimensions: the economic dimension that refers to the land market environment and the factors that affect land values; the legal aspects that enable the instrument to be implemented; the financial outcomes of the instrument as a result of its design; and the social validity of the instrument in terms of the achievement of the objective of redistribution and infrastructure financing.

The methodology used in this exploratory research is the single-case study, where both qualitative and quantitative data was collected and analysed. In June and July of 2013, the field data was collected from primary and secondary sources in the form of field documents, databases provided by the municipality of Quito and from interviews with private and public sector actors. Qualitative semi-structured interviews were conducted as a triangulation strategy in order to ensure the validity of the research.

The results of this study showed that in the Ecuadorian legal context land value capture tools are supported by the principles of the social and environmental properties of property and equitable distribution of benefits and costs of the urbanization process, stated in the Constitution and in its supporting documents at the national and local level. In relation to

the land market, although there has been a clear increase in land values in Quito over the last decade, the research does not show conclusive results in relation to the impact of the possibility of purchasing additional density by the payment of a fee.

Regarding the financial aspects of the instrument's implementation, theoretically, the local government captures the entire increment in land value due to the increment in density. However, this depends on how well cadastral values reflect market values of land, given that cadastral values are the basis for the calculation of the fee for the additional density rights. In this respect, the research revealed discrepancies between market values and cadastral ones; where this occurs, this discrepancy allows the private party to retain a portion of the increment in the value of land. Finally, in relation to the accomplishment of its objectives, the instrument does not have a significant impact on the densification of served areas, given the fact that its design allows the purchase of development rights only up to two additional stories beyond what was previously established by zoning rules. Additionally, not enough cases have occurred to achieve real densification.

In terms of raising revenue, the instrument had collected around 6 million USD in one and a half years, which in comparison to the total budget does not have a significant impact. However, considering that the implementation of the instrument does not require additional investments to support the extra density, and considering that the instrument is related to expenditures in infrastructure for services, this amount seems more substantial.

SUMMARY 7

Understanding the transition in the water and sanitation Sector of Northern Ghana

The contribution of Civil Society Organizations (CSOs)

Author Eva Agana Mmah

Country Ghana

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Northern Ghana, consisting of the northern, upper east and upper west parts of the Brong-Ahafo and Volta regions of Ghana, has over the years suffered from underdevelopment. These regions enjoyed very limited economic advantages, unlike southern Ghana, which is rich in cocoa and minerals and other natural resources. The focus of the colonial and post-colonial governments was, therefore, concentrated on the south, neglecting the north, which invariably resulted in huge inequalities between the two sections of Ghana. Research shows that out of the 18 percent of Ghanaians who live in extreme poverty, 54 percent are from northern Ghana.

These conditions of widespread poverty and neglect led to the proliferation and concentration of activity by all manner of Civil Society Organizations (CSOs) including both local and International Non-Governmental Organizations (INGOs) in the north, upper west and upper east of northern Ghana. Various sectors include Water, Sanitation and Hygiene (WASH), which complement the efforts of the government in the provision of services and human development. However, after 20 years of NGO intervention in northern Ghana, evidence shows an increase in poverty and an underdeveloped physical, human and financial infrastructure. The residents of northern Ghana became apathetic and mistrustful and were unappreciative of the third sector of the economy.

Using the sector of Water, Sanitation and Hygiene and Tamale Metropolis as points of entry, the research objective was to explore the transition made in the 20-year-period of the CSOs' involvement and describe the role of NGOs and CSOs in the process at different historical time phases. The research questions were: What kind of strategies did the NGOs and CSOs employ in the water and sanitation transition in Tamale Metropolis? How do these strategies impact the transition processes? Which factors support and which factors hinder the strategies employed in the transition process? These questions were asked to uncover data about their contribution to the field.

The method was qualitative and as such relied heavily on in-depth interviews and observations of the activities of the NGOs and CSOs. The same instruments were used to validate the data from the communities where such NGOs and CSOs operated and experts from government agencies involved in WASH service provision. Secondary data was also collected from both the NGOs and CSOs and other governmental agencies.

The transition in the WASH sector related to the strategies employed including service delivery (physical infrastructure provision), capacity building, advocacy and the strategy of funding employed. These strategies impacted the physical infrastructure increase, institutional and behaviour change of actors in five historical time phases from 1994 to 2013. The findings revealed increasing evidence of behaviour change, particularly at the community level. These changes took the form of household latrine construction, practices of refuse disposal into designated refuse pits, the practice of burying faecal matter, the construction of soak-a-ways for waste water and the institution of communal clean-up days.

Institutional change was found to be directed at the policy level and, therefore, recognizable at the national level. Some identified changes were the termination of the 5 percent capital cost down payment by communities before water services were provided, the institution of the annual Mole Conference Series platform for sector-actor engagement, and the joint representation of government and civil society representative at international conferences. Although these have a bearing on the activities of regional, district and local levels, the findings revealed very little behaviour and institutional change at the district and regional levels even though these institutions, particularly the district assembly or local authority, serves as both the political and approval authority regarding development at the local levels.

It was finally concluded that the WASH sector transition arose from international actors such as the World Bank, CIDA and DANIDA and it took the path of a transformation whereby the international actors pushed hard for change in the sector. Again the extent and magnitude of contribution by NGOs and CSOs to the sector was determined by the type and number of strategies employed. However, the general influence of NGOs and CSOs strategies on the transition process was described as procedural and sensitizing where they participate in formal decision making and by raising public awareness to WASH related issues. This, coupled with other factors, explains the reason for the widening case of inequality and poverty despite the several years of CSO involvement in the metropolis and the region at large.

SUMMARY 8

Factors influencing stakeholder participation in the strategic planning process

A case of Ga West Municipality, Ghana

Author Jemima Lomotey

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Participation has become a very important tool for the facilitation of development efforts. Various development agencies, governments and non-governmental organizations have employed participation in their planning and implementation of development interventions.

This has been because of the perceived benefits of participation which includes but is not limited to the improvement of participants' capacities, skills and knowledge due to continued interactions and involvement in various development activities. Participation helps build strategic alliances and networks to support programme and projects implementation. Besides, participation helps improve decision making, development of better policies, plans and programmes that are practicable to local people. It is believed to promote ownership for sustainable development because decisions are made based on a broad consensus.

Mostly, it is assumed that stakeholders would participate automatically because they understand the benefit of development and the participatory process. But theory posits that other factors also influence participation, given especially the voluntary nature of participation. This study viewed participation as a means or a tool for organizing, promoting and mobilizing people as creative problem solvers. The focus was, therefore, on the participatory planning process for the formulation of District Medium Term Development Plans (MTDP) or Strategic Spatial Plans (SSP) in the Ga West Municipality of Ghana.

The main objective of the study was to understand and map out factors that influence the quality of participation in the strategic planning process. The research, therefore, delves into the factors that influence participation in the planning process and also investigates stakeholder mobilization strategies, actions to facilitate self-organized initiatives and how it influences participation.

The findings indicate that a lot of factors indeed influence stakeholder participation in the strategic planning process. The provision of adequate financial resources and its timely release was perceived as the most influential because respondents perceived funding as

having a rippling effect on other factors, including the number of stakeholders that are invited.

It was stated that 35 to 40 stakeholders are invited to zonal council planning meetings which in the view of respondents is not representative in a multi-stakeholder environment. The inadequate funding was tied to the delays in the payment of incentives, especially financial incentives like travelling and transport as well as sitting allowances. The study revealed that the local government pays different incentives depending on the location of a meeting and this very much influenced participation. The commitment of top management was also perceived as a very influential factor. The leadership is not very involved in the process and, therefore, the funding and implementation of agreed strategies and the involvement of representative stakeholders is lacking. The inability to implement projects was a major factor that is believed to discourage effective participation. This situation is further increasing the distrust citizens have in local government. The limited stakeholder involvement, inability to implement agreed strategies and its attendant distrust is becoming a vicious cycle, which if not monitored could jeopardize the already fragile participatory process.

The research also revealed that local government does not adequately mobilize stakeholders to participate. There is no comprehensive stakeholder list that is representative of all the stakeholder groups that need to be involved. Documents and information on the process are not made available to stakeholders. Sensitization is done during the planning meetings especially at the zonal council level planning activities. This was perceived as constraining participation as well as its quality. Cultural beliefs and values were, however, perceived as not at all influential because in the urban setting there were no dominant cultural practices and beliefs. The occupation or employment of stakeholders was perceived as slightly influential on participation.

It was also found that some communities are self-organizing and initiate projects that are called self-help projects. The main support given by the local government is financial and technical advice. Despite this, however, the local authority is unable to adequately facilitate and support such initiatives. Some requests for support are delayed for over two years; this was the experience of a traditional leader who I interviewed.

On effective participation it was found that stakeholders were participating effectively in the fifth and sixth typology of Pretty (1995) which is functional and interactive participation. Notwithstanding that, these stakeholders are not at all influential when it comes to the allocation of financial resources for the implementation of programmes and projects. On perceived ownership of the strategic spatial plan, respondents accepted ownership, but could not assert fully that the document contained a lot of local knowledge.

SUMMARY 9**FDI in creative segments***An opportunity to strengthen the Latin American city network***Author** Carolina Maria Santos**Country** Guatemala**Supervisor** Ronald S. Wall, PhD (IHS)

By selecting creative industries as the subject of this study, we support the argument that the promotion of creative segments is beneficial to the general development of a city and a society. The research seeks to understand the general dynamics of the creative segments network by the profound study of a region of the world. The regional analysis in Latin America included the observation of trends, description of actors and evaluation of indicators, which resulted in empirical evidence of important factors to attract creative segments. Consequently, we present a tool to help cities identify factors that will improve their competitiveness in creative segments.

To ensure the thoroughness of the study, we used analyses and techniques that complemented each other's results. The use of longitudinal and network analyses allowed us to describe the development of the network over a period of time, as well as to present a picture of the accumulated linkages. In our methodology, we argue that FDI can be useful in regional analysis by using the number of investments as a measure of attractiveness. By relating location factors and FDI, we recognized significant factors that attract creative segments.

The research confirmed the positions of São Paulo and Mexico City as the leading FDI destinations of the region, however, these cities have limited participation in the regional network. Through the evidence we identified a second group of cities that hold the place of regional hubs and are among the top sources of investment; Buenos Aires, Santiago and Bogotá. Even though the network within the region is relatively weak, we argue that the promotion of creative segments can be a strategy to strengthen the regional city network.

Within the factors that positively effect the attraction of FDI we can recognize connectivity, human capital and capacity for innovation. Human capital is a weakness for Latin America in general, but we found that the promotion of skills is more important than higher education enrolment. Meanwhile, the capacity for innovation also relates to

the importance and reputation given to creative functions. Connectivity is essential for competitiveness and, therefore, the region would benefit from a stronger network.

Ultimately, the evidence shows that FDI in Latin America is increasing and that creative segments are growing faster than other segments. It also shows that there is considerable FDI in creative segments going from Latin American cities to others in the region, which presents an opportunity for Latin America to reinforce the intraregional network.

SUMMARY 10

City branding: Towards the understanding of different stakeholders

Case study: Solo, the spirit of Java - Central Java, Indonesia

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City branding aimed at responding to the demands of competition and attracting desired target groups has been characterized as a governance process. It is carried out with the involvement of several stakeholders who often have their own understanding of city branding. It can be said that the success of city branding mostly depends on the understandings of relevant stakeholders involved in city branding. A lot of the literature also suggests that stakeholder involvement is really important to initiate a positive effect on the city branding practice.

Solo is one of many cities in Indonesia that has already tried hard to implement the city branding practice, adopted from regional branding, as an important tool of city marketing strategies with which to compete with other cities and attract desired target groups. Although the branding practice in Solo City has been running for about seven years, the understanding of the relevant stakeholders of city branding and their involvement in the city branding process is still questionable. One of the driving factors behind this research was whether the consensus or disagreement between city administrators and business communities has any effect on the branding practice. Ultimately, this research is expected to give important input to the government as a form of evaluation for the future implementation of city branding in Solo City.

The objective of this research is to examine the understanding (differences and commonalities) of city branding between different and relevant stakeholders (city administrators and business communities) and to find out the effect of their understanding of the implementation of city branding in Solo City.

This research is an exploratory study using single-case study techniques. The data was collected through: in-depth interviews among 18 key persons in both city administrator and business communities groups; surveys among 122 stakeholders from both groups; and the review of the related official documents, articles and publications. The methods

of data analysis used SPSS for the quantitative analysis and coding for the qualitative analysis.

This research found that there are commonalities and differences in the understanding of city branding between city administrators and business communities. In terms of the general understanding of city branding, both of the relevant stakeholders for the most part have a common understanding. However, in terms of their view of 'Solo, The Spirit of Java', there are differences in how they see things. While for the other aspects stakeholder involvement, the implementation and the performance of 'Solo, The Spirit of Java' commonalities have been found.

Furthermore, the differences and commonalities in the understanding of city branding, the views on 'Solo, The Spirit of Java', stakeholder involvement during the process and even the performance, all proved that it affects the implementation of 'Solo, The Spirit of Java' in Solo City. However, the living area of the respondents and two different groups of stakeholders (city administrators and business communities) have no influence on the implementation.

This research then concluded that there are mostly commonalities in the understanding of city branding between city administrators and business communities in Solo City, and this common understanding has a positive effect on the implementation of 'Solo, The Spirit of Java' in Solo City. However, this research could not find any proof of negative effects resulting from the differences in the understanding of city branding between the two groups.

SUMMARY 11

Benefits of green space for air quality improvement and GHG emissions reduction in Jakarta

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Jakarta, the capital of Indonesia, has been implementing the Jakarta Spatial Plan 2030 since 2012. Jakarta 2030 is a statutory long-term plan that can be categorized as a comprehensive spatial plan that provides the vision and goals for the city's development over the next 20 years. One of the main and interesting issues in Jakarta 2030 is that it will increase the area of green space to include 30 percent of Jakarta's total area. The current green space only covers around 12.2 percent of the total Jakarta area. In order to achieve the goal of providing adequate green space in the next 20 years, the municipality, society and private entities must together provide an additional 17.8 percent of green space to Jakarta as a whole.

The need, importance and awareness of green space in Jakarta have been emphasized and made an integral part of Jakarta 2030, which promotes sustainable development and mainstreams the importance of environmental aspects that should be considered in the development plan of the city. Despite this, Jakarta has not provided adequate guidelines to measure, value and quantify the level of benefit gained from the provision of green space to the city and its residents in the context of air quality and the reduction of carbon emissions. The contribution of this research is to illustrate the importance of protecting and promoting green space as part of the city's development, especially by making the benefits quantifiable, measurable and, ultimately, visible, with particular regard to the health and economic benefits, which will be influenced by GHG emissions reduction and air quality improvement.

The main findings of this study are that provisioning 30 percent of Jakarta with green space will reduce GHG emissions reduction by up to 1.67 million tonnes of CO₂, reduction of PM₁₀ concentration up to 33.27 µg/m³, SO₂ up to 6.39 µg/m³, NO₂ up to 16.92 µg/m³ and O₃ up to 44.83 µg/m³. These reduction figures will significantly impact the health and economy in Jakarta. Important impacts on health will be that: mortality will be reduced to 319 cases, hospital admission related to air pollution will be reduced to 346 cases, emergency room

visits related to air pollution will be reduced to 5,807 cases, asthma attacks related to air pollution will be reduced to 87,343 cases, chronic bronchitis related to air pollution will be reduced to 1,510 cases, and respiratory symptoms among adults related to air pollution will be reduced to 266,384 cases.

In total, the potential economic benefit due to 30 percent of Jakarta being provisioned with green space by 2030, is estimated between 4.2 and 6.7 trillion rupiah, or about 435.2 and 697.1 million us dollars. By forecasting the local budget of Jakarta in 2030, the potential economic benefit in 2030 is estimated around 2.8 percent to 4.6 percent of the local budget.

SUMMARY 12

Inclusionary housing in Indonesia

The role of balanced residential ratio 1:3:6 in Makassar

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This research attempts to find out how inclusionary housing is implemented in Indonesia through the balanced residential ratio 1:3:6 regulation (Lingkungan Hunian Berimbang – LHB). The regulation was introduced by the national government in 1992 for implementation on a local level by all municipalities and regencies.

There are two main objectives of the LHB 1:3:6 regulation: 1) to produce affordable housing, and 2) to encourage more socially integrated development via mixed-income residential areas and cross-subsidies. Henceforth, every new residential development by a private developer should reflect the 1:3:6 ratio (one high-income, three middle-income and six low-income units).

Using the case of Makassar City, the capital city of South Sulawesi Province and the largest city in the eastern part of Indonesia, the author tries to assess the implementation of the balanced residential ratio 1:3:6 regulation using four factors – legal, economic, financial and social – in the period between 1993 and 2003. Those factors are discussed in the context of the provision of affordable housing through the application of land value capture. Thus other issues such as long-term affordability and social ethnic integration are not covered in this research.

The general finding for the balanced residential ratio, LHB 1:3:6, which was adopted by the Makassar Local Government in 1992, is that there has been a lack of implementation. The local government simply adopted it without formulating more detailed local regulations or adapting it to the city's ordinances. Although the procedures and sanctions are clearly stated, the absence of a dedicated institution or committee at national and local levels in coordinating, controlling and monitoring the implementation of the regulation, results in non-compliance.

The legal basis provided by the national government, which is at ministerial level, and the absence of specific local regulations, means that the sanctions stated in the balanced

residential ratio regulation were not applied by the local government. On the other hand, the incentives in the form of fast-track permits and the reduction of retribution for building permits provided by local governments have not been sufficient to motivate developers. This is because developers usually look for the highest possible profit.

However, it is economically feasible for developers to fulfil the inclusionary obligation. This is indicated by the relatively high increment of land value gained by developers compared to the value of the land at the time they purchased it. Factors that influenced that result are the chosen location in peripheral areas and also in adjacent municipalities, as well as the initial land use, which was vacant land. Meanwhile, the economic impacts of the balanced residential ratio regulation on the price and production of luxurious units were not clear because of a lack of data and studies regarding those issues.

In addition, from 1993 to 2003, housing production by developers in Makassar was dominated by the medium type which reached 54 percent of the total housing production during that period. The rest of the production was shared almost equally between basic and luxurious houses. The data shows that the percentage was 24 percent for the former and 21 percent for the latter. However, of the total amount of basic houses built in Makassar, 55 percent were produced during projects that implemented the 1:3:6 regulation.

Concerning the extent that the balanced residential regulation addressed the spatial segregation issue, this research could not find a housing development built since 1993 that followed the requirement to build a mixed-residential development within one contiguous area. In the case of the selected project in Makassar, Bukit Baruga Residential, the developer built the basic houses in an adjacent municipality where the land was very cheap. This indicates that spatial integration through a mixed-residential area is hard to achieve.

Meanwhile, a change in policy has brought about a significant improvement concerning the purpose of spatial integration. Similar to the former 1:3:6 regulation, the new balanced residential ratio introduced in 2011 still shows ambiguity. On the one hand, it makes mixed-residential development in one contiguous area compulsory for large-scale residential projects. But on the other hand, the development of basic houses is allowed in different areas as long as the location is in the same municipality or regency. Spatial integration still seems negotiable, although there are some disincentives. This ambiguity is contrary to the objective of the regulation itself, which is trying to develop spatially integrated communities by mixing different types of housing within one contiguous area.

Finally, this research confirms that this policy could play an important role for local governments in addressing issues of affordable housing and spatial integration. It enables local governments to recapture the increment of land value obtained by private developers to provide affordable housing for low-income households. Lessons learnt from the past suggest that clear and detailed regulations, as well as the strong political will of the local government, are needed to be able to mobilize the increment on land value obtained by developers. Although it is economically feasible for developers to set aside a certain portion of housing units and make it affordable for low-income households, it will not be recaptured if local governments do not fully understand the opportunities that this regulation offers concerning the provision of affordable housing.

SUMMARY 13

Spatial characteristics of foreign direct investments

A classification of business districts

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During the last decades, we have seen the development of a global economy with international networks of companies, people and cities. One of the main characteristics of multinational enterprises is the split of their company activities in separate divisions over different countries to profit from either ownership, location or internalization (such as knowledge) benefits in the destination country. These Foreign Direct Investments (FDI) play an important role in the development of cities and their international ties in the global network. Within the global economy, cities are competing to attract FDI-capital and companies, knowledge and highly educated people. Although capital brings immediate benefits through investments and the presence of companies; knowledge and highly educated people bring competitiveness and benefits in the long term.

Many theories and studies have focussed on not only the competitive characteristics of cities, but also on the attraction of FDI, companies and people to these cities. Many studies stress the importance of accessibility and international infrastructure, knowledgeable and creative people, and institutional and organizational aspects. Other studies stress the importance of developing local or regional industries and knowledge clusters, being influenced by face-to-face contacts, tacit knowledge spillovers and interaction. However, almost none of the studies focussed on the spatial characteristics of the locations of companies and cities. Locations bring characteristics of proximity, functionality, urbanity and quality to the company and they ameliorate the interactive environments of these districts. Focussing on these aspects gives insight into the spatial needs and determinants of the companies.

Besides scientific relevance, this study is centred on policy recommendations for the City of Rotterdam. The city is in transition, heading towards a more knowledge-based economy and is developing its economic and spatial strategy to become more competitive, both in local clusters of knowledge in different sectors and in global networks of cities.

However, these strategies are not yet related to spatial developments and the spatial needs of companies. This study aims to give insight into the characteristics of business districts and cities for different knowledge intensive company activities, in order to develop spatioeconomic policies for municipalities.

In this study, FDI Market data is used to analyse trends of FDI in knowledge intensive activities over the years between 2003 and 2012, in six North- and West-European countries. For 15 of the cities designated in the league of Rotterdam (same number of investments) the FDI for knowledge intensive activities was geo-mapped and the characteristics of these locations recorded, for example: aspects of proximity/accessibility, functional districts, urban characteristics and spatial quality. Analyses of the data resulted in the findings on spatial determinants for FDI in specific activities. Based on the data, a classification of business districts was set up with seven distinctive districts characterized by their proximity to either the city centre, airport or university, and characteristics in urban, functional and quality aspects. Regression analysis showed that the availability of certain districts is related to the presence of specialized company activities.

Development of a coherent spatio-economic strategy for a city should identify the activities and sectors that the strategy is aimed at. Furthermore, the strategy should focus on the development of the right type of business districts with the characteristics these activities need. Finally, the study shows that international air access is one of the most important conditions for the development of a strong business environment in a city regarding KI FDI.

SUMMARY 14

Effects of factor endowments on local economies of cities within the ECOWAS Region, Nigeria

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This research focuses on the investigation of the effects of factor endowments on local economies of cities in the ECOWAS region. As a measure of those effects, it uses the attraction of inward Foreign Direct Investments (FDI) as the core determinant.

Analysing the pattern and trend of inward FDI into the region affords insights into the volume, amount and growth of investments in the cities and countries of the region as well as source cities and countries worldwide over a ten-year period. From this, knowledge was gained of which cities and countries were receiving FDI, from which sources and sectors and in what pattern and content. With the aid of appropriate software (Excel, UCINET and NetDraw), growth models, positional networks and distribution maps were drawn to produce the results in a graphic presentation.

By identifying the important city competitors in the region, the Manhattan Distance calculation was used to determine the competitive distance between cities based on sector investments. The closer the distance values, the more intense the competition is among the related cities. This forms the basis for the ranking of the competitor cities and the sectors in which they are competing.

The explanatory aspect of the research draws knowledge of factor endowments from cities profiles while the location factors explaining the trend of FDI are drawn from the Global Competitiveness Index Report of the World Economic Forum. This was chosen because of its comprehensive assessment of indicators using common scale values across countries. The data was found appropriate for this research; however, it was only applied after conducting Variance Inflation Factor tests to check multi-collinearity. The relationship between the two sets of variables was then determined through multiple regression analysis to assess the significance level of all location factors in explaining FDI.

A similar exercise was performed on the Asian data to pair results and draw further lessons. It is common knowledge that Asian countries such as China, India, Singapore and Malaysia

actively promote measures that attract FDI. This is, therefore, done in acknowledgement of growth in the economies, and improved competitiveness of Asian countries and cities over the years as a result of FDI flows. In addition, most of these countries have political, economic and social circumstances similar to those of ECOWAS countries.

As discovered, the growth of FDI into ECOWAS within the period of review between 2003 and 2012 is 11.5 percent. Although among the lowest in terms of volume compared to similar Regional Economic Communities (REC), the growth was relatively steady. The sectors with the most prospects are resource-based like agriculture, minerals and metals, closely followed by the services sectors.

The cities' and countries' share of this inflow varies in total of investments depending on various factor endowments and sector requirements. As discovered from the regression analysis, 71 percent of all FDI to the region is attributable to market size and business sophistication. While countries like Nigeria, Côte d'Ivoire and Ghana have attracted FDI especially due to their domestic market size, others, like Senegal, Gambia and Liberia have done so due to marketing and innovation. However, the extent to which the region can capitalize on these location factors is limited by the inadequacies of others, such as strong and viable institutions.

It was also discovered that the region lagged far behind in basic requirements for growth and competitiveness. While market size and other efficiency enhancers in the region are gradually improving, the state of infrastructure is deteriorating both in quantity and quality. Out of the 15 member countries of ECOWAS, only Cape Verde has moved to the efficiency driven stage of development. This is due primarily to vast investment and improvement in its human capital. In basic infrastructure such as transportation, electricity and communication, only Gambia scored barely average in the competitiveness ranking.

To sustain the modest growth, increased FDI which is largely needed to achieve the Millennium Development Goals and enhance the positions of ECOWAS cities in the global economy, this research recommends building on existing relationships and establishing new ties to improve networks, developing fair policies on taxes and regulations, instituting transparency in government businesses, engaging public private partnerships in infrastructure provisions, developing human capital, building strong institutions and structuring diversification from over reliance on natural resources.

Major urban management interventions include: 1) creating industrial zones, farm settlements, rural planning and land use planning to encourage urban agriculture as response to the demands of the sector; 2) creating specialized export processing zones in the harbours of the 12 port cities and taking advantage of maritime access; 3) developing the peripheries to sustain core-periphery competition; and 4) city branding and marketing for the core cities.

The ways to improve competitiveness among cities are never the same, hence it is realized that these recommendations will suit the countries and cities differently.

SUMMARY 15

Indicator based assessment for sustainability benefits of urban light rail transport

A case study of Abuja, Nigeria

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The real sustainability benefits of the urban mass transport system are still poorly understood, especially in terms of how to quantify the determining indicators in specific and empirical terms to measure the extent of these benefits. Sustainability evaluation and enhancement can be accomplished in a scientific, reasonable and logical manner within the general planning paradigm as the beginning of improving progress towards sustainability development. Indicators are, for example: travel time (timesaving), affordability, accessibility, employment, safety, congestion, modal shift, urban regeneration and air pollutant emissions.

The research objective is to assess the sustainability (economic, social and environmental) development benefits of the Abuja urban light rail transport system. The research methods used are the questionnaire survey and experimental analysis. The data collected from the questionnaire based on the ranking of indicators, is analysed quantitatively, using the descriptive statistics tools of Excel. This describes the rankings by the experts and stakeholders for their required ranking score. The experiments performed were for the road and rail modes of transport along the same route.

The concepts of the conceptual framework of the sustainability diamond and multi-criteria assessment are used in this research to compare transport route alternatives of the rail and corresponding road routes, measuring the time saved as an economic sustainability benefit. Analyses here revealed how the economic measurement indicator, i.e. timesaving, which was selected as the highest ranking indicator. This resulted in a different empirical rate or level of contribution to the sustainability benefit, thus answering the question: How are the sustainability benefits of the urban light rail system assessed?

Based on the concepts of the sustainability diamond and multi-criteria assessment, a set of nine indicators was selected. These are economic, social and environmental sustainability, based on the highest common factor as found in the literature, especially as it relates to its

applicability in a developing country. These nine selected indicators are scored by a ranking, based on the most significant approach, by the participatory selection of experts. Thus, the first indicator with the highest ranking scores among the selected indicators is used for the quantitative assessment to empirically determine its level of sustainability benefit using the geo-information system and quantification calculus approach.

The main findings show that Lot 1A along Kubwa to Idu rail route stations is faster compared to the road route between the same locations by 8.4 minutes during off-peak hours and 38.4 minutes during peak hours. Lot 3A along Idu to Abuja metro route stations is slower compared to the road route between the same two locations by 1.6 minutes during the off-peak hours but faster by 28.4 minutes during peak hours. Lot 3B along Idu to Airport route stations is faster compared to the road route between the same locations by 18.4 minutes during the off-peak period and 48.4 minutes during the peak period.

Another interesting finding is that lot 3A gave a negative number of minus 1.6 minutes during the off-peak hours. This can be taken into cognisance for further perceptions and re-planning, as a rail at 100km/hr compared to 75km/hr is ordinarily meant to get a commuter to their destination faster during peak or off-peak hours on the same route.

Therefore, the description in empirical terms means that the number of minutes gained or lost during the peak and off-peak periods provides precise answers to the research question on how the sustainability benefits of the urban light rail system on timesaving can be assessed. In specific terms, it is important to know to what extent a particular sustainability indicator will benefit an urban city when a rail transport infrastructure is provided.

In generating empirical and valid levels of benefit to sustainability development, the newly developed approach using the Geo-Information System (GIS) approach for the timesaving indicator has shown to be capable of reliable assessment, through the integration with the conceptual framework to empirically ascertain the assessment of the sustainability benefits of the Abuja light rail. Thus adding a new niche to the body of knowledge on the subject matter.

SUMMARY 16

The faith. The fight. The force. The flight.

An analysis of the interactive processes involving the self-organized community of Buklod Tao in Banaba, San Mateo, Rizal Province, Philippines

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Titled ‘The Faith. The Fight. The Force. The Flight,’ this research is an urban governance-related study that analyses the interactive processes that involve a self-organized community called Buklod Tao in the urban municipality of San Mateo in Rizal Province, the Philippines.

It describes the evolution of interactions within the organization as well as interactions with other organizations and institutions, including the local government. It explains how these interactive processes led to positive outcomes such as an increase in knowledge, producing win-win solutions for problems or issues and the creation of new institutional structures for the benefit of the organization. It also maps out the build up of factors – such as; rules, divergent perceptions on problems/issues and strategy formation, commitment and collective action, and activities – that influenced the interactions and outcomes.

Data in this research reveals that, on the one hand, rules, divergent perceptions on issues/problems and strategy formation, commitment and collective action influenced the interaction processes. On the other hand, they have also directly influenced the outcomes of the processes.

Hence, it is important to be aware of the underlying factors that contribute to the success of an interaction process in any organization. These processes, especially in civil society organizations such as Buklod Tao, help to leverage the kind of governance any city desires.

It is recommended that other institutions such as the local government and the private sector decipher the dynamics of such processes in civil society or people’s organizations to be able to have a better grasp of how to develop or form partnerships within the urban arena.

SUMMARY 17

FDI and city competitiveness within the Southern African Development Community (SADC)

The case of Lusaka City, Zambia

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Lusaka, the capital of Zambia, is urbanizing at a fast rate. The population of Lusaka has increased from 1,391,329 in 2000 to 2,198,996 in 2010 at a growth rate of 4.7 percent (Central Statistical Office, 2011). Zambia's urban system is dominated by Lusaka, which hosts 32 percent of the total urban population in the country (UN-HABITAT, 2008). The poverty levels in the city have been steadily increasing over the last two decades mainly due to the high levels of population growth, which are not matched by economic growth and improved service delivery (Lusaka City Council, 2008). The economy of Lusaka city only provides formal employment to about 9 percent of the labour force (UN-HABITAT, 2008). Therefore, one of the biggest challenges for Zambia in general, and Lusaka in particular, is to attract more investments for economic growth and poverty reduction. Theoretically, it is generally accepted that to a greater extent, the world-wide urban networks provide crucial resources for the development of cities, while city systems form a set of resources or locational attributes for Multinational Corporations (MNCs). It is against this background that this study has been conducted with the overall objective of investigating the current Foreign Direct Investments (FDIs) and networks of cities in the Southern African Development Community (SADC) region and how Lusaka city can improve its competitive performance in order to attract FDI.

The study is quantitative and has analysed the FDI markets.com database (2003 to 2012) through Excel, UCINET software and SPSS. Overall, the study shows that, though modest, the number of FDI flows into SADC has been growing at a growth rate of 11.52 percent with the top five growing sectors being financial services, metals, software IT services, business services and communication. The closest five competitors to Lusaka in terms of attracting FDI to sectors in descending order are; Windhoek (Namibia), Kinshasa (Congo DR), Lubango (Angola), Harare (Zimbabwe) and Lobito (Angola). Lusaka occupies the twelfth position among the top 20 SADC cities in attracting FDI dominated by seven South African cities.

Furthermore, market size is the most important location factor for attracting FDI in the SADC region. In view of the above, Lusaka can learn a lot from its competitors, especially Windhoek, in terms of policies, programmes and projects attracting FDI, which Lusaka City Council can then include in its integrated strategic and marketing plans. In order to expand the market, Lusaka should pursue job creation policies to enhance the growth of the middle class, which is critical for the domestic market. In addition, SADC countries (Zambia included) need to aggressively continue to pursue policies for greater regional integration to expand the market size and provide an important stepping stone to a more diversified, inclusive and sustained growth to member states. Improving Lusaka's competitiveness will also require continued commitment to a prudent macroeconomic policy at the national level, investing in infrastructure development, human resource development, information communication technology (ICT) and information management systems. Other measures include the promotion of gender equity and equality, the rule of law and professional management of both public and private business. Last but not least, targeted marketing and branding of Lusaka city as a prime investment destination, in particular sectors and activities, is crucial for FDI attraction.

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