



## **Inception Workshop on Urban Governance and Turning Africa Cities Around**

**Partnership for African Social and Governance Research (PASGR)**

BOMA Hotel Nairobi (18-19 May 2015)

**June 2015**

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## Executive Summary

In the last decade and a half, Africa has been undergoing massive social, economic and political transformation. One huge area of change is the rapid rate of urbanization on the continent which calls for a corresponding structural response from urban authorities, particularly in regard to better public goods and services provision. Recent improvements in Africa's complex and diverse cities call for deeper contextual and comparative empirical analyses of the determinants of the improvements, their dynamics, factors such as the mix between institutional depth, leadership and devolution that have given rise to 'turning around' cities on the continent. In response to this, the Partnership for African Social and Governance Research (PASGR) with financial support from the Department for International Development (DFID) is facilitating an empirical comparative analysis on three African turn around cities of Lagos, Johannesburg and Luanda. The studies will look at the preconditions for the turn-around; analyze the process and prospects for other cities on the continent.

An inception workshop was organized to build consensus on conceptual and analytical issues central to the study to be conducted by a team of researchers from the three cities. The inception workshop brought together 20 participants including researchers and key policy actors from Angola, Nigeria, South Africa as well as reference group members, a principal investigator and PASGR staff. This report provides the key issues that were discussed during the inception workshop.

The principal investigator provided the urbanization trend in Africa, an understanding of a turn-around city, governance implications, the political economy of urban management as well as a description of the research project and what is expected of the researchers. In the urbanization index there is a close relationship between urbanization and economic growth, and this is evidenced by South Africa, Angola and Nigeria who all document an above 50 percent rate compared with many other countries in Sub-Saharan Africa (SSA) that still remain behind in terms of urbanization. The urbanization problems many SSA countries are facing show the epistemic origins of the current urban policies which are not only flawed but also lead to problematic interventions and speculations.

In an effort to understand turn-around cities, it is important to look at whether or not there is remarkable improvement in the economic performance of the city with prospects for sustained growth over a period of time; an expanding public investment agenda with a clear focus on economic infrastructure, especially investments that can enhance productivity and inclusivity; evidence of fast-tracked projects over and above the routine operations of the city that enjoy dedicated resources, implementation mechanisms and high level political backing; a policy and institutional commitment to effective urban management that is visible in one form or another; and strong desire for international recognition and reputation for building a brand of a world-class city.

The research will focus on exploring the governance dimensions of the turn-around with an eye on policy lessons and paying attention to public needs and goods. Researchers will focus on flagship programs based on the outlined criteria, but with latitude to determine important aspects to include the role of gender, youth, and public participation. A short five minute video for illustration and gauging the input and feeling of the public on the flagship projects is a requirement. The research will adopt qualitative and interpretive relational epistemology; a mixture of political economy institutional considerations and policy discourse analysis; and aspects of literature review, scoping interviews, key informant interviews, focus groups, analysis and writing.

It emerged from the discussions that there is need to clarify on the typology of turn-around cities and what the benchmarks should be. It was also noted that it is essential to understand the kind of powers that cities ought to wield in order to achieve desired transformations.

Many African cities are built without taking into consideration the needs, cultural sensitivities and economic backgrounds of the local population. Western model cities only serve to perpetuate wrong development approaches in Africa. Drawing from Lagos, it was noted that most Central Business Districts (CBDs) of many cities are unnecessarily congested due to lack of sufficient decentralization of amenities, facilities and development functions of major cities; lack of consideration of environmental factors and planning that leads to a failed viable transport system.

From the discussions, it also emerged that there is need to capture information such as budget allocations of the flagship projects, degree of decentralization, autonomy in determining the flagship projects and period of the project. The principal investigator clarified that the urban governance systems approach is pegged on mega infrastructure of 20 to 30 years investments. The interest is in projects that are state-led. The choice of large cities is not because this work can speak to the other cities, but that these cities also talk to the larger changes in economic transformation as a whole and to urbanization in SSA. More interest is in an urban systems perspective where large scale investments are made into projects that have a long life span.

Policy actors from the three countries shared information on the policy processes in the respective countries/cities and emerging concerns in relation to the study. Researchers also presented ideas on what they see as areas of concern for the project in the respective cities and how they plan to implement the research. Some of the concerns raised by policy actors and researchers during discussions include urban planning, urban development financing, consultative engagement, inclusiveness, poor implementation of laws and policies, lack of access to basic services especially for the poor, transparency, accountability, the role of civil society, and contestation between politicians/urban planners and federal/state government. There was a concern that there is no clear demonstration that Luanda is a turn-around city as it seems more like post-war recovery.

After a comprehensive two day workshop, there was agreement on the framing of the study, research questions, expectations, methodological approach, and clarity on the need for more information on economic aspects of the cities for better comparison, as was the case in the Johannesburg case study. It was agreed that there is need to look at some reference points including violence and the financial crisis that in the end will shape the way research materials turn out. Flagship projects should include recommendations. It was agreed that the principal investigator should provide a detailed methodological note within two weeks after the workshop and a final project framework paper within a month. The purpose of the methodological note is to summarize the methodological agreement reached at the Inception workshop. The intention is for the note to inform the detailed research plans and methodology of the country teams that will execute the research work. The methodological note will be incorporated into the revised framework paper for the project. The framework paper will among other key things include core readings for the research project.

The end product of the study will be a book with one chapter explaining the flagships. However, there will be other publications such as working papers, policy briefs and at least one Op-ed article. Researchers are encouraged to keep detail record of the data collection and analysis.

Case study researchers will report to the principal investigator on the research process and be accountable to the PASGR Executive Director and Research Director on the specifics of their contracts. The terms and conditions established in the individual contracts guide the conduct of each researcher. It was emphasized that PASGR is expecting high quality and timely outputs from researchers.

## **Background**

Over the last three decades, urban governance has become a central theme in international development. Issues surrounding access to governance structures and the 'voice' of citizens in policy processes have gained attention. Looking at the governance and poverty literature, several themes are common to both and these are participation and voice, rights and freedom, and access to and delivery of quality public services as a whole.

The realm of governance itself is changing fast particularly due to the competing interests of long standing and emerging processes and issues. For example, there are major shifts in the environment (such as climate change, bio-fuels), demographic trends (such as urbanisation, migration) and technology and innovation (such as ICTs and biotechnology). All these have governance implications and will play a leading role in reshaping policy processes in the future and therefore the need for collective effort by different stakeholders in addressing emerging issues of cities and urbanisation.

PASGR conceptualized the urban governance and turning round cities against the background of economic turn-around on the continent's aspect of urbanization. The inception workshop brought together 20 participants including researchers and key policy actors from Angola, Nigeria, South Africa as well as reference group members, a principal investigator and PASGR staff. Annexes 1 and 2 provide the agenda and list of participants respectively.

### **Day 1: Monday May 18, 2015**

#### **Welcome and Opening Remarks by Prof. Tade Aina, Executive Director, PASGR**

Prof. Aina briefly explained what PASGR does and why the organization was established. In his explanation, he pointed out the two broad thematic research themes that PASGR's Board of Trustees approved for the organization in the next 4 years. The themes are "Varieties of governance and inclusive development" and "Urban governance and turning African cities around". PASGR's approach to research as described by Tade is problem oriented, emphasizing excellence and methodological rigor to enhance policy uptake. This dual mandate makes the organization's approach stand out in comparison to other institutions in the region. Prof. Aina indicated that PASGR research integrates policy actors in various stages in order to enrich the kind of research questions addressed. He emphasized that PASGR strongly believes the development problems in Africa require a community of practice and thought.

He concluded by informing participants that the aim of the inception workshop was to bring together members of the research teams, the principal investigator, reference group members, policy actors and PASGR staff to discuss and agree on conceptual and methodological issues that require clarity before the research project begins. Such an endeavor, he stated, requires serious engagement between both the academics and policy actors.

#### **Urban Governance and Turning African Cities Around by Prof. Edgar Pieterse, the Principal Investigator**

In the last decade and a half, Africa has been undergoing massive social, economic and political transformation. One huge area of change is the rapid rate of urbanization on the continent which calls for a corresponding structural response from urban authorities, particularly in regard to better public goods and services. For all major world regions, urbanization is positively associated with economic growth except for Sub-Saharan Africa (SSA).

Urban governance refers to the process through which democratically elected or appointed local governments, and the full range of stakeholders in cities – such as business associations, unions, civil society, and citizens – make decisions about how to plan, finance, and manage the common affairs of the city. It is a continuing process through which conflicting or diverse interests may be accommodated, and cooperative action is taken.

### *Urbanisