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IHS THESIS SERIES

Disseminating information to a wider audience is important to IHS. For a long time the execution of research activities and publications by IHS staff and their partners has been a key point on the IHS agenda: research is one of the three main services provided by the institution. Research is used to develop knowledge in thematic areas, and to spread knowledge and to profile IHS in markets abroad.

The IHS Research Committee (formerly known as the IHS Editorial Board) has, over the years, taken a role in promoting internal publications by staff and partners and in disseminating information, in the form of occasional papers, project papers, working papers, articles, and reprint series to our clients.

The environment in which IHS currently finds itself offers an expanded number of opportunities to publish. A new master's course in Urban Management was set up by the Institute for Housing and Urban Development Studies (IHS) in cooperation with Erasmus University Rotterdam (EUR) in 2003, to meet the challenges of a changing market. Being embedded in the research activities within EUR and with the redesign and accreditation of IHS new master's programme, the amount of research and publications within the institute is increasing.

To promote, disseminate and strengthen the publication of the theses developed within our master's programme and to provide an internal and external forum for the discussion of issues in the fields of urban and regional management and development, the IHS Research Committee publishes an annual publication series called the IHS Thesis Series.

One of the aims of this series is to help the participants of the Master in Urban Management and Development (UMD) programme make their research and final work accessible to a wider audience. It will also contribute to the development of IHS' academic knowledge base by providing theoretically and empirically informed analyses of the changes affecting the urban and regional conditions in developing countries, as well as in developed nations.

In this fourth issue, we present a selection of the theses of the UMD Master's programme: 2008-2009 (UMD5). We also include a number of unpublished theses from previous years.

In the back of this publication a CD-Rom is enclosed which contains the full, unedited versions of the selected theses.

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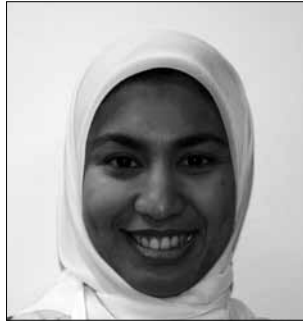
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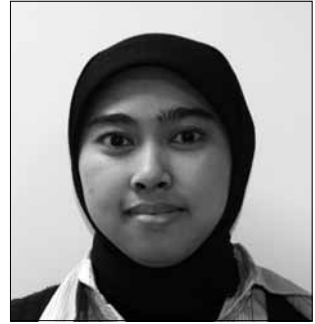
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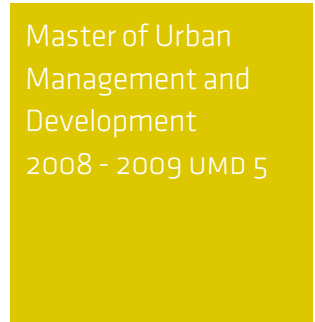


TABLE OF CONTENTS

SUMMARY 1	12
The Application of Public-Private Partnerships in Financially Non-Feasible Projects:	
<i>Case Study Tanjung Priok Access Toll Road Project, Indonesia</i>	
Author Fajar Eko Antono	
Country Indonesia	
SUMMARY 2	14
Towards Incorporating the Urban Informal Economic Sector in City Development by Local Authorities:	
<i>The Case of Chisokone Market in Kitwe, Zambia</i>	
Author Shilla Kalinda Chabalengula	
Country Zambia	
SUMMARY 3	16
Managing Sports in the Post-Privatization Era in Zambia:	
<i>An Assessment of Sporting Behaviour and Facilities Provision in Kalulushi</i>	
Author Joseph Chamoto	
Country Zambia	
SUMMARY 4	20
Defining an Enabling Environment for the Delivery of Urban Infrastructure in Jamaica via Public-Private Partnerships	
Author Jeanette Annecia Calder	
Country Jamaica	
SUMMARY 5	24
Adaptation Responses to Tidal Flooding in Semarang, Indonesia	
Author Dian Harwitasari	
Country Indonesia	
SUMMARY 6	26
Reinventing Public Spaces in Community Garden Projects in Berlin and Rotterdam	
Author Christina Liesegang	
Country Germany	

SUMMARY 7	28
The Future of Land Titles in Informal Settlements in Prime Areas: A Dilemma for residents of Manzese, Dar es Salaam, Tanzania	
Author Bertha Gladys Mlonda	
Country Tanzania	
SUMMARY 8	30
Access to Housing Finance by Urban Middle-Low-Income Salary Earners in Kampala City, Uganda	
Author Paddy Mugambe	
Country Uganda	
SUMMARY 9	32
Stimulating the Supply of Rental Housing by Small-Scale Landlords: The Case in Ayigya, Kumasi	
Author Charmae Pyl C. Nercua	
Country Philippines	
SUMMARY 10	34
Community Participation in Urban Upgrading Projects: The Case of Two Neighbourhoods in Nam Dinh City	
Author Thuy Thi Thu Nguyen	
Country Vietnam	
SUMMARY 11	36
Gender and Safety in Public Transportation: An Explorative Study in Lagos Metropolis, Nigeria	
Author Bashir Olufemi Odufuwa	
Country Nigeria	
SUMMARY 12	38
Empirical Assessment of the Adaptive Capacity of Low-Income Communities to the Impacts of Climate Change and Flooding: The Case of Ayigya in the City of Kumasi, Ghana	
Author Aldrin B. Plaza	
Country Philippines	

TABLE OF CONTENTS

SUMMARY 13	42
Exploring a Public Service Improvement Initiative: A Case Study of Citizen's Charter Implementation in Naga City	
Author Alvin Penaranda Principe	
Country Philippines	
SUMMARY 14	46
Assessment of the Implementation of the Spatial Plan as a Tool for Disaster Prevention:	
<i>The Case of Banda Aceh, Aceh Province, Indonesia</i>	
Author Fithri Farahaz Saifa	
Country Indonesia	
SUMMARY 15	48
The Use and Meaning of Residential Open Space in a Multicultural Residential Area:	
<i>The Case Study of Afrikaanderplein, Afrikaanderwijk, Rotterdam</i>	
Author Sandi Nurtiyanti Supriatna	
Country Indonesia	
SUMMARY 16	50
Incorporating Informal Construction: Urban Planning in Belgrade and Proposals for Changes	
Author Boris Žerjav	
Country Serbia	
SUMMARY 17	52
Perceived Impacts of Tourism-Oriented Urban Historic District Revitalization:	
<i>Case Study of Yangzhou, China</i>	
Author Yunpeng Zhang	
Country P.R. of China	
SUMMARY 18	54
Integrating Transport and Land Use Policies for Sustainable Development: Theory and Practice:	
<i>A Study of the Suburbs of Addis Ababa, Ethiopia</i>	
Author Anteneh Getnet Dagnachew	
Country Ethiopia	

SUMMARY 19

56

Livelihoods and Coping Strategies:

A Study of Female-Headed Households in Mekelle, Ethiopia

Author Tsehaye Weldegiorgis Tesfamariam

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APPENDIX

CD with full versions of the theses

SUMMARY 1

The Application of Public-Private Partnerships in Financially Non-Feasible Projects:

Case Study Tanjung Priok Access Toll Road Project, Indonesia A Case of Dhaka, Bangladesh

Author Fajar Eko Antono

Country Indonesia

Supervisor Carley Pennink, MA (IHS)

Toll road development has been implemented in Indonesia since 1978 and there are currently about 659 km of toll roads operational in the country. The main objectives of such schemes are to alleviate traffic congestion in urban areas and to support regional growth. The government of Indonesia has strongly encouraged private sector financing to fill the gap between supply and demand for road infrastructure. In many cases, toll road projects have limited financial feasibility because of extremely high construction costs or a marginal expected traffic volume, which inevitably cuts into profit or cost recovery for the operator.

The objective of this thesis is to analyse constraints faced in designing and implementing PPP projects of limited financial feasibility and to propose the ways in which they can be made more attractive to both the private sector and the government. The key research question is: What are the constraints and problems faced in designing PPP projects of limited financial feasibility? This main question is elaborated further in five sub-questions: (1) What are the key characteristics and enabling environment for PPP implementation in toll road development especially in the context of such projects? (2) What has been done by the government of Indonesia to implement PPP in the Tanjung Priok Access Toll Road Development Project? (3) Does the current set up of PPPs in toll roads deal with the key issues faced by projects of limited financial feasibility? (4) What conditions should be created in order to attract private sector participation to this project? And (5) In future similar cases, what kind of policy should be formulated for PPP implementation?

Qualitative research is combined with descriptive and exploratory methods. Study instruments comprise two elements: (1) compilation of primary data with in-depth interviews with the key respondents directly involved in the development of toll roads and PPPs (purposive sampling), and (2) a literature review and desk study (secondary data includes policy documents, reports and archive materials).

The study found that the provision of government support is needed in toll road development in Indonesia. Such support is essential in ensuring the realization of The Toll Road Master Plan in Indonesia, which include many projects that are of marginal feasibility financially. Nevertheless, existing PPP schemes within Indonesia's regulatory framework and their method of providing government support (which are capital grants) remain basically conservative and in need of improvement in order to both reduce risks for the government and to create value for money. In this case the operating subsidy (or service payment method) offers a better opportunity for the government to fulfil the purpose of providing government support while at the same time limiting the fiscal risk and ensuring value for money through linking its payment to private sector performance.

SUMMARY 2

Towards Incorporating the Urban Informal Economic Sector in City Development by Local Authorities:

The Case of Chisokone Market in Kitwe, Zambia

Author Shilla Kalinda Chabalengula
Country Zambia
Supervisor Jan Fransen, MA (IHS)

The urban informal sector in Zambian cities, like other cities, has been growing rapidly. The emergence and growth of the informal sector in Zambia is related to factors of rapid urbanization, non-improvement of formal employment levels and reduction of jobs in the formal sector through retrenchments following adoption of the Structural Adjustment Programme. About 81 per cent of the urban labour force in Zambia is engaged in the informal sector (Living Conditions Report, 2004). By 2000 the sector's contribution to the Gross Domestic Product (GDP) was 48.9 per cent (Schneider, 2002). The informal sector in Zambia is often associated with problems of poverty, insecurity of land tenure and lack of institutional support.

Employment in the urban informal sector in Zambia is more of a necessity than a choice, given the imbalance between the demand and supply of labour. Excess labour moves into this sector as a result of push factors with the main objective of survival. To those operating in the informal sector it is about the ability to generate income for survival, which is to a large extent dependent on how much they are incorporated in the fabric of urban development.

In Zambian cities, including Kitwe, a hostile relationship persists between the formal and informal city. Given that the informal sector is no longer regarded as a temporary phenomenon, this state of affairs urgently needs to change towards an urban governance perspective that encourages incorporating informality into city development. In this context, this study seeks to evaluate the interaction between the various actors in dealing with the incorporation of informality in Kitwe. The study's objective is to understand the prevailing interaction between the local government, the market association and the informal traders of Chisokone market in Kitwe and to recommend what would be the appropriate approaches for collaboration among these different actors towards

incorporating informality. An explorative study was used and in-depth interviews as well as focus group discussions were adopted as research instruments.

The results of the study indicated that the weak status of the prevailing governance system in combination with the negative interactions among the actors involved concerning informality lies at the root of the hostile encounters between the formal and informal city. Exclusive strategic decision-making and policy formulation were identified as major shortcomings of city governance. This is accompanied by restrictive regulations that ignore principles of equity and the importance of the interactive relationship between socially constructed city development policies where they meet informality.

Findings indicated that in the process of incorporating informality, there are incentives that tend to drive or restrain any changes that may occur. The major constraints that reinforce the status quo at Chisokone market include the following: conflicting interests, lack of political will, mistrust and differing perspectives among actors, corruption and bureaucracy. Despite these constraints, local government awareness of the need to incorporate informal activities into city development provides an appropriate starting point.

The analysis revealed that the incorporation of informality is a governance issue. This calls for policy interventions by the government aimed at improving governance systems and structures focussing on to what extent informal activities can be incorporated into urban life.

The study recommends that the decision to legalize the market should be based on sound principles of governance while considering formality trade-offs as a focal point in the whole process. Local government should encourage the use of public debates for consensus in decision-making with concerned stakeholders. A sustainable and agreed upon governance structure ought to be formulated by actors in which their roles and responsibilities are clearly stipulated. Government should enhance inclusive policy formulation. The ambiguous component concerning the representation of the traders' association in the management of markets needs to be reassessed for a smooth implementation of governance systems to address the issues of informality at Chisokone market. At the institutional level, inclusive planning and implementation processes should be adopted by local government to encourage effective measures relating to issues such as licensing, taxation, market upgrading and mobilization of Business Development Services and credit facilities.

SUMMARY 3

Managing Sports in the Post-Privatization Era in Zambia: *An Assessment of Sporting Behaviour and Facilities Provision in Kalulushi*

Author Joseph Chamoto

Country Zambia

Supervisor Dr Wim Blauw (EUR) - Dr Yiping Fang (IHS)

Zambia, though famous for its copper production, has suffered a socio-economic distortion following the privatization of the Copper Mines of State-Parastatal (ZCCM). The impact of this has been felt the greatest in municipal service delivery, particularly in the towns of the Copperbelt Province, where services previously rendered by ZCCM, including sports and recreation, have deteriorated both in quantity and quality.

Several scholars have noted that even in places that previously had the best sport facilities, these have either been abandoned or are in a state of disrepair. Although sport has been recognized worldwide to generate both economic and social benefits, the biggest challenges though for policy-making have been to determine the range of sports services available and to establish whose responsibility it is to provide them. Kalulushi faces the same problems, a situation which sparked this exploratory case study research. The objective of the study was to explore strategies to improve management of sport in the post-privatization era, through an assessment of the sporting behaviour and the level of facility provision in the central area of Kalulushi.

Based on two key theories and with a strong reliance on documented concepts, common measuring criteria and knowledge of sports, the author proceeded to execute the case study research. Supplemented by observations and digital images, closed and open-ended questionnaires were administered to residents and school pupils to assess the current sporting behaviours and sports needs. A similar set of questionnaires were administered to local authorities, government authorities, private sports providers, former ZCCM employees and existing major mining companies to assess the levels of facilities provided and to allow for a comparison between current sports activities and facilities and those before privatization.

The field data and major findings were analysed qualitatively and quantitatively aided by statistical software, SPSS Version 17.0, from which the researcher drew his conclusions.

The research primarily established that, although the existence of infrastructure and its state has a theoretical influence on sporting behaviour, the observed poor state and distribution of sports infrastructure in the study area appeared not to seriously hinder residents from engaging in sports activities, as evidenced by the 72 per cent of general participation in sporting activities and the higher levels of participation by residents with very limited facilities.

Strikingly, the research identified a unique relationship between sporting behaviour and facilities provision, where relationship appeared to be more sensitive to quality rather than to the mere existence of sports facilities. This was evidenced by abandonment or lack of use of rundown facilities in preference of improvised facilities at home or in other public places. This finding not only fits in the model adopted, but also paralleled existing literature that links increased participation and evident sporting behaviour with the improved quality of sporting facilities.

However, the research further established and concluded that in fact this 72 per cent rate of participation in sporting activities reflects a drop in participation compared to the time of zccm, attributing it to factors such as a loss of interest and poor infrastructure at most of the designated sports areas. The findings further reveal that people have adapted by creating alternative means, either by improvising facilities in public open spaces or incorporating them into school infrastructure.

The research identifies friendship and family influence as the major source of sporting behaviour complimented by the desire for physical fitness and social interaction.

The research discovered that people undertake diverse sporting activities, but noted high participation in open-door sporting activities, with football, netball, basketball, volleyball and athletics being the most popular sports across all age groups, in schools and generally among residents. Sport participation was generally higher among respondents in schools than those outside school, further confirming the special influence that schools have on society's sporting behaviour and presumably also because of the mandatory nature of sport in Zambian schools. Interestingly, the research further identified a significant gender relationship in participation, with males being more probable to participate than females.

In general, the research concludes and confirms that sports activities and facilities were better managed during the zccm period compared to the current situation, an assertion confirmed by both the images of the remnants of the sporting infrastructure and the recorded evidence of a decline in participation in sporting activities and in the diversity of sporting activities available. While zccm administered a diverse range of sporting activities, and promoted sport through regular sports festivals and sponsorship, the current research concludes that implementation of such approaches have been minimal or have never been attempted in the current situation, except in schools where regular sporting events between schools are held. This has been accentuated by the absence of a sports policy (reflected in the low priority and lack of adequate resources given by both the private and public sectors to sporting facilities). This has made it difficult to identify and properly plan for sporting needs or to realize the possibility of tapping resources available from the private sector (mining companies) to district recreational service provision. Though participation levels are still relatively high, the current deplorable state of infrastructure represents a limitation

both in terms of the diversity of the sports offered and in terms of where they can take place. If this situation does not change, it is feared that community motivation to take part in sports will decline resulting in a deterioration of the physical wellbeing and integration of society in the district.

Arising from these findings and conclusions, the author recommends the immediate formulation of a sports and recreation policy within the framework of the existing District Strategic Plan, to guide the planning and implementation of sports-related activities, which include the rehabilitation of all dilapidated infrastructure, community sensitization on the importance of sport and information dissemination on available sports and facilities.

The author also recommends recruitment of qualified personnel to oversee sporting activity and supervise the maintenance of facilities and to act as deterrents to the vandalism of sporting facilities. Finally, tax incentives should be introduced to effectively tap the corporate social responsibility and contributions of private companies to the district recreation service provision.

The author recommends, among other things, further research into gender perceptions of sport participation within the adult population and exploration in low-cost designs for multi-facility sporting arenas.

SUMMARY 4

Defining an Enabling Environment for the Delivery of Urban Infrastructure in Jamaica via Public-Private Partnerships

Author Jeanette Annecia Calder

Country Jamaica

Supervisors Carley Pennink, MA (IHS)

A partnership can be defined as ‘a means to an end – a collaborative relationship toward mutually agreed objectives involving shared responsibility for outcomes, distinct accountabilities, and reciprocal obligations’ (Picciotto, 2004 in Jobin, 2008). This thesis is an attempt to contribute to the full-throated debate regarding the justification of and value received from the Jamaican government’s decision to partner with the private sector for the delivery of urban infrastructure.

The paper takes a look at the changing role of the state as expressed via public-private partnerships (PPPs) and explores the benefits and risks that emerge from its employment.

The days of unilateral approaches to urban challenges are changing and, as pronounced by Sedjari (2004), ‘a new reality is imposing itself’. This debate extends, however, beyond the shores of Jamaica, is decades old and its resolution might not be short in coming. In the meantime, there are some very real challenges facing the nation for which no potential solutions should go unexplored. Any development strategy that will place us nearer our goals should be accommodated. It is the hope that this paper will shed some light on Jamaica’s readiness for a model that is being pursued by both developed and developing states, and despite the mixed reviews, will probably remain on the policy agenda for some time to come.

It has been called a procurement option, a tool, a strategy, a concept but in all instances Jamaica’s flirtations with PPPs are still in an embryonic stage. Weighted down as it is, with a debt to GDP ratio of 108.94 per cent, Jamaica has no room for manoeuvre to adopt the learning curve that other countries can afford. Recent PPP experiments have created a great deal of concern for issues relating primarily to budget overruns, poor transparency and perceived and actual contravention of procurement guidelines.

This study therefore aims at two main objectives. The first intends to define the macro and micro environment that will enable a healthy PPP process and bring all stakeholders into

a durable and mutually beneficial arrangement for the successful delivery of infrastructure. The second aims at ascertaining why during the life cycle of the partnerships, the risks tend to revert to the government of Jamaica (the tax payers). This leads to the heart of the research and the main question that is driving the debate: What are the primary impediments to the successful delivery of urban infrastructure via PPPs in Jamaica?

In order to gain critical understanding of what needs to be present in a country that would support and foster an undertaking of this type, a theoretical framework had to be identified. This required a thorough review of the literature and the various schools of thought on the subject, starting with placing the investigation into a context and exploring its relevance to urbanization and its link to infrastructure. An introduction to the four major stakeholders and the roles they play is presented.

Focus is then placed on the arguments given for and against the use of PPPs and the factors affecting the success and failures, both in developed and developing countries.

The analysis takes place within two general frameworks. The first presents the macro environment, which focuses on the legal, regulatory and institutional policy backdrop that determines our readiness to attract both domestic and foreign investors. Second is the micro environment, which directs our attention to the project and the process itself. This involves determining if a PPP is the best option for service delivery, if so, the choosing of the best model, assessing economic and financial viability, partner selection, contract structuring, implementation, and monitoring. To pursue the second objective, an explanatory research methodology is used, which draws on two case studies, namely, the recently completed Phase One of the Soapberry Sewage Treatment in Kingston, Jamaica and the Harnaschpolder Sewage Treatment Plant in The Hague, the Netherlands.

Both projects are their respective country's first attempt at PPPs in the wastewater management sector and were executed for the similar purpose of improving the sewage effluent quality being disposed of in their coastal waters.

Data was collected via interviews with the various public and private sector agents, purposely selected based on their contribution to the policy/institutional setting (macro) and planning and execution of each project (micro).

First of all this study has revealed that the 'dark side' of PPPs is not a unique experience for the uninitiated public servants in Jamaica. Taxpayers in several countries, both developed and developing, experienced and inexperienced, have felt the bitter brunt of a PPP gone sour in the picking up of the tab. Second it has unearthed almost an equal amount of claims and counterclaims for this seemingly unequally yoked collaboration between the public and private sector. Third, after review of the various schools of thought, I have concluded that the core principles of the partnership should be value for money, transparency and accountability. Fourth, that many failed PPP projects are evidence of flawed use of PPPs and inappropriate procedures and not necessarily a reflection of PPPs themselves and the benefits they can bring.

Notwithstanding the difficulties in concluding this debate, understanding the tradeoffs between public and private service delivery is critical for Jamaica's policymakers and their advisors. The stakes are high – saving taxpayers billions, protecting citizen's faith in rule of law and reducing the debt already saddled on the backs of our children. The study

has demonstrated that PPPs for large urban infrastructure projects are risky because of their long planning horizons, complexity, the significant financing requirements and the multi-actor decision-making that carries with it many potential conflicts of interest.

What then are Jamaica's primary impediments to project success that this research has identified?

Despite domestic challenges and the need for improvements, largely in the area of PPP policy, the macro environment of the country is not opposed to or at variance with the needs of PPP investors.

From the micro perspective, Soapberry was primarily the subject of poor governance in project planning and implementation. The project has revealed a failure to apply the key value for money principles such as competitive bidding and adequate feasibility analyses. In the final analysis, it is the view of the researcher that the absence of probity, transparency and its counterpart accountability will always lead to projects that fail to deliver, be it conventional procurement or PPPs. Projects not open to public scrutiny and accountability will always present too great a temptation for the tensions between maximizing private/political interests and the public good. It is here that Jamaica's needs are most wanting, and when strengthening PPP 'know-how' we have to pay great attention to what are considered to be the weakest link in the urban infrastructure procurement chain.

SUMMARY 5

Adaptation Responses to Tidal Flooding in Semarang, Indonesia

Author Dian Harwitasari**Country** Indonesia**Supervisor** Dr Jacko van Ast (EUR)

Tidal flooding has been threatening Semarang for many years. It occurs periodically due to high tides. Floods have been causing many problems, especially in the coastal areas of Semarang. The flooding is exacerbated by rises in sea level due to climate change and land subsidence caused by overexploitation of groundwater and the high density of building construction. This combination of factors has led to the prediction that tidal flooding will become more extensive in Semarang and that it will not only inundate the coastal areas, but that it will also affect the outer coastal areas. This state of affairs increases the risks of tidal flooding. Adaptation is needed to respond and to reduce vulnerability to tidal flooding. In addition, adaptation is also needed to deal with and to anticipate the existing and future effects of tidal flooding.

The study has two objectives: first, to define adaptation responses in order to deal with the negative effects of present tidal flooding in Semarang and, secondly, to assess the adaptive capacity in dealing with increasing tidal flooding. It is an exploratory case study based on primary and secondary data. The primary data were collected through observational study, questionnaires and semi-structured interviews. A literature review and contextual data from the Semarang city government provided the secondary data. A sample of 110 respondents was chosen, with 60 questionnaires for respondents living in the area presently subject to inundation, and 50 questionnaires for respondents living in the area predicted to be inundated. The selection of respondents was based on purposive sampling methods. Semi-structured interviews were conducted with the Semarang Water Management Agency, the Semarang Planning and Development Board, the Semarang City Planning Agency, and the Heads of District and Sub District Offices in the areas presently subject to inundation. The findings of the study indicated that tidal flooding occurs periodically in 6 sub-districts of Semarang and has a social, economic and environmental effect on the inhabitants. The inhabitants have been suffering flooding for more than eight years. Usually the flooding

occurs four to nine times a month. Moreover, whenever the flooding occurs, the water rises to 0.5 m within 24 hours. The worst flooding that ever occurred lasted a week and the water rose to 1 m. Together with the city government, the inhabitants in the areas immediately subject to inundation have been exploring the adaptation responses needed to deal with the effects of tidal flooding. They developed some adjustments to their houses and in their neighbourhoods. Meanwhile, the city government views tidal flood management as a part of the flood management policy of Semarang, and it focuses on dealing with river flooding and local flooding. The city government develops planning, management, institutional and also physical measures to address flooding problems. As has been indicated, the flooding in Semarang is predicted to spread to other areas. People in existing and future areas subject to inundation, along with the city government, need to prepare for future tidal flooding and how to cope with its expected effects. The ability to adapt and cope with the future risk of tidal flooding is evaluated according to economic resources, information and skills, infrastructures, technology and access to resources. Such an evaluation will help the people in existing and future areas subject to inundation, together with the city government, to prepare a response to the future risks of tidal flooding. However, the adaptive capacity still needs to be enhanced, especially in order to reduce the vulnerability of people with low incomes.

This research leads to recommendations to improve the adaptive capacity of the city government and the people to cope with the present and increasing risk of tidal flooding. The recommendations include developing Integrated Coastal Management with the aim of protecting coastal areas in line with spatial planning and the flood management policies for Semarang. In addition, the capacity of the community and city government staff needs to be enhanced in the areas of assisting low-income groups to finance their adaptive responses, and they should include the creation of a fund to finance infrastructure offering flood protection.

SUMMARY 6

Reinventing Public Spaces in Community Garden Projects in Berlin and Rotterdam

Author Christina Liesegang

Country Germany

Supervisor Jan Franssen, MA (IHS) - Talja Blokland

This research is an empirical study of community engagement in public urban spaces based on community garden projects in Berlin and Rotterdam. The topic reflects an interest in participatory approaches to urban development that contribute to liveability and social sustainability in urban neighbourhoods. Community garden projects are interesting examples of where citizens get involved in the creation and the maintenance of public or semi-public urban spaces. In most cases empty, abandoned land is used and upgraded and community spaces as well as access to urban nature are created.

The research involves an 'inter-contextual' study of two case study projects in different cities, in order to investigate the universality of the phenomenon of community gardens, which exist in many places all over the world. The research objective is to explore why people get involved in community projects in public space, focusing on the social and place-bound processes involved. The aim is to investigate the meanings of the garden projects to the different participating and non-participating actors and the benefits gained from the engagement.

The central research question is: Which social processes and project features make the organizers, participants and surrounding neighbours understand community gardens as projects that foster processes of place-making and social connectedness?

The main concept investigated is place making. In my definition, based on the empirical results and the theoretical literature, it means the active physical and social appropriation of space to make it a place to meet and 'to be' in, which involves feelings of engagement and a sense of belonging.

The study focuses on so-called community or neighbourhood gardens that are legal or formally recognized and based on grass-roots initiatives and self-organization. They can be defined as incorporating individual but mainly collective gardening activities on an urban site granting semi-public or public access to other users. The two case study projects were selected with regards to these characteristics.

The community garden projects were systematically analysed concerning their place characteristics, social and organizational features, aspects of partnership with public institutions and dimensions such as public versus non-public accessibility and collective versus individual gardening. A topic that was identified to play a crucial role is civic engagement with its different forms and functions.

The research design is characterized by two case studies and three respondent groups as well as by the triangulation of qualitative empirical data sources: semi-structured in-depth interviews, questionnaires, and participant observation. Ethnographical film research is included in the data collection (all interviews were recorded on digital video) and analysis. It is used as a documenting tool, resulting in a research film that is aimed at a broader non-academic and practice-based public.

The data analysis was conducted on the basis of the transcribed interviews, questionnaires and field notes that were coded and categorized. The resulting categories were further analysed concerning their interrelationships based on the methodology of Grounded Theory, resulting in a systematically developed and empirically grounded conceptual model.

This conceptual model comprises all main empirical findings. The findings are categorized into cross-cutting meanings or central features of the community garden projects, specific personal benefits and the overall central concept of place-making. Briefly summarized, the different central features of the garden projects ('to have a place to be', 'to do together /joint activities', 'to create something', 'to be free to leave and to do what you like' and 'to search for togetherness and community') and the personal benefits gained from the engagement define what the community gardens mean in the perception of the respondents. This relates to processes of place-making and the creation of spatial and social ties. Social contacts and networks are created, accessed and used within the project group but also by the users of the community garden project. These processes are inherent to the gardening activity in both garden projects. In the study the findings are related to different theoretical concepts. Place-making in the community gardens is connected to the notion of 'parochial realm territories' (Lofland 1998) and to 'the social production of place' through actions and social relations by the users of (public) space (Blokland 2001). The findings show that appropriation of space can lead to feelings of ownership and belonging. At the same time it can involve unintended exclusionary effects for people who feel like entering a "home territory" when entering the garden.

The developed conceptual model can be used as a tool to understand and analyze community garden projects, especially concerning the conditions for a long term, well balanced and well functioning project. So, it can be applied to the practice of creating such garden projects and to community involvement in public space projects in general.

My findings show that community gardens and the involved place-making processes have a potential for social urban development in practice and the creation of urban place quality. From the analysis of the project approaches lesson can be learned for the functioning of community gardens, for the implications on neighbourhood development and for partnerships between government and civil society organizations. Thereby, this research can make a contribution as an empirically grounded theoretical analysis that can be directly applied in the practice of urban development and management.

SUMMARY 7

The Future of Land Titles in Informal Settlements in Prime Areas:

A Dilemma for residents of Manzese, Dar es Salaam, Tanzania

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Informal settlements in Dar es Salaam accommodate about 70 per cent of its residents. This research is about the effects of formalization of property rights in the informal settlement of Manzese in Dar es Salaam, which occupies prime land. The settlement is located along the Morogoro highway between the Central Business District (CBD) and Ubungo Industrial Area. There are also institutions of higher education within walking distance of Manzese.

The Government of Tanzania embarked on a formalization project with the intention of promoting economic empowerment of the house owners in the informal settlements. The project was expected to enable landowners to use their land as collateral to gain capital to improve their houses and/or start small businesses, and thereby reduce poverty. Formalization does not always have a positive impact on the poor; it can encourage gentrification and thus the displacement of the poor. The poor occupying prime land get squeezed out as land use changes and the land increases in value as a result of formalization.

This research aims to examine how land titling has affected the livelihoods of the poor in the informal settlements occupying prime land. It looks at how the poor are coping with rising land values and the pressure to change land use and to sell their land. The study found that the majority are selling their properties and moving out, giving way to new investments of commercial and office accommodation. This is resulting in a decline in affordable housing for the poor, with tenants being forced into poorer housing conditions if they still want to remain in the area in order to maintain their geographical advantage. Many are moving to the periphery where they have to incur higher transport costs to get to their workplaces and services, others are forced to change their livelihood strategies completely.

Land titling was expected to empower landowners by making it possible for them to get loans to invest in their buildings and in businesses. This has, however, proved unsuccessful,

because financial institutions do not accept Residential Licenses alone, but are more interested in the ability to repay a loan. A borrower must have a vibrant business with a healthy cash flow before a loan is approved. Only 0.03 per cent of landowners have used their Residential Licenses to obtain loans from formal financial institutions.

The study revealed that land titling did not promote a borrowing culture among poor landowners. The poor are reluctant to use their properties as collateral because of fears of foreclosure in the event of their being unable to repay the loan. The study also agrees with De Soto that titling turns properties into tradable assets, but this is limited in informal settlements that occupy prime land, such as Manzese, because in Tanzania the rate of sale and change of land use is quite low.

The research gives some recommendations for further study and on what needs to be done to reduce the adverse effects of formalization of property rights in the informal settlements in prime areas.

SUMMARY 8

Access to Housing Finance by Urban Middle-Low-Income Salary Earners in Kampala City, Uganda

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This research is about understanding the housing finance paradox in Uganda, where the financial institutions claim that they have funds to support salary earners to acquire or construct their own houses, while a number of salary earners claim that they are unable to access housing finance for this purpose.

The main objective of the research was to establish the cause of the current level of access to housing finance in Kampala, particularly by those who qualify for housing finance through having a regular monthly income.

It is the ultimate aim of most adult Ugandans to own their houses. However, the cost of acquiring or constructing a house are so exorbitant that it may take some of them more than 20 years to save enough money to acquire one. In order to do so without taking so long, it is generally accepted that borrowing may be the best way forward.

In Uganda only a small proportion of the population meets the requirements for borrowing from financial institutions, partly due to the low incomes, but also because financial institutions pay no attention to general economic circumstances when designing their credit systems.

This study examines the segment of the population that would otherwise qualify for housing loans and seeks to understand their failure to obtain such financing despite meeting the general requirements.

A desk review of the available literature, especially on the legal framework governing the financial institutions, was undertaken. In addition to this a representative sample of respondents who are employed and earn the minimum amount required by banks to qualify for a loan, were surveyed using a questionnaire. Interviews with some of the financial institutions in Kampala were also conducted.

The study revealed that high interest rates, unattractive housing finance products, limited information on the available housing products, complex loan approval processes,

the complexity of obtaining both the land title and approval for a building plan, all represented major obstacles for obtaining housing finance by the target population.

The study identifies the following as some of the ways by which access to housing finance might be improved in Uganda: The creation of various housing finance products that are customized to accommodate various categories of clients, the creation of a mortgage indemnity fund to reduce the risk taken by financial institutions and hence lower interest rates, and the creation of a guarantee fund by the government as an ultimate safety net in the event of clients defaulting on their mortgage payments and the indemnity fund being unable to cover the payments.

SUMMARY 9

Stimulating the Supply of Rental Housing by Small-Scale Landlords: *The Case in Ayigya, Kumasi*

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Increasing urbanization and rapid population growth has made housing one of the most critical issues in Ghana. Despite the fact that more than half of the population are tenants, the national policy hardly recognizes the value of rental housing as an alternative tenure option. The huge shortage of rental accommodations in the city of Kumasi vis-à-vis demand manifests the failure of the country's housing delivery system.

Ayigya is a suburban area in Kumasi where 65 per cent of the population are tenants and there are very few rental providers. The supply of rental units in the area lags far behind the demand for rental accommodation, and the majority of the rental stock is characterized by overcrowding and lack of basic services.

The small-scale landlord is identified as a private actor with the potential to contribute positively to the supply of rental housing in Ayigya. The main problem identified in the study is that landlords are not expanding their stock, thereby exacerbating the shortage of rental accommodations. This research seeks to understand the nature of landlords in Ayigya and to identify the factors that promote and/or inhibit small landlords to expand their rental stock. The study further aims to select suitable instruments that could be recommended to stimulate greater investment by small landlords.

