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The Development Planning Unit  
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Diary

# dpu news

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**Rural-Urban Encounters:  
Managing the Environment of the  
Peri-Urban Interface**

held at the DPU, November 2001



# focus on

## WHY CITIES NEED SLUMS

Just as slums need cities to survive, so do cities need slums to thrive

by Babar Mumtaz, Reader in Housing Studies at the DPU



Anna Soave

"Slum" is a very sticky word. It's short, simple and difficult to replace. As a result, it is, more often than not, misused in the context of cities in developing countries. A slum is a housing area that has deteriorated. It was originally applied to those parts of cities that were once respectable, even desirable, but which have gradually deteriorated as the original residents moved out to newer, better areas of town. The once "respectable" houses became rental properties, with the accommodation modified to house an increasing number of occupants. Thus a four-storey family mansion became four "flats", with each room housing one or more family members. Generally, as the living accommodation gets subdivided, the services remain the same. The kitchen and the bathroom become shared. As the property gets overloaded and overcrowded, its rental value goes down, and especially if rent controls are enforced, the rents are no longer enough to justify repairs. Thereafter, the building goes into limbo, living out a slow death. In some cases, its fortunes may revive, if the area then becomes a target for artists and architects who can spot a bargain lurking behind the makeshift partitions. If conditions are right, there may even be a general overhaul of the area as part of an urban renewal programme. These are the slums that all cities have had to deal with. These are the slums that Engels wrote about in England over a hundred years ago, a direct outcome of the industrial revolution, and which justified government involvement in housing, and the introduction of building control regulations and planning laws. These are the slums that we would all like to get rid of. However, there is another form of housing, especially -but not limited to - cities in developing countries. These are the "informal settlements" that house migrants to big cities. Often on the edges of the built-up areas, they provide accommodation for those that cannot afford -'and are not entitled' -to live in the housing provided in the planned

settlements. In each country, there is a name for them: bidonville, katchi abadi, bustee, favella, barrio, kampung, that reflect either their rural character or material status. There is no acceptable generic term for these dwellings. Informal settlements may be accurate but is not only a mouthful but not expressive enough for many. Often, the land on which these dwellings are built does not belong to the residents. Yet it would be inaccurate to call the residents squatters as many of them have title or rights or are paying rent for the land or the structure. Unfortunately, we tend to lump this type of housing together and refer to it as "slums". Not only are they different in origin, character and the role they play in cities, the type of response needed to deal with them is also different. It would, of course, be too much to ask of those who profess a concern for cities and their housing areas to be selective about the term they use, and we will have to make do with "slums" as the catchall. I will try to distinguish between the upwardly mobile informal settlements and the static or deteriorating slums, but insisting upon it may well be thought unnecessarily pedantic.

### Are slums inevitable?

All cities have their slums and their informal settlements. Their extent, proportion and character vary not merely with income level but also with the socio-political or legislative environment and law-enforcement regime. Ironically, it is not so much the absence of a legal framework and its application that leads to slums and informal settlements; its very presence can frustrate efforts to prevent and prevent their formation and growth. In my opinion, slums are not only inevitable, they are a mark of success of a city. The formation of slums is an integral part of the process of growth and development of a city. Only in a static (stagnant?) city does the state and status of

its constituent parts remain unchanged. This is not to say that each part of a city must go through a cycle of development, deterioration and renewal, but that at any given moment of time, there are parts that have seen better days, and parts that are being newly developed or renovated. The extent of deterioration is, of course, relative, and the worst "slums" of a city may still be better than most parts of many. The decline and renovation of some cities may be piecemeal and hardly visible on the outside or to outsiders, and an area may continue to be held in esteem even as properties within it are gutted and remodelled, while retaining their facades.

**slums are not only inevitable, they are a mark of a city's success**

However, the slums most people are against are the large-scale deterioration of structures, infrastructure and living conditions. Though not inevitable, these usually only come about in dynamic, rapidly changing cities. Thus while we should deplore the conditions in slums, we should see their formation as an indicator of urban success. They play a useful role in providing cheap (though not necessarily cheerful) housing for those who cannot or, as likely, will not, want to spend any more on housing than they possibly can. These areas in transition can facilitate migrants in the process of consolidating their transformation into citizens. Insisting on a "city without slums", especially when no alternative housing has been developed, can mean even more hardship for the very group that is so essential to urban development: the rural migrant. In most cities, the fight against slums is directed against informal settlements. Informal settlements come about because the price and the rate and scale of provision of formal settlements cannot match the demand for housing. To a large extent, this may be a failure of the formal sector, but it is also a consequence of the success of the city relative to other settlements or the rural areas.



Just as slums and slum dwellers need cities to survive, so do cities need slums to thrive. With large numbers competing for work in cities, it is easier to pay low wages. However, a worker still needs to live, and without the informal settlements, the minimal

long as gross wage disparities exist (making it possible for cities to employ cheap labour), slums are here to stay.

most poor households manage without one. Similarly, don't pay the private sector, or provide it with incentives, to provide housing or housing finance for low-income residents.

- Use the funds to ensure a living wage.
- Reduce building and planning controls and regulations. Instead, increase facilitation and information. The more control there is, the more likely it is that someone will be using it to extort money.
- Use the power of incentives rather than penalties to assist and guide development.
- Use consultation instead of confrontation and use collaboration instead of compulsion.
- Be flexible and creative, and be prepared to make use of serendipity.
- Learn from informal settlements about standards, layout, land development and infrastructure provision. Participate in the process of creating informal settlements and facilitate their growth and development.

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Pat Wakeley

acceptable salary would really hit the pockets and the profits of the rich. In over 150 years of trying, we have yet to come up with a viable alternative. At best, the formal sector manages to house between 20 and 40 per cent of urban households. The rest manage not only without access to government handouts and subsidies, but despite the obstacles and barriers put up by government bureaucracy and law-

### use the power of incentives rather than penalties

enforcement agencies. Those who are against slums, often act on the NIMBY (not-in-my-backyard) principle. They are against the apparent chaos (read dynamism), disorderly layout (read organic), ramshackle, makeshift construction and lack of services (read rural) and the fear that these settlements are the breeding ground for crime and prostitution (read exploitation). In fact, like other informal sector activities, informal settlements take advantage of the failures of the formal sector and use sweat equity instead of money to create a living environment, however marginal.

I have yet to hear those wanting to get rid of slums and informal settlements make a plea for wages that allow affordable housing as a solution. Yet it was exactly this solution that was responsible for getting rid of the slums in cities such as Manchester and London. As

### So how do we cope with the reality of slums in our cities?

Following are some pointers:

- Recognize the city's need for migrants and make good use of their energy, drive, enthusiasm and willingness to make a new and better life for themselves, thereby enriching the city at a very low cost to itself.
- Recognize the needs of migrants: their housing needs are minimal compared to their need for income and employment. This allows for the incremental development and gradual improvement of settlements without front-loading them with excessive infrastructure and construction costs.
- Support the transformation of informal settlements. All informal settlements gradually improve over time if they are not "eradicated", but some do so faster and better than others. Provide the support required to speed up the process, by providing access to financial, organizational and technical information and sources.
- Don't worry about providing land titles - the poor don't borrow from institutions that require them. "Entitle" the urban poor with the right to settle and recognize the settlement. If the settlement is in the "wrong" location, make this clear at the very beginning. Better still, indicate the "right" locations and attract settlers to them.
- Don't worry about providing subsidies; not only do they end up with the better off,

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For more information on the topic on the WWW:

[http://www.worldbank.org/html/fpd/urban/urb\\_pov/slumupgr.htm](http://www.worldbank.org/html/fpd/urban/urb_pov/slumupgr.htm)

<http://www.unch.org/whd/edmessage.htm>

<http://www.gdrc.org/uem/squatters/squatters.html>

# research on



[www.ucl.ac.uk/dpu/research.htm](http://www.ucl.ac.uk/dpu/research.htm)

## Participatory action plans development for Natural Resources Management in the Peri-Urban Interface in India & Ghana

In March, **Adriana Allen** went to Hubli-Dharwad and Bangalore (India) to launch a new project. The purpose of the project is the formulation of three plans of action for the management of natural resources in the peri-urban interface of Hubli-Dharwad. These will be developed by engagement of a wide range of stakeholders from peri-urban villages, government offices and similar organisations, NGOs, universities and local businesses, in participatory style meetings including diagnostic workshops and working groups. The action plan formulation process will be observed, recorded and analysed to enhance the understanding of appropriate



Adriana Allen

mechanisms for fostering interactions, creation of enabling environments for diagnosing issues, and identification and resolution of conflicts of interest. The project is being coordinated by Rob Brook from the University of Bangor and includes a group of experts from different disciplines, most of them with extensive experience in natural resource management in rural areas. Partners in Hubli-Dharwad are the University of Agricultural Sciences - who also worked in the Environmental Planning and Management (EPM) for the Peri-Urban Interface project (PUI); two local NGOs (India Development Service and BAIF), who have a long term working experience at the village level; and Best Practices Foundation (BPF), a Bangalore-based NGO, who will be recording and documenting the action planning process. BPF, directed by Sangeetha Purushothaman, has also worked with the DPU in the last few months, documenting the dissemination test of the

EPM guidelines in Hubli-Dharwad. The purpose of this first visit was to meet the local team, discuss the approach and techniques to be adopted, select the villages that will take part in the process and define the working agenda for the rest of the year. As part of this, there was a series of meetings and training sessions, several visits to the villages selected in which the project was introduced and group discussions with men and women in each village. The action planning project is structured in

for funding for their implementation over the next three years.

There is a good deal of continuation between the EPM for the PUI project and this new project. The villages included in the EPM/PUI dissemination test will be part of the action planning project and the resource materials produced and tested for the project will be used to build rapport in another four villages which will also be part of the current planning process. The continuation between the two projects also allows for the

Adriana Allen



Adriana Allen



four stages: 1. rapport building (at the village and target institutions level); 2. situation analysis at the village level (using several PRA techniques); 3. definition of action plans (through a series of planning workshops with representatives from the villages and target institutions); and 4. follow up and consolidation (documenting and reporting, capacity building of the local team, institutional mainstreaming to ensure sustainability of the action plans and dissemination). The action plans resulting from the process will be submitted to NRSP

consolidation of the local team. Adriana notes: "It is interesting to see that the same NGOs which claimed three years ago that they were only interested in rural development, are now taking a lead on producing action plans that address the interactions between rural and urban areas". In Ghana, **Michael Mattingly** started the project working with an NGO on their proposal to carry out a participatory action planning process for natural resource management at the peri-urban interface of Kumasi, the twin of the Hubli-Dharwad project. The significant difference is that the H-D project is led by a UK based team while in Kumasi a local NGO is leading the project, with only a very small component from the UK. This is an important step forward for the NRSP in its efforts to build capacity in the countries where its research is conducted and to make the research more demand driven.

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## Planning by Communities in Peri-Urban Kumasi

In October 2001, **Michael Mattingly** returned to Kumasi, this time to conduct a mid-term review of the research project on behalf of DFID's Natural Resources Systems Programme. Michael writes: "In this project, local peri-urban communities are producing action plans to better manage natural resources so that poor people benefit. Follow-up projects will implement aspects of these plans in pilot projects to test the knowledge of peri-urban livelihoods and production systems, the process of community action planning, and the natural resource management strategies of the plans themselves. Interesting points are:

1. After 6 years of assisting studies of their production systems and livelihoods, the communities involved are at the end of their patience. They want tangible benefits. Three communities did not have sufficient interest to continue participating in the project.
2. The NGO leading the project obtained good results by training 2 or 3 facilitators from each of the communities enabling them to transfer knowledge of peri-urban production and livelihoods. In addition to leading the action planning, these facilitators are being used as a resource by elders, chiefs and the ordinary villagers."

## Fishing and farming in Peri-Urban Calcutta

In the following month, **Michael Mattingly** again performed a DFID-funded mid-term review, this time of a research project in Calcutta managed by the DPU, in association with Imperial College. This project studies the production of extensive sewage-fed fish ponds and garbage-fertilised agriculture (some of it sewage-irrigated) to the east of Calcutta and the livelihoods of poor people dependent on these production systems. Cutting through all of these is the search for better understanding of the peri-urban interface: most obviously the increased pressure to build on the ponds and fields as the city grows, with a consequent negative effect on production of fish and vegetables to feed Calcutta's people, especially its poor. The project's immediate aim is to disseminate understanding among key agencies of government and civil society, so as to better inform the growing debate about the future of these wetlands and possibly formulate plans of action to improve management of the natural resources that will benefit the poor.

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# publications

**Davila Julio**, 2001, "Los Alcaldes Mayores y la gestión de Bogotá, 1961-2001" (co-authored with Alan Gilbert), *Territorios No. 5* Universidad de los Andes, Bogota

**Davila Julio**, 2002, *Urban Poverty Reduction Experiences in Cali, Colombia: Lessons from the Work of Local Non-profit Organisations*, IIED, London. The document can be downloaded as a pdf file:  
[www.iied.org/rural\\_urban/downloads.html](http://www.iied.org/rural_urban/downloads.html)

In December 2001, **Julio Dávila** and **Adriana Allen** were commissioned to produce a Special Chapter on Urbanisation and Agriculture in FAO's flagship annual publication, *State of Food and Agriculture 2002*. The chapter, with case studies and examples, builds on the DPU's successful programme of research on the peri-urban interface (PUI).

## New DPU Working Papers

**No 118:** *The Missing Element: HIV/AIDS in Urban Development Planning. Reviewing the South African Response to the HIV/AIDS Epidemic*, **Miriam Van Donk**, 2002.

**CALL FOR MATERIAL:**  
following the success of last year's *Implementing the Habitat Agenda: In Search of Urban Sustainability*, the DPU is producing a new publication focusing on how the Habitat Agenda is contributing to the implementation of Agenda 21. The publication, commissioned by the Infrastructure and Urban Development Department (IUDD) of DFID, will constitute a substantial contribution to the World Summit on Sustainable Development (Johannesburg, September 2002). We are gathering material for case studies to include in the book on the basis of their contribution to social, environmental and political sustainability. If you have any suggestions, please write to **Sonja Meijer**: [s.meijer@ucl.ac.uk](mailto:s.meijer@ucl.ac.uk)

**No 119:** *Economic Growth and Inequality: Theoretical Background and Empirical Evidence*, **Cesar Gallo**, 2002.

## staff news

**Edesio Fernandez**, will stand in for **Adriana Allen** as Course Director of the MSc in Environment and Sustainable Development (ESD)



this year. He has been teaching at the DPU 'Law in Urban Environmental Policy and Management' for the last couple of years. His research interests include urban and environmental law, planning and policy; local government and city management, constitutional law and human rights in developing countries. He worked as a city planner and as a lecturer in Brazil, and as a legal advisor during the national Constitution-making process. He has also been a consultant to many governmental and NGOs in Brazil, South Africa and elsewhere. He has published articles in academic and technical journals, and contributed to several books.

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**Charlotte Spinks**, who joined the DPU in October, is working with Sheilah Meikle as her new Research and Teaching Assistant.



She is undertaking a whole range of SDP related support activities and consultancy work.

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**Sonja Meijer** has come back to London, after having entirely renovated her new home in Groningen (the Netherlands), to work on a new DPU publication to be launched in occasion of the World Summit on Sustainable Development in Johannesburg in September 2002 (see call for case study material, above).

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# hands on

DPU staff consultancy work, training and professional courses in the UK and abroad and DPU's participation in international networks.

## SPECIAL COURSES Sustainable urban regeneration: lessons from London to Shenyang



Anna Soave

In December 2001, the DPU ran a second capacity-building workshop for 11 planners and managers from the city of Shenyang, north-east China, concerned with urban management and improving the urban environment of the city. This year's workshop discussed the current issues of the international environmental management in the light of the problems faced by the city which is presently undergoing important processes of industrial transformation. Through lectures, debates and visits to a number of areas in London, the programme brought to the attention of the participants the lessons that can be drawn from the UK experience, both in terms of successes and mistakes. The workshop was part of an extensive training programme conducted in partnership with Huszar Brammah Associates, the leaders of an European consortium that is providing assistance to the EC Liaoning Integrated Environmental Programme, Sustainable Shenyang Urban Planning Project. For more information on the project, refer to: [www.sdos.org/english/](http://www.sdos.org/english/) The 5-day workshop focused on the themes of sustainable urban development with an economic perspective, urban regeneration in London and in the UK, the Urban Task Force Report, the development of housing associations and community development trust, LA 21. The lectures were complemented by 2 days visits to topical projects in London. The workshop was concluded by very lively debates regarding the future role of Shenyang.

## BUILDING URBAN INSTITUTIONS IN CAMBODIA

In September 2001 **Patrick Wakely** was in Cambodia advising on institutional development for the implementation of the Phnom Penh Urban Poverty Reduction Programme. The mission was part of a UNDP/UN-Habitat/DFID project that has been supporting poverty reduction and the improvement of informal settlements in the city since 1996. It entailed a review of the organisation and capacity of departments and decentralised units of the Municipality of Phnom Penh, the principal urban NGOs in the city and community based organisations.

Phnom Penh was virtually abandoned during the Pol Pot holocaust years 1974-79 when its population was banished to rural areas or exterminated. When the Khmer Rouge was defeated and Phnom Penh was resettled in the early 1980s not only by returning inhabitants, but also by people escaping the social dislocation and lingering war in the rural areas, it was on an almost totally anarchic first-come-first-serve-basis. When the houses, offices and hotels that remained standing were occupied, people built shanties on the roofs, taking advantage of the existing water and sanitation connections. When there was no more space on roofs, people squatted vacant land, the riverfront, parks, gardens and finally, marshy land and flood areas. Only a decade later in 1989 was the government able to 'regularise' the situation to some extent by granting ownership rights to those households occupying non-government property. However, this still left a very large number of squatters living in dangerous and unsanitary conditions with no security. The present city administration, led by a strong and authoritarian Governor, is committed to making Phnom Penh into a 'modern and beautiful city' that will attract



Pat Wakely

international investment. A significant component of this commitment is the relocation of the city's squatters on the urban fringes. In recent months, this forced relocation with no warning and little compensation has become a major concern for all involved: NGOs, the UNDP/UN-Habitat/DFID project and, above all, the vulnerable inhabitants of informal settlements throughout the city. Meanwhile, Cambodia, including Phnom Penh, is undergoing a process of administrative decentralisation, which is giving increasing responsibility to the 7 districts (Khan) and 76 communes (Sangkat) for which the first democratically elected elections are being held in February 2002. This process of governmental decentralisation and democratisation is paralleled by the development of increasingly strong urban NGO and community support for low-income and informal settlements in the city. The main thrust of Pat's recommendations was a strategy that employed a combination of the official decentralisation policy and the growing strength of the urban NGOs to bring pressure on the Municipality to rationalise its approach to slum and squatter relocation. Amongst a range of proposals, emphasis was given to supporting a process of participatory monitoring and evaluation of local conditions and developments and the establishment of an Urban Poverty Reduction Strategic Data Base that could form a vehicle for better communication and understanding between low-income communities and the Urban Poverty Reduction Unit in the Municipality.

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Pat Wakely

## ENVIRONMENTAL ASSESSMENT AND MANAGEMENT IN EGYPT

**Sheilah Meikle** has just completed her 9th input to the Support for Environmental Assessment and Management (SEAM) project, started in 2000. Sheilah worked with a team of 16 Egyptian professionals in Damietta. 12 of the team were young women graduates on their national service (not military). The remaining four were the resident Social Development SEAM team. There were a number of objectives. Firstly to train and rank the performance of the the young Social Development surveyors in focus group facilitation through workshops and



Sheilah Meikle

practice in the field. Eight of the group will be employed by SEAM to work in the villages of Damietta and Dakhelya. Secondly to test the appropriateness of selected Participatory Rural Appraisal tools for use within the same framework. Thirdly to establish a participatory 'Village Environmental Action Plan' process that will be incorporated in the SEAM framework. It was a pleasure to see how empowered the resident team have become since the project began. The team completed 12 focus group meetings and tested PRA tools in a further 8 meetings, some with men, women, boys and girls. We have some classic examples of the difference between men and women's approaches and understanding. The preliminary reports have been completed and the resident team will continue to analyse the rich findings and elaborate the report. [s.meikle@ucl.ac.uk](mailto:s.meikle@ucl.ac.uk)



Sheilah Meikle

## AFGHANISTAN RECOVERY & RECONSTRUCTION

**Babar Mumtaz** led the UN Human Settlements Programme team at discussions on the recovery and reconstruction of Afghanistan. His principal task in the negotiations with the major multilateral agencies, which took place in Islamabad in December 2001, was to help ensure that the process will be progressive, participatory and lasting, rather than a "quick fix engineering job" that pays little if any attention to the building of new institutions and the regeneration of communities. The report and recommendations formed the basis for the international pledging conference that was held in Tokyo in January this year. Babar further discussed the recommendations in occasion of a meeting of international architects and planners held in London in February and organised by Mr Ajmal Mailland.

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## COMMUNITY-BASED HOUSING INITIATIVES IN INDONESIA

by *Babar Mumtaz*

Although Indonesia has a credible and even enviable record in housing lower income households, including some well known programmes such as Kampung Improvement Programme (KIP), affordable housing is only available to meet the needs of some 20 per cent of Indonesians living in urban areas. In response to this, the Government introduced the "community-based housing development" programme in 1989 to assist low-income households. In September 2000 this effort has been further strengthened through CoBILD (Community- Based Initiatives for Housing and Local Development) a UNDP/UNCHS managed project, funded by the Dutch Government. The CoBILD Project is intended to help establish city-based institutions to provide assistance to low-income households to improve their housing and living conditions. The primary mechanism employed is the provision of sequential loans for incremental development of housing through community-based groups. CoBILD responds to requests from cities for assistance to set up a city-level revolving fund. Eligible community groups apply for housing improvement loans. Upon successful repayment of the loan (an average of about Rp.2.5 million, \$250, over a 2-year period), the household is

guaranteed a series of up to three subsequent loans. The loan repayments are used by the city institution to advance loans to other community members, and subsequently to other community groups. Almost 70 per cent of the US\$5 million of the Project funds are to be disbursed as loans to revolving funds to community based organizations. The loans use a market-rate interest to provide short (up to 2 years) loans to households to purchase land and build new or improve existing houses in either their present or in new locations. The "profits" are used to provide community grants and bonuses for households as well as to maintain and expand the fund. The lending process is supported by the establishment or strengthening of city and local level non-governmental organizations. These organizations not only provide support to the borrowing communities but also ensure that the selection and location of assisted communities integrates with the overall urban development plans.

The shift from subsidised loans to market rates of interest is accepted as inevitable. In fact, the incremental housing and sequential loans package is being well received, despite the fact that this is an innovation for most households and NGOs. However, there is a need for further increased awareness of the process and its advantages for low-income households. Essentially, the typical family will be enabled to improve their housing quicker and at a lower

cost. The informal processes are mainstreamed and supported by the CoBILD process. The loans rely on community and individual incentives rather than penalties and legal actions for their success and sustainability.

### Progress

During the first four months of its operations, revolving funds have been established in two cities (Kendari and NTH), and some 1,500 households are acquiring land as the first step in the sequence of housing improvement. City-level institutions have been formed to manage the funds, and they, in turn, are establishing or strengthening local level and CBOs to provide support, supervision and monitoring of the loans to the households. A series of discussions have progressed considerably in two other cities (Ambon and Kota Cane) and it is anticipated that these will soon enable them to set up revolving loan programmes.

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# hands on

(continued from page 9)

## GOOD PRACTICE IN RESETTLEMENT IN GEORGIA

**Sheilah Meikle** and **Gulshan Rheman** are currently involved in a new consultancy in Georgia. The Azerbaijan-Georgia-Turkey Project (AGT) comprises the development of the Shah Deniz gas field oil fields located in the Eastern Caspian Sea, as well as the establishment of associated pipelines for export. Following extensive review of alternatives, the respective project partners have sanctioned detailed assessments of a gas and an oil pipeline, including offshore and onshore components. The latter cross Azerbaijan, Georgia and Turkey.

BP require the team to question their work and identify mismatches between what is proposed in relation to the Resettlement Action Plan (RAP) and what is 'best' practice. They are keen for the team to be critical and work with them to resolve any identified problem.

The Project Sponsors wish to meet the standards set by the main international funding institutions (IFIs) in general, and the World Bank Group in particular, with respect to social impacts of the project. It has, therefore, been determined that the land acquisition process should be reviewed in the light of the various IFI policies on social impact and mitigation, including the World Bank policy on Involuntary Resettlement. The team is therefore required to recommend the practice principles working in close collaboration with BP and local public and community based institutions. In order to understand local needs and preferences and incorporate relevant local knowledge it is also working with those responsible for acquisition of land for the construction corridor, installations, construction camps and pipe yards; those responsible for compensation; the engineering logistics planning team; and those affected by the development of the pipelines. Particular attention is given to the needs of indigenous people, ethnic minorities, women and the elderly. It is anticipated that there will be no permanent relocation of the population associated with the project.

## ENERGY AND POVERTY IN CHINA: A SCOPING STUDY

In January 2002, **Sheilah Meikle** completed her second input to the China leg of the KARS - SUL/Energy project with **Alison Bannister** of 'Future Energy Solutions'. During this visit they had working sessions in Beijing with the local partner, the team led by Professor Huang Ping of the Institute of Sociology Beijing, on the initial findings from their fieldwork in Guiyan City - located in the poorest province in China - and presented a half-day seminar in the Institute. Among those present were Ma Qi, Director from State Environmental Protection Administration (SEPA). An old friend who Sheilah had trained on a workshop for the World Bank on social impact monitoring and evaluation of resettlement, she is currently responsible for bi-lateral aid projects within SEPA. They had a wide ranging discussion, including talking about replicating part of the SEAM Egypt project in China.

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## APPLYING ECOLOGICAL-ECONOMIC ZONING TO URBAN AREAS IN BRAZIL

Since November 2000, **Adriana Allen** and **Edesio Fernandes** have been collaborating with the Nucleus of Urban and Regional Studies (NEUR) of the University of Brasilia (UnB) in a research project entitled 'Methodological discussion and application of ecological-economic zoning (EEZ) in urban areas'. The project, coordinated by Dr Marilia Steinberger, aims at assessing the potentials and constraints of the EEZ methodology applied to urban areas, with specific focus on the Amazonian Region. In the framework of this, supported by the British Council - Brazil, Adriana and Edesio visited Brasilia in April to participate in a workshop moderated by the Brazilian team. The main objective of the workshop was to develop the conceptual and methodological approach to be adopted by the team in the research fieldwork in Amazonia. In addition, they gave two public lectures attended by the MSc students, researchers and government representatives.

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# head on

## Academic news



by *Le-Yin Zhang*



In July 2001, the UNCHS issued its **Global Report on Human Settlements 2001**, entitled as "Cities in a Globalizing World." It argues that traditional goals of

urban planning and development, aimed at supporting cities as engines of economic growth, are too narrow; in the face of globalization, rising poverty and inequality, a new vision is required with new approaches to more adequately support the role of cities as agents of social change. The Report details the limitations of the market mechanism that have characterized globalization processes dominated by transnational corporations seeking to maximize profit. And the report argues that access to goods and services required for meeting daily needs should be less dependent on people's ability-to-pay and based more on basic human rights. All these sound politically correct and indeed are fairly familiar. But it would be unfortunate if the new emphasis reduces our attention to cities as engines of economic growth. If there are any lessons to be learnt from the 1990s, they are two: first, significantly reducing poverty is impossible without economic growth; second, social changes can only be implemented when resources are available to support such changes. If real income is down in many countries, as the report notes, the pursuit of a rights-based approach is unrealistic and misleading in an era of declining foreign aid.



Shanghai

Michael Saifer

Moreover, emphasising the limitations of market mechanisms and blaming rising urban poverty on globalization has its own limitations. The evidence is that the regions where poverty declined most and where infrastructural services improved most in the 1990s are exactly where the multinationals were most active and marketisation made real impact.

The report is a reminder: we need an integrated and updated approach towards development, fully recognising the fundamental role of economic development in achieving human development, and the potentials of globalisation in promoting the welfare of the poor. We also need to develop a much clearer understanding of the role and needs of cities and how to rise to the challenge of meeting such needs.

From an educationist's point of view, we need to build up a stock of new professionals, who are equipped intellectually to deal with the developmental complexity of cities today. Such people will study rather than disdain the process of wealth creation. They will understand the city economy. They will appreciate the scope and limitations of the state as well as the market. And above all, they will see the dialectical relationship between the economy, society, and the state, and be able to act upon it.

The attraction and nurturing of such people is the purpose of the Urban Economic Development MSc at the DPU.

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## PhD Awards

Congratulations to the following who have been recommended to the University of London for a degree of doctor of philosophy:

**Jose Lezama**, *The emergence of environmentalism in Mexico*

**Halil Yildirim**, *Local Development in Turkey: the Case of Industry-Agriculture interaction in Tokat*

**Cesar Gallo**, *Macro Economic Growth Policies and Income Inequality in Venezuela*

**Sang-il Yi**, *Responsiveness, Equity and Decentralisation: The Example of Community Health Centres of Seoul, South Korea*



DPU extramural activities

Etienne von Bertrab

In October 2001, **Robert Biel**, tutor of the Sustainable Development Problematic module, took a group of students for a visit to Spa Hill Allotments in south London (<http://www.btinternet.com/%7Erichard.wilts%20hire/shogg1.htm>), where he himself farms an experimental plot. These allotments have been in continuous use since the early part of the 19th century, and have remarkably resisted being engulfed by the surrounding urbanisation, thanks to the dedication of succeeding generations of plotheolders. During the visit, talks and demonstrations by members of the current Committee (including Jack Dudley Swale, pictured) gave the DPU group an understanding of two key things: firstly the general principles of organic agriculture as a viable and realistic solution to the food crisis, and secondly the degree of organisation and campaigning necessary to defend this land and prevent the local authority seizing it for building. Hopefully, today the tide is beginning to turn in favour of urban agriculture. As the DPU's important research programme on the peri-urban interface has shown, world opinion is increasingly recognising its contribution in terms of food and quality of life.



Etienne von Bertrab

## Speakers' corner

**Le-Yin Zhang**, presented upon invitation the paper: "The impact of post-1993 financial reform on Chinese enterprises: The case of Shanghai," at the international conference "Financial Sector Reform in China", organised by the J.F.Kennedy School of Government, Harvard University, in September 2001.

The following speakers delivered lectures at the DPU:

**Pedro Moctezuma** described the experiences of community-based organizations in settlements and municipalities in south-east Mexico City in participatory planning and in the development of local projects and new employment opportunities. He also outlined the difficulties these organizations face in preventing uncoordinated, unplanned urban expansion and in protecting the region's natural resource base and cultural heritage.

**Graham Tipple**, director of CARDO, and reader in Housing Policy and Development, in the School of Architecture, Planning and Landscape, University of Newcastle (UK) presented his experience and opinions upon user-led transformations of the built environment. He is the author of *Extending Themselves. User-initiated transformations of government-built housing in developing countries*, Liverpool University Press, 2000

**Dr. Stephan Harding**, of the Schumacher College, visited the DPU in November 2001, and gave a striking and much appreciated talk as part of the DPU's Sustainable Development Problematic module. Speaking from a deep ecology perspective, Stephan introduced a systems-theory view of the natural world, centering round the Gaia hypothesis, on the elaboration of which he has worked closely with James Lovelock. Here, the world is seen in a way analogous to a living being, or, in the stronger form of the hypothesis, as actually a living being. The DPU has a serious commitment to an understanding of sustainable development which goes beyond merely 'greenwashing' existing practices, and it is very much hoped that Stephan's important contribution will begin a closer collaboration between the DPU and Schumacher in pursuit of our common aims. [www.gn.apc.org/schumachercollege/articles/stephan.htm](http://www.gn.apc.org/schumachercollege/articles/stephan.htm)

# connections

## Letter's corner

**Claudia Kuss-Tenzer** (ESD, 1999-2001) was appointed to a new post right after the completion of her degree. The post is at the Environment Council, whose main function is to provide facilitation services in environmental conflict situations - website <http://www.the-environment-council.org.uk/> Claudia writes: "My job will be to organise and market their training courses and seminars on sustainability issues, so it's my job to research ways of approaching businesses and govt bodies and convincing them to take environmental issues and stakeholder dialogue seriously, etc. Their work is also very interesting and hands-on as their aim is to engage businesses, government, NGOs and other 'stakeholders' in a dialogue to prevent conflicts from arising (such as the Brent Spar case in which they were involved). So I'm sure there'll be a lot of new things to learn...!"

**Emi Ogata** (DAP, 2000-01) had also only just completed her degree when she was offered a research post at the International Development Centre of Japan. She will initially be working in Indonesia. Emi writes: "I believe that the study and experience I had at DPU greatly contributed to my first career. I would like to live up to your expectation". [emio@kk.ij4u.or.jp](mailto:emio@kk.ij4u.or.jp)

A few days after handing in his MSc dissertation this summer, **Fabio Eon** (DAP, 2000-01) was appointed to a post at Synergy, a leading independent consulting firm, based at the Oxford Centre for Innovation, which provides specialist advice on corporate social responsibility and sustainable development. Fabio writes: "The work is exciting - we could say that is a good continuity to my research on social responsibility (for the MSc dissertation). The core business is pretty much related to mining and oil companies, which naturally encapsulate sustainable development issues. My colleagues also come from a development background. Indeed, the skills provided by the DAP programme have been very useful in my day-to-day life at the office (good part of the work is to carry out stakeholder analyses, sustainable livelihoods strategies, etc...). A very exciting place to work. Some issues that we have to deal with include: How we assure that revenue streams from oil, gas

and mining industries are allocated to local communities? How we contribute towards a sustainable and responsible business? How we engage different stakeholders in major infrastructure projects? As you can see, a nice opportunity to put in practice some of the DPU core modules."

[feon@synergy-global.net](mailto:feon@synergy-global.net)

**Narendra Singru** (DAP 2000-01) has taken up a post with Halcrows, providers of infrastructure-based business solutions. <http://www.halcrow.com>. He writes: "I am working on advisory services assignments involving privatisation and project financing in various infrastructure sectors. I have been put on a couple of projects - one in New York and another in Uganda (quite a variety !). The projects are mainly related to Private Sector Participation options in infrastructure. p.s. I just heard that my MSc dissertation, combined with some further research with ODI, will be converted into an ODI Working Paper." [SingruN@halcrow.com](mailto:SingruN@halcrow.com)

**Makol B. Malwal** (DAP, 2000-01) has started a new job in the civil engineering department of W.S. Atkins, providers of technologically-based consultancy and support services. <http://www.wsatkins.com/wsainternet/>

**Mirjam Van Donk** (UDP 2000-01) writes from South Africa: "I'm still doing some work for ActionAid, doing bits of policy research on HIV/AIDS to inform their lobbying and campaigning positions. I've done a survey of the response of the business sector in South Africa to HIV/AIDS and the organisations seems interested to somehow follow it up. I am also doing some work for UNDP - editing a research report on the impact of HIV/AIDS on the civil service of Malawi." [vandonk@worldonline.co.za](mailto:vandonk@worldonline.co.za)

**James Whittle** (UDP 2000-01) is at present working as a Transport Planner for international consultancy firm Mott Macdonald in Winchester. He writes that his dissertation has generated a lot of interest and may well lead to an opportunity for him to work in Cambodia.

**Nosakhare Boardi** (DAP 2000-01), at present based in Canada, is setting up a bid for a New Town project in India. He writes

that he has drawn upon some of his experience with the DPU, notably the field trip which investigated the New Towns established near Cairo in Egypt.

[sdcc@efair.ru](mailto:sdcc@efair.ru)

**Leonard Bufumbo** (DAP 1999-2000) is now working as a Research Study Coordinator on the project Voluntary Counselling and Testing [VCT] Among Youth: Operations Research Study, 2000-2002. The donor is USAID. The project seeks to test whether incorporating youth's suggestions into service delivery increases their use of and satisfaction with HIV counselling and testing. In Uganda, the AIDS Information Centre, the Naguru Teenage Information and Health Centre and, the Straight Talk Foundation will implement a youth friendly VCT strategy. Leonard writes: The key dependant variable is uptake of VCT by the youths. The methodology triangulates between a quantitative and qualitative design. Fortunately the initial phase of data collection has ended and am now engrossed in report writing. I manage and supervise a team of 13, work closely with the Nairobi [Population Council Horizons] counterparts and, Washington DC stakeholders [USAID & Population Council DC] donors. Research report writing is purely intuitive, it reminds me of the DAP report on the Cairo fieldtrip!!! The rigour and vigour of academic pursuit at DPU got me ready for my current posting. I am employed by the Sociology Department and currently it is involved in 5 internationally funded research projects. They are in areas of poverty eradication and integrated rural development; Voluntary Counselling Testing for Youth; AIDS Outreach for orphans (testing alternative strategies for community based social support); STI and cervical cancer management protocols; and basic learning competencies and sexual maturation issues at primary school level.

**Igor Nemgirov** (MSc DAP 1999) writes: "I'm working in a small, but fast growing Project Design and Construction Company in Moscow as a Senior Manager. The company is getting famous in Moscow and St. Petersburg for its original projects in areas of architecture, design and contemporary art. Our team is interested in developing a network of connections with people and

companies in other countries of the world. If you are interested in it please write to me." [nimgrin@hotmail.com](mailto:nimgrin@hotmail.com)

**Halil Yildirim** (Ph.D., completed 2000) has now taken up a post as Associate Professor at Zongoldak Karaelmas Universitesi, Turkey. Halil writes: "This term I am responsible for giving two undergraduate and one postgraduate courses. My academic title is associate professor at the moment. Everything goes very well. Please give my warm regards and good wishes to all people in the DPU." [halilyildirim@hotmail.com](mailto:halilyildirim@hotmail.com)

**Olav Knüppel** (DAP 2000-01) writes: "I'm currently doing an internship at the United Nations Industrial Development Organisation (UNIDO) in Vienna - your teaching is being very useful. To be more specific I work in the Quality, Technology and Investment Branch on a programme for the establishment of a system for accreditation, standardisation and quality promotion in the countries of the West African Economic and Monetary Union (UEMOA)." Vienna is a very quiet city compared to London (very!) and feels more like a big village. I've made lots of friends amongst the other interns who come from

almost as many place as my fellow DPU students did. [oknuppel@unido.org](mailto:oknuppel@unido.org)

#### **Yole Medeiros**

Yole Medeiros (UDP 2000-01) writes from Curitiba, Brazil: I'm working at Ambiens (<http://www.coopere.net/ambiens>), a co-operative that gathers professionals from several backgrounds, all working with urban and rural planning, which we set up June 2000. Our recent work includes investigating contracts between land occupiers and the Housing Company of Curitiba. Our report deals with issues around land property, land use and environmental legislation, as well as public policies of the State Housing Company that have been refused by the community. Last October and December we ran two technical meetings on Rural Sustainable Development, supported by the UNILIVRE, the Free University for the Environment (<http://www.unilivre.org.br>). The issues discussed at the meetings were around social, economic and environmental requirements for rural development, under a sustainable perspective and specially in the context of South Brazil.

[medeirosyole@hotmail.com](mailto:medeirosyole@hotmail.com)

## **BIRTH & MARRIAGES:**

In December, current DPU student, **Yoshie Muramatsu** (UDP) gave birth to a baby girl.

**Nicole Johnson** (DPU 1999/00) has given birth to Arielle Nikita, in Barbados.

**Mona Chhabra** (ESD 98) and Suneet have had a baby girl called Tara.

**Zhou Lan** (UDP, 1999) gave birth to a baby daughter last September and she is delighted. She is now the deputy director of Urban Planning Bureau in Naijing, China.

**Diana Giambiagi** (UDP, 2000) & Juan got married in Camden last autumn and then celebrated their marriage in style in Buenos Aires in December.

**Medha Chandra** (PhD student) got married to Mohit in a traditional ceremony that took place over 5 days in Jaipur and Delhi in November



### **From DPU to UNDP Media Project:**

**Uzma T. Haroon** writes: 'Portrayal of Women in Media' is an exciting project of the UNDP where I am working as the Project Manager since February 2001. Having worked in the news media as a journalist for the past 12 years, I was fortunate enough to have made it to DPU in 2000 for a three-month certificate course in Social Development, Policy, Planning and Practice followed by a three-month attachment as a Visiting Scholar for writing a paper. This proved to be a stepping stone in my professional career. What I got to study at the DPU is coming in handy today. What is a Project Manual Cycle, Project Formulation and Appraisal, what is a PRA, how does one do SWOT analysis, what is the role of donor agencies, how does one write up a proposal and collect data for a research report, and much more that was taught has enabled me to handle my responsibilities as Project Manager in a more confident manner. One of the most enduring prejudices in Pakistani society is its gender disparity as reflected in the social, economic and political spheres of activity limiting the types of roles and responsibilities women can undertake. This

disparity is perpetuated and aggravated in the portrayal of women in electronic media, particularly television which is a powerful tool with a far reaching impact and influence on human psyche. Portrayal of Women in Media (PAK/96/014) was initiated in October 1997 in partnership with Pakistan Television to facilitate a positive, balanced and diverse portrayal of women in media in order to empower them in all contexts of life including social and economic. The most direct impact of the Project is gender sensitization of private and public media professionals. In the long run, it aims to influence people's attitudes and opinions on women's roles and responsibilities. The long-term effect is also helping in sustainable livelihoods programs as a result of more sustained and long-term impact on women's participation in economic and social development. Under the umbrella of the Project, numerous training and workshops for over 300 private and public media professionals have been held to-date the focus of which has not only been to gender sensitize them, but also to make them realize their access to choices.

It was on 8 March 1999 that the Pakistan Television (PTV) started a daily program, Khawateen Time, as a direct result of this Project. Within this hour, over 100 programs of 'Profiles of Courage' known as 'Nishan-e-Manzil' have been aired bringing to limelight women such as small entrepreneurs, teachers, doctors, bus conductors, taxi drivers, architects, etc., who have struggled hard to make a living and are a role model for others. Khawateen Time has also brought to its viewers 26 episodes of program called 'Nai Manzilain' on career counseling. Various experts have been called to give counseling to the viewers on different careers. The Project has been an influence in the setting up of Gender Committee at all the five PTV centers that meet periodically to address gender concerns either at the level of the programs or at the level of issues like harassment within the organization itself. There is no denying that the Project has helped set a trend that is for the better, for empowering women, for raising gender concerns and for capacity building of the media professionals.

# opinion

## HABITAT UPGRADING

THE UNITED NATIONS HUMAN SETTLEMENTS PROGRAMME UN-HABITAT

by Patrick Wakely

In December 2001, the 56th session of the United Nations General Assembly passed resolution 56/206 creating the United Nations Human Settlements Programme. Thus, the UN Centre for Human Settlements (UNCHS) became a fully-fledged UN Programme and the Commission on Human Settlements became its Governing Council. This transformation of the status of UN-Habitat, as it is to be known, is of considerable significance to its long-term role and function. It endorses the Community of Nations' recognition of the importance of cities and settlements to the declaration of human rights and the United Nations Charter. This is particularly rewarding, coming as it does after several years in which the international community has frequently questioned the management, functions and future of the agency. Habitat's new status ensures that its Executive Director will have the rank of UN Under-Secretary-General and a place on the Chief Executives Board for Co-ordination. This opportunity to enhance Habitat's collaboration with other agencies at the highest level is of particular significance as the UN system gets into gear to meet the Goals of the Millennium Declaration that was adopted by the General Assembly in September 2000 in the presence of 147 Heads of State. Whilst the Habitat Agenda and the UN-Habitat campaigns for Secure Tenure and Good Urban Governance will have some impact on virtually all of the eight Millennium Goals, the agency's principal focus will certainly be on Goal 7 which is set to ensure



**Anna Tibaijuka**, Under-Secretary General of the United Nations and Executive Director of UN-Habitat, giving a talk to the DPU students, February 2002

Environmental Sustainability, and 'by 2020 to have achieved a significant improvement in the lives of at least 100 million slum dwellers'. In recognition of the importance of UN-Habitat's advocacy role in influencing the governments' policies towards cities and settlements, urban poverty and social justice, the Governing Council has mandated it to increase the output and dissemination of its principal instruments: The Global Report on Human Settlements and The State of the World Cities Report. From now on, these reports are to be produced in alternate years, each one addressing a specific theme. The theme of the first of the new series of Global Reports, to be published in 2003, will be Urban Poverty and Slums\*.

To ensure the sustainability of the new UN-Habitat and the effectiveness of its campaigns and programmes, the Executive Director, Anna Tibaijuka, has initiated a major process of 'rejuvenation' and expansion of the professional and technical staff of secretariat in Nairobi and its regional offices. The United Nations Human Settlements Programme is now established to play its pivotal role of leadership and support in the urbanised world in which we now live.

\* The DPU is responsible for the co-ordination of the UN Global Report on Human Settlements 2003.

## diary

### Gender Mainstreaming: A methodology for practice

DPU, London 8 - 19 APRIL 2002

The aim of the workshop is to share a methodology to mainstream gender in policy and planning and to explore institutional and organisational dimensions of gender and social change. It will introduce tools for gender diagnosis and dialogue, strategy development and monitoring, that will assist participants to mainstreaming gender in their own policies, programmes and projects and/or in their own organisation. The workshop is targeting women and men with experience of working with gender issues as development practitioners, trainers or researchers in different sectors, including WID/GAD specialists. For more information write to: [dpu@ucl.ac.uk](mailto:dpu@ucl.ac.uk)

### Urban Management for Sustainable Development

London, 19-30 August 2002

This two-week study visit will be offered in Spanish in the second half of August 2002 at the DPU. Targeted at urban planning professionals and practitioners, the visit provides participants with a comparative perspective on innovative approaches to managing and planning sustainable cities. Participants will visit London and a range of localities in the UK and exchange experiences with practitioners from Britain and South America. The visit will be conducted by a range of specialists with experience and expertise in the fields of urban and environmental management. For more information, visit [www.ucl.ac.uk/dpu/envidx.htm](http://www.ucl.ac.uk/dpu/envidx.htm)

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