The study being exploratory, it employed both quantitative and qualitative research instruments, namely a survey, in-depth interviews, case studies and focus group discussions. Surveys were undertaken both with landlords and tenants in Ayigya, while in-depth interviews took place with key actors from the government. A focus group discussion with landlords complemented the survey results. To draw out lessons and successful strategies in support of small-scale landlords, three case studies were chosen on the basis of replicability, success levels and relevance.

The main research findings highlighted that the small-scale landlords in Ayigya are highly interested in providing more rental units, but certain factors are preventing them from doing

so. Most constraints are the result of a lack of a basic framework for a healthily functioning rental housing market, such as: lack of finances, access to affordable serviced land, the high costs of building materials and labour, unrealistic planning and building regulations, inadequate provision of infrastructure, and presence of rent control.

The study concludes that there is a need to remove the constraints faced by small-scale landlords and offer incentives to stimulate new construction by this group. Removal of the control of rent distribution in combination with facilitating access to credits and loans, affordable serviced land, tax incentives and settlement upgrading are a few of the instruments that would enable small landlords to expand their stock. Likewise, there is a need for the Ghanaian government to formulate a national housing policy that recognizes the value of rental housing as an alternative tenure option and an important sector that can positively contribute to addressing the housing needs of the country.

SUMMARY 10

Community Participation in Urban Upgrading Projects:

The Case of Two Neighbourhoods in Nam Dinh City

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Participation is now a very important trend in world development thinking. It has gained the attention of powerful international organizations in their development assistance programmes. Community participation has been said to be the pivotal solution for local governments in conducting their development initiatives regarding poverty reduction, social equality and project sustainability at grass-roots level. However, turning participation policy into practice is not easy because it has to accommodate so many difficulties on the ground related to the participation mechanics, the community representatives – community leadership and local diversity. These are at the heart of the conceptual framework of this research.

A study is undertaken of a pilot urban upgrading project, implemented in Van Mieu Ward, Nam Dinh City. It is targeted at low-income areas with an upgrading package covering identified basic services and technical infrastructure improvements. Based on community priorities, other social infrastructure can be included such as schools, health care, markets, et cetera. As the project's key approach is participatory, the main objective of the research is to learn about the real practice of community participation in the project, in which the attention is focused on four different groups based on gender and their socio-economic situation – poor men, poor women, better off men and better off women, and the benefits each group got from the participatory project and the factors that influenced their participation.

In order to understand the difference in participation of each group, the research method is explanatory. Both qualitative and quantitative study was used to analyse an embedded case study of the Van Mieu Ward project. Surveys, interviews and desk research were used for data collection. In addition, the researcher was able to build upon the resources, including interviews, working sessions and focus group activities of another project with the same topic, to reinforce the research findings. Studying the project documentation,

interviewing key respondents and especially conducting a survey among community members, the researcher find out that the mobilization of community participation is mainly the responsibility of grass-roots staff members, as they have the closest and most frequent contact with the people. They work mainly with the people and are the main channel of communication. Grass-roots staff members have prestige and the support of the people, but often lack professional knowledge and resources, including the necessary tools and skills.

Both neighbourhoods of the research are viewed as low-income areas, but there are differences in housing conditions and economic backgrounds, which explains the differences in the level of project participation. Most of the community members are poor, and for them earning a living is more crucial. Limited education also affects the level of active participation in the project. The better off have less worries about daily life, so they can contribute more to the project in terms of time, material (land) and local supervision. The interesting thing is that the rate of participation in the project is nearly 100 per cent because all of the participants are obliged to make an in-kind contribution. However, the level of collection varies depending upon the differences in each neighbourhood.

Based on the findings and analysis, conclusions are made about the level of participation of each group, the benefits they perceive from the participatory project, and the factors that influence their participation. Recommendations are given on how to overcome current shortcomings, and suggestions based on the local context are made for how to improve participatory implementation in future projects.

SUMMARY 11

Gender and Safety in Public Transportation: *An Explorative Study in Lagos Metropolis, Nigeria*

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Given the importance of the topic it is surprising that apart from studies in developed countries hardly any studies explore the gender perspective of criminal activities in public transportation in developing countries. This study was conducted in Lagos Metropolis (in the south-western part of Nigeria). A questionnaire, field observations and informal interviews formed major research instruments. Data for the study were obtained through primary and secondary sources. The study addressed and discussed the question of how women are affected by unsafe or insecure public transportation services. Safety in the context of the thesis went beyond injuries resulting from accidents or impact of emissions, but in particular focused on injuries, harassment, rape, assaults experienced by women when using public transportation. The study had four objectives including: (1) to theoretically examine the concept of gender, safety and sustainable public transport, (2) examine the travelling environment of women in the study area; (3) identify types of crime experienced by women in public transport, and (4) analyse the need for integrating a gender sensitive transport policy in Lagos.

The study was conducted in four Local Government Areas of Lagos Metropolis. The area was classified into high-, middle- and low-income density, based on the existing status of the residents and population densities. Random sampling and purposive sampling techniques were used to select 95 female users of public transportation and 15 males were chosen as a control group. The collected data were analysed using simple descriptive statistics, such as frequency distribution, cross tabulation, percentages and ratios. In addition, more scientific evaluations such as correlation, regression and factor analyses were done to test the study hypotheses and draw conclusions from the analysis. Findings show that more women than men are afraid of crime when using public transportation and above 70 per cent of women included in the study were victims of serious crime when compared to men. Physical harassment/assaults, sexual harassment, rape, pick pocketing,

kidnapping, robbery, et cetera were common crimes revealed in the study. Women compared to men are mostly affected by all types of crime ranging from pick pocketing to rape or sexual harassment. Findings also show that public transport has 'led to death of innocent ladies who are victims of rituals'. One other implication is that the high crime rate in public transportation is seriously affecting the use of the service and leads to a subsequent loss of income by the service provider. Most criminal activities occur while waiting for buses, okada (commercial motorcycles), et cetera. This finding highlights inadequacy of the design, location and management of bus stops in the study area. Criminal activities in public transportation have unremittingly affected the travel pattern and livelihoods of women. The study indicates that there is an urgent need to address the mobility problem facing most users, particularly women in the study area and in other cities in the country.

Based on empirical analysis some public transportation planning and management policy recommendations for the future were given. These include improving the performance of public transportation services in Lagos and Nigerian cities as a whole as part of regional development policy; the effective design, location and management of bus stops; the establishment of Public Transportation Police; partnering with the private sector in the design and maintenance of bus stops and the provision of other transportation infrastructure, and integrating gender dimensions in transportation planning and management should be an integral part of a national transportation policy.

SUMMARY 12

Empirical Assessment of the Adaptive Capacity of Low-Income Communities to the Impacts of Climate Change and Flooding:

The Case of Ayigya in the City of Kumasi, Ghana

Author Aldrin B. Plaza**Country Philippines****Supervisor Aloysius Bongwa, MA (IHS)**

Environmental studies about the global climate have revealed that human-related activities have contributed greatly to the increase in greenhouse gases, resulting in the increase of global temperatures and finally the global climatic cycle. Although not all disasters are linked to climate change, flooding is one of the most devastating of all disasters. Its increased occurrence has been proved to have a direct link to climate change. In the case of the Ayigya community in Ghana, the lack of measures to adapt and mitigate the impacts of climate change and flooding was identified to be a problem facing the community. Given this, the study aimed at investigating the adaptation and mitigation strategies and measures that exist in Kumasi and in Ayigya in particular, and aimed to evaluate whether there are mechanisms to operationalize such strategies. In addition, the study also sought to determine socio-economic and ecological factors in Ayigya that may be potentially susceptible to climate change and disaster impact. The study focused on the old traditional villages of Ayigya (Ahimbono and Zongo) which has an approximate land area of about 55 hectares. Ayigya is a community with a haphazard development that has been dictated by a demand for low-income rental housing, primarily because of the establishment of the Kwame Nkrumah University of Science and Technology (KNUST) campus right across from its location.

The concepts and cases discussed in the literature review deal with climate change as not just an environmental problem but a development issue that has to be addressed up to the community level. The fact that climate change has now been identified to have social and economic impacts means that communities should be made aware of the activities and practices that exacerbate greenhouse gas emissions that cause climate change, such as the use of firewood as fuel for lighting and cooking, which not only emits carbon dioxide but also contributes to the reduction of carbon sinks. But even more important is adapting to the impacts of climate change, which at this point is considered to be irreversible – meaning

climate change cannot be stopped but its impacts can be alleviated to a certain degree. Specifically, low-income communities, which are the most susceptible to climate change impacts such as flooding and erosion, must have the capacity to be involved proactively in making their communities resilient to these impacts.

The research methodology designed for this study was exploratory. For the primary data, the methods of data collection used here consisted of household interviews, in-depth interviews and interviews with experts, transect survey as a field observation method, and peer discussions. The household surveys were done with 100 respondents selected from the estimated 6,000 households in Ayigya. Observation methods through transect surveys were done to get an initial idea of Ayigya's physical environment. The in-depth interviews and interviews with experts were done to get specific information from selected respondents from the community, the government and academic and research institutions based in Kumasi. Quantitative analysis using the Erosion Potential Method (EPM) to determine the erosion category in Ayigya was also done to verify the results of the qualitative analysis.

The study also examined four international cases related to climate change and disaster impact adaptation and mitigation. These cases were taken from the Philippines, India, Mexico and Kenya. The Philippine case dealt with proactive participation of low-income communities in managing and mitigating disaster prevention and preparedness measures at the community level. The case of India showed how information and communication technology (ICT) tools such as Geographic Information Systems (GIS) can improve planning and decision-making for government officials in order to address development issues such as climate change and disasters more effectively and to accurately develop measures to mitigate them. The case of Mexico not only gave an example of a good Disaster Risk Management (DRM) system, but it also showed the importance of involving and recognizing the valuable inputs of technical experts from academic and research institutions. Lastly the case of Kenya showed how protecting the local economic base, in this case agriculture, can make communities less vulnerable to the impacts of disasters, particularly with regard to their social and economic effects.

The findings of the study focused on three main things – the existing strategies and measures related to climate change adaptation and DRM; institutional mechanisms with which to operationalize disaster preparedness strategies; and the socio-economic and ecological characteristics of Ayigya. From these, the vulnerability for and the potential impacts of climate change and natural disaster were drawn up and the analysis yielded, among other things, the following results – (1) erosion is the most severe environmental problem in Ayigya, which is supported by qualitative data from field and secondary sources and also from the results of the quantitative analysis using the EPM method; (2) Ayigya Zongo is the more socially and economically vulnerable to climate change and disaster impacts compared to Ayigya Ahimbono; and (3) there is an overlapping of functions between several existing government agencies and the governance tools being used are outdated and virtually irrelevant to Ayigya's existing conditions.

The research concluded first of all that the most severe problem in Ayigya related to climate change and disaster impacts is erosion, which is an after-effect of torrential rains and flooding. However, in relation to these phenomena, the strategies and measures on disaster

management in Kumasi are more reactive in nature. On the institutional mechanisms, there are some overlaps in the functions of several agencies involved in disaster management and the common problem faced by all of them is the lack of financial resources and shortages in logistics for conducting field operations. The National Disaster Management Office (NADMO) also has a good organizational structure from the national down to the local level but this has fallen short in Ayigya, where no disaster volunteer group has been established to assist NADMO in on-site operations, particularly in implementing emergency response measures. To address these concerns, several actions have to be taken, both at the level of the Kumasi Metropolitan Authority (KMA) and at the community level, to enhance their institutional capacity in disaster management. Among the things that need to be done are the establishment of the community-based Disaster Volunteer Group (DVG), capacity-building, and the establishment of partnerships with local and international institutions and organizations. In the concept of sustainable development, this study concluded that given the physical, social, economic, and governance issues existing in Ayigya and Kumasi, achieving sustainable development in this case still has a long way to go.

SUMMARY 13

Exploring a Public Service Improvement Initiative: *A Case Study of Citizen's Charter Implementation in Naga City*

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Recent decades have been characterized by important changes at the sub-national level not just in terms of advances in technology but also in terms of administrative and managerial developments. Changes in perspective and in approaches have started to occupy the discourses and debates about urban development and public administration. One such approach intended to bring about reform in public service delivery is the Citizen's Charter initiative, which started in the UK and gained popularity not just in adjacent countries in Europe, and in the Americas, but also found their way to the shores of South Asia and the Pacific. The Citizen's Charter is a document that spells out the entitlements of citizens in their transactions with governments. It outlines the process of the services offered by a public organization and provides guidance on the standards by which such services should be delivered.

This research aims to explore the factors associated in formulating, implementing and institutionalizing a Citizen's Charter and to determine the extent of its influence on transparency, accountability and the quality of public services. A case study was undertaken in the city of Naga in the Philippines, based on a survey of the government officials offering the service and a survey of its clients. Respondents were from the Local Civil Registry (LCR) and the Business Permit and Licensing Division (BPLD). The research also used informant interviews and focus group discussions with selected key implementers and stakeholders. The desk review and fieldwork findings reveal the following points that address the research objectives and main research questions.

There is no single or most important and comprehensive strategy or approach that is useful for all stages of the Citizen's Charter programme. Analysis, however, would suggest that certain factors appear more dominant in distinct phases of the Citizen's Charter. When a charter is being conceived, the chosen institutional structure was found to be pivotal during the crucial activities associated with the formulation of the charter. In the implementation

phase of the charter, the most important issue is the accessibility of information concerning the charter to a wider public. Often this tended not to perfectly correspond to the ways by which the target audiences were reached. While, indeed, it was commendable to have made a start with digital access to get in touch with the different segments of the audience, it was evident that face-to-face consultations with people at the service window was still the most frequent source of information for clients. Capacity building, on the other hand, was found to be effective for those who have attended the training sessions. However, concern remained about the rest of the members of the organization, who may still have required some programme skill enhancement to improve their performance in their jobs. In the institutionalization phase of the charter, it was found the local and national legislation was more than sufficient to guarantee the charter's sustainability. However, the findings indicate an absence of a systematic evaluation of the Citizen's Charter, despite the fact that it had already been running for almost a decade.

There was a conscious effort on the part of the city government to be open and transparent. This is reflected in the way they publicized the charter, both in book form (Naga City Citizen's Charter) and electronic form (NetServe), but as far as awareness of the citizens is concerned these efforts may not have been sufficient. Clients surveyed in the study indicated that the requirements were clear and comprehensible. Nevertheless, there was an absence of a clear explanation of the procedures and processes involved, such as the fees and charges applicable. The provision of information based on clear standards about what can be expected from the services provided by city government was missing.

The accountability mechanisms established in support of the I-Governance Programme, of which the Citizen's Charter is an integral part, are innovative and pioneering, but not all of them are fully operational. There are a number of avenues through which citizens can express misgivings and feedback to the city government. IT-based facilities include open phone line/Text to the Mayor; TEXT Naga; the Community Forum on the city's official website; and a conventional feedback form or letter to the city government. The option Text to Mayor seems to work very well at present. It is received directly by the local chief executive. The least effective option is the feedback form that is attached as an appendix to the Naga City Citizen's Charter. There was no explanation of complaint procedures on the premises of the city hall, although they are found in a published form in the charter. The complaints or feedback received from all these sources are dealt with independently by the offices concerned. Complaints are checked, employees are reprimanded if appropriate, mistakes are rectified and an apology is sent to aggrieved clients, either by the desk officers themselves or by the head of the office. However, there is no provision for compensation to appease dissatisfied clients.

Both clients and employees are positive about the quality of the services being provided by the city government. Information about services are generally accessible because of its availability on the Internet, however, the issue is no longer about the content, but rather about the distribution of the Naga City Citizen's Charter to all households in the city. Services are predominantly accurately described and the willingness of the city to be corrected is welcomed. A large majority of clients appreciated the courtesy, friendliness and willingness to help displayed by government officials. Clients considered the waiting

rooms to be comfortable, although department heads considered this an area for potential improvement when viable. Clients felt that they were being fairly treated without any discrimination. Although rated less highly, the perception of the timeliness of the service rendered was still positive.

The research highlights how a Citizen's Charter for a city's service delivery can transform perceptions regarding the transparency, accountability and quality of the service being offered.

The results of the desk review and fieldwork clearly point out the need to explore innovative applications to sustain the gains of institutionalizing the Citizen's Charter, especially given the fact that it is now embarking on its ninth year of implementation. Practical recommendations and considerations are included at the end concerning the following themes: City Government Processes/Transparency; City Government Output/Accountability; and City Government Service Quality.

SUMMARY 14

Assessment of the Implementation of the Spatial Plan as a Tool for Disaster Prevention:

The Case of Banda Aceh, Aceh Province, Indonesia

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The lack of attention paid by all stakeholders to the implementation of spatial plans as regulatory instruments with which to guide the location of development has resulted in an increase in the number of disasters affecting Indonesia.

This very dilemma also applies to Banda Aceh. Ineffective regulations controlling development and a failure to comply with the stipulations in the master plan concerning reconstruction projects in Banda Aceh have created a situation that leaves several challenges and problems unresolved. In order to minimize the impact of future disasters, the local government of Banda Aceh replaced the previous spatial plan, revising it and incorporating mitigation measures into the present spatial plan (RTRW 2006-2026). There is a need to assess the effectiveness of the implementation of the present spatial plan and its ability to minimize the impact of future natural disasters in the Banda Aceh municipality.

This exploratory research includes surveys as the main research method. To obtain primary data in-depth interviews were undertaken with 11 key respondents, supplemented by a semi-closed questionnaire done with 45 respondents in three selected villages in Meuraxa.

The study found that there are nine mitigation measures proposed in the Banda Aceh Spatial Plan, including escape routes, shelters, open space, buffer zones, restrictions on development zones and the creation of new development zones in order to minimize the impact of future disasters. It was also noted that several infrastructure plans have been implemented by the government to support disaster management activities. However, not all activities had been successfully implemented, such as the provision of a mangrove plantation as a buffer zone. This was due to a lack of support from stakeholders and limited financial resources.

The study revealed that one of most important management problems affecting the implementation of the spatial plan is the decision to apply the situation on the ground as a legal basis for issuing the building permit, rather than giving a temporary legal sanction

in anticipation of the approval of the new spatial plan. As a result, this legal quagmire has created numerous deviations from what is stipulated in the spatial plan, with the need for investment and the wishes of the community often used by the government to justify such deviations.

It is also evident that the decision to legalize all properties built before disaster mitigation measures had become key indicators in spatial planning policy shows a certain policy inconsistency within government relating to its aim of achieving a safer city.

Finally, there is a lack of awareness because the government failed to include socialization and community participation as part of the planning process for the spatial plan. The communities in the three selected villages of Meuraxa sub-district are simply not aware of the existence of the spatial plan, which also explains why they are not in compliance with any of the permits and regulations given therein. Therefore, from the above mentioned findings we can conclude that the present spatial plan may not effectively alleviate future impacts of natural disasters in Banda Aceh.

SUMMARY 15

The Use and Meaning of Residential Open Space in a Multicultural Residential Area:

The Case Study of Afrikaanderplein, Afrikaanderwijk, Rotterdam

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This research is an exploratory, qualitative study that attempts to capture issues regarding the use of public open space (POS) in a multicultural residential area and the meanings given by users in the example of Afrikaanderplein, a POS located in Afrikaanderwijk, Rotterdam. The research starts from the basic position that, to understand the use and meaning of a residential open space, it is necessary to understand the relationship or relatedness between the physical space and social life of targeted or existing user groups. The relationship or relatedness between physical space and social life, then, can be explored by looking at its spatial characteristics and its utilization patterns.

The research objective is to find out the use and meaning of Afrikaanderplein by looking at the relationship or relatedness between physical space and social life, through the identification and 'juxtaposition processes' of its spatial characteristics and its utilization patterns. This also includes the identification of the influential factors that may contribute to an increased use of Afrikaanderplein. For the research, a series of observations and interviews with targeted user groups were undertaken to find out the relatedness between physical space and social life from two different perspectives, while at the same time the approach regarding provision and management of POS is also analysed so as to understand the perception of a good POS from the provider's perspective.

The main findings of the research are: (1) there is a relationship between physical space (spatial characteristics) within Afrikaanderplein and social life (utilization patterns) for specific user groups – children, the elderly, and women – but not for a group of teenagers, which is shown by less intensive activities undertaken by this particular group in almost every space within Afrikaanderplein, except in 'Plein 3', compared to the other groups; (2) the perception regarding Afrikaanderplein as a good POS depends more upon a common agreement on accommodation to specific needs and interests based on lifecycle phases and based on the stakeholders' points of view rather than on the cultural values and norms of

users; and (3) the problem regarding the use of Afrikaanderplein exists both in the domain of spatial characteristics (which is shown by no particular place for teenagers as one user group) and also in the behavioural setting of the user groups (particularly teenagers). The behavioural setting is an influential factor that affects the way users use and perceive space in Afrikaanderplein.

This research supports the idea that space is subject to different interpretation and it acquires multiple meanings through social processes of development, exchange and individual and collective use. It also supports the idea that space is not just a constantly transforming product of a social process, but it also has an impact on (collective and individual) social processes, which in the end affect the process of giving meaning to a particular space. In the case of Afrikaanderplein, space is the physical determinant which affects the activities that occur in the square, which also means it affects the social process. At the same time, multilayered meanings of space within Afrikaanderplein are socially constructed, individually and collectively.

SUMMARY 16

Incorporating Informal Construction: Urban Planning in Belgrade and Proposals for Changes

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In a rapidly urbanizing world, with more than half of the human population living in cities, informal construction is growing by a rate that is equal, or even exceeds, that of the planned growth of urban areas. Except in a number of developed countries, it is the predominant method of urban development in the world. The existence of large urban centres creates the conditions for the appearance of informal construction. Therefore, it is a very urban phenomenon, indivisible from urbanization. It is an alternative way of urbanization.

However, planning as it is practiced today is not able to explain, recognize or accommodate this phenomenon, thus rejecting it and declaring it 'illegal'. It is obvious that something must be changed in planning, since half of the urban population is currently outside its horizon – their needs, demands and practices are not accommodated in the planning system. The approach that would recognize this alternative way of urban growth – alternative because of the current rules of the game, but equal by numbers – should be introduced in planning in the developing countries in order to overcome this bizarre situation.

This research focuses on informal construction in Belgrade, the capital of Serbia. According to unofficial estimations, one third of the housing stock of the city is constructed illegally.

This paper reviews global knowledge on informal construction and existing approaches towards the problem, and in parallel gives an overview of global trends in planning theory. Further types of informal construction are distinguished, according to the different needs that are their driving force. The overview of Yugoslav and Serbian planning practices – planning rationality, models and systems – are described, with a focus on current planning in Belgrade. Different planning models are related to different types of informal construction, in order to demonstrate the direct relationship between them.

The research also uses data obtained through interviews with eminent Serbian experts from the areas related to urban management and summarizes their proposals for necessary

changes in the planning system. The information from the interviews is compared with the literature review.

In the final part, the paper offers an alternative to current planning practice that would enable a different approach towards informal construction (and urban development in general) – a different rationality – and accordingly changes in the planning model (planning doctrine). The possible future changes in the planning system – institutional arrangements, territorial organization and regulatory framework – are briefly described, as one possible result of changes in the model, and not as an absolute solution. The conclusion is that the approach to planning has to be changed in order to make any systematic, sustainable change possible.

SUMMARY 17

Perceived Impacts of Tourism-Oriented Urban Historic District Revitalization: *Case Study of Yangzhou, China*

Author Yunpeng Zhang**Country P.R. of China****Supervisor Dr Alexander Otgaar (EUR)**

Heritage tourism has been promoted by many city governments to revitalize declined urban historic districts; however, the impacts have rarely been explored. Existing literature is biased towards rural destinations, rural populations and negative impacts, which has limited the findings that apply to urban historic districts. The three reasons for undertaking this research were: the lack of academic research on the topic, existing evidence of unsustainable cases in China, and China's unique political and economic context. The research aims to contribute to existing knowledge by exploring the impacts of heritage tourism on urban destinations and urban citizens in a developing country. Through a thorough understanding of the impacts, sustainable heritage tourism development might be achieved.

Based on an extensive literature review and the proposed framework a mixed-method approach with qualitative methods (in-depth interviews, observations and travelogue analysis, et cetera) and a quantitative method (surveys) was adopted during the research. In-depth interviews were conducted with five major groups of stakeholders, namely government officials, conservationists, tourists, residents and entrepreneurs. Other qualitative methods such as site visits and travel with tourists were also used in the research. Results from qualitative methods were used to identify how different stakeholders perceive tourism development in the host community and were triangulated with the findings from quantitative methods. Surveys were used as the main method in the research. Based on the survey data, many statistical analyses were performed to understand how the residents, the main beneficiaries, perceive heritage tourism development in their community.

According to these analyses, the research identified that (1) government played multiple roles in heritage tourism development, which may exert both positive and negative impacts on the host community; (2) development-related impacts were the major motivations for the government to promote heritage tourism development, but there are also some intangible benefits; (3) the contribution of tourism development to urban advancement and economic

development was recognized by the residents, but at the personal level they do not receive actual economic benefits; (4) residents who perceived positive social benefits from tourism development were correlated with physical improvements and many of the negative social impacts were not obvious to the host community; (5) significant variances exist among residents with regards to cultural impacts; (6) tourism impacts on the natural environment have not been apparent so far.

Two clusters of residents were differentiated through cluster analysis based on their social representations of tourism impacts. These two clusters both revealed ambivalent perceptions of tourism impacts. However, the first group was more concerned about social impacts and macroeconomic benefits while the second group put more of an emphasis on personal economic benefits and cultural issues. Three variables were found to be significant for determining cluster memberships, namely: Yangzhou citizenship, political party membership and satisfaction with government performance.

Four variables were considered as predictive variables in influencing residents' perceptions, namely socio-demographic factors, place attachment, perceptions on participation and political self-identification. Sixteen indicators emerged after operationalization and factor analysis, of which only four were confirmed as significant for predicting residents' attitude towards future tourism developments. These four indicators are: place attachment based on emotional attachment; place dependency and self-identity; satisfaction with government performance and perceptions on participation in relation to sharing benefits.

Based on the above analysis, five recommendations were posited for achieving sustainable heritage tourism development: (1) create more real personal benefits to local residents, (2) preserve and maintain a way of life, (3) monitor the commercialization process, (4) move from result-oriented to process-oriented goals, and (5) encourage a wider and more active community participation.

SUMMARY 18

Integrating Transport and Land Use Policies for Sustainable Development: Theory and Practice:

A Study of the Suburbs of Addis Ababa, Ethiopia

Author Anteneh Getnet Dagnachew

Country Ethiopia

Supervisor Dr Harry Geerlings (EUR)

Mobility became a major issue in Addis Ababa following the enormous expansion of the city as a result of the rapid population and income growth. Although studies were conducted to understand and solve the problems related to motorized transport in the city, most of them focused on the orthodox approach of improving the physical infrastructure of the transport sector to enhance the service provision by constructing highways, extending road networks and increasing the size of the public transport fleet. However, the problem proliferated and has reached a critical level.

This study approaches the problem from a different perspective; designing the city in a transit friendly manner by integrating land use and transport policies. The aim of this research was to explore the necessity and possibilities of integrating land use and transport policies to assure a sustainable development of the city. Interviewing the authorities involved in the formulation and implementation of land use and transport policies in the city was the main research instrument used. Interviews were conducted with seven authorities in the Addis Ababa City Administration and the Federal Transport Authority, together with a senior researcher in similar areas. In this qualitative research, observations and desk studies supported the results of the interviews.

The initial hypothesis of the research has proven to be accurate, since the land use and transport authorities do not recognize the impact of one on the other as validated by the increasing pressure on the public transport system resulting from the enormous horizontal expansion of the city. However, it was the main finding of the research that most of the activities in the city are governed by informality. Moreover, other factors, including market force and politics, are highly involved in determining the urban structure of Addis Ababa. Therefore, despite the need for integration of land use planning, transport policies and environmental concerns for sustainable development, the focus on policy alone would be narrow and nugatory.

SUMMARY 19**Livelihoods and Coping Strategies:***A Study of Female-Headed Households in Mekelle, Ethiopia***Author** Tsehay Weldegiorgis Tesfamariam**Country** Ethiopia**Supervisor** Marijk Huijsman, MA (IHS)

This study explored the livelihood situations of female-headed households (FHHs) in Mekelle, Ethiopia. DFID's SLA framework was adopted as the theoretical foundation of the research. However, a few adjustments were made, such as the inclusion of political capital as a separate asset and mental capital as a component of human capital. A case study approach was used and qualitative and quantitative data gathered from primary and secondary sources. The principal objective of this study was to gain better understanding of the livelihood systems, and to identify the most important assets and institutions for the livelihoods of the FHHs, therefore exploring policy issues of relevance to female-headship and poverty.

War, drought and famine are among the main features of poverty in Tigray. Gender gaps in access to productive assets and differences in access to employment opportunities are also common factors. Moreover, women are stigmatized and the conservative belief persists that women belong to and are dependent on men; therefore, they are confined to traditional household roles. The dependence of households on only male financial sources predominates. Mekelle is the capital city of the region and houses nearly 45 per cent of the FHHs, of which the majority are poor. There are several causes for female-headship: widowhood, separation, divorce and the deliberate decision on the part of women for independence and emotional security are among the many factors.

Despite the lack of regular employment, FHHs energetically seek other alternatives for survival. FHHs either run informal businesses or are engaged in casual work to diversify income sources. They use family labour as a means for securing financial capital. A majority involve their children in income-generating activities as an important supplementary source of financial capital. Their houses are an important location for domestic businesses.

Social capital among FHHs is strong; they share information, ideas and livelihood resources to build their assets and cushion shocks and stresses. Relying on neighbours and kinship ties

is also used to mitigate financial constraints. Foremost, FHHs are well-informed concerning the role of political capital. They are active participants in CBOs and politics to increase their asset base and affirm their rights. The income-generating interventions and assistance from NGOs, Women Association of Tigray (WAT) and the Mekelle City Administration (MCA) are important for their livelihoods. Using political capital, they influence policies and laws and they access benefits such as training and credit facilities to diversify their sources of income.

It is difficult for FHHs to thrive, however, because of their limited assets, especially human capital, decent housing, infrastructure and access to social organizations. The majority of the livelihood strategies are aimed to survival and have minimal potential as far as the accumulation of assets is concerned. Primarily, FHHs feel discontent with urban life and experience a sense of helplessness and vulnerability.

The results of the survey reveal striking differences in asset endowments between the two types of households. Firstly, MHHs are in a better position than FHHs in terms of attaining higher levels of education, especially university degrees. Also, FHHs have more dependents and low male labour support compared to the MHHs. Therefore, at the household level, FHHs are constrained in terms of human capital, which has a negative influence on their ability to raise financial capital. Secondly, the majority of MHHs live in higher quality dwellings compared to FHHs, with two or more rooms per household and improved internal and external housing conditions. Therefore, FHHs' ability to use their housing as a venue for domestic business is restricted. Thirdly, the majority of the sampled MHHs rely on a regular monthly income from salaried employment, whereas the FHHs depend on irregular sources. Finally, FHHs survive under a limited set of social bonds compared to the MHHs, due to the fact that they are not members in social organizations operating in the city whereas the majority of the MHHs are members.

Hence, the FHHs are in urgent need of integrated intervention in many respects. Investments in social and economic infrastructure seem to be the most pressing interventions. They help to augment human capital and labour productivity as a venture to improve financial capital, build other assets and break the inter-generational transmission of poverty. They also create residual employment opportunities for less qualified individuals such as FHHs. Assistance given to the FHHs should be that of enabling them to become better breadwinners and climb out of dependency.

Moreover, the provision of need-based training and credit for empowering FHH informal sector operators can be an important way out of reliance on assistance. Finally, designing tighter policies for equality in order to eliminate the subjection of women to inequality is worth noting.

One of the conclusions of this study is that very little is known about the non-economic and psychological consequences of the conditions of female headed households on those directly involved and what this might mean for poverty in Ethiopia.

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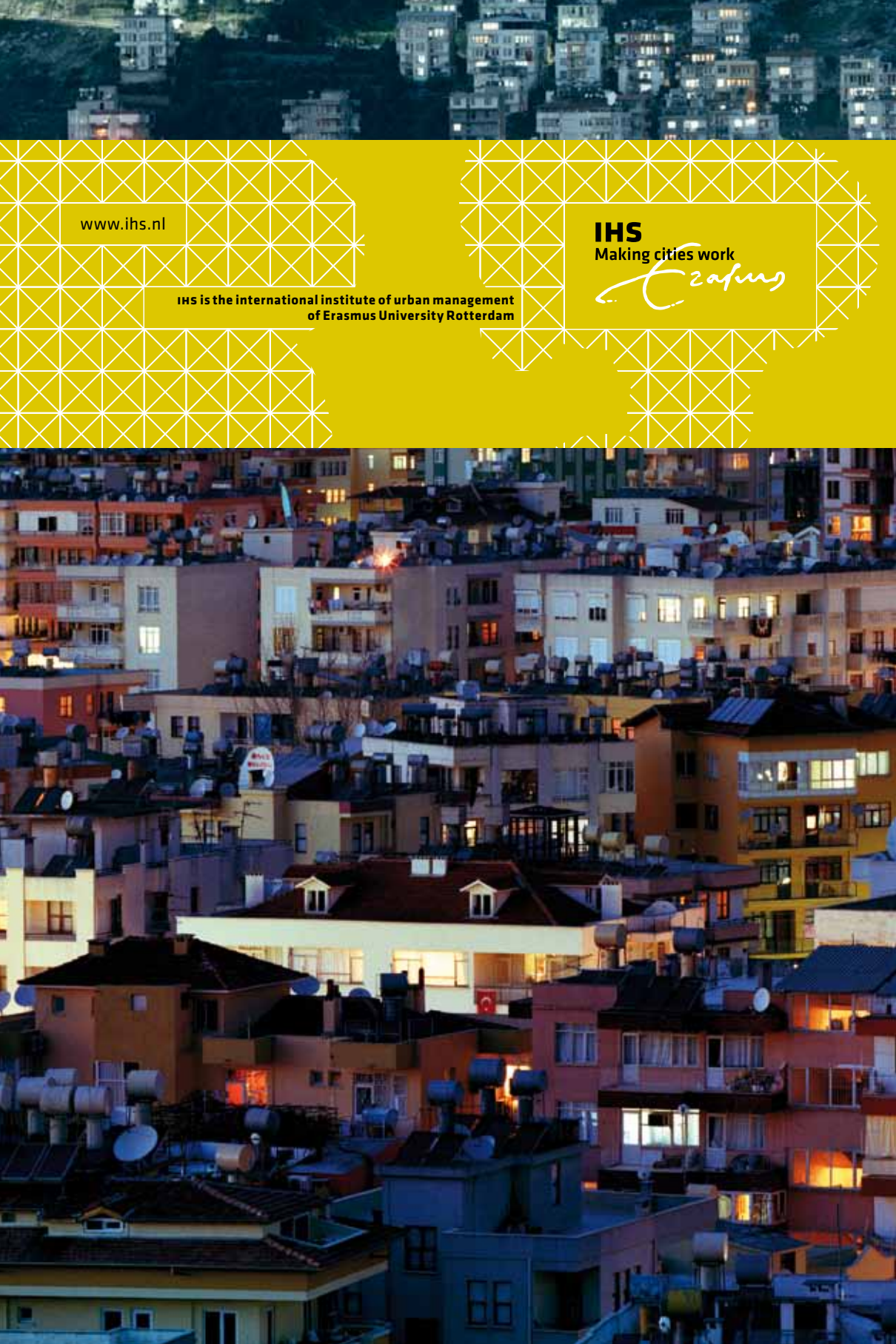
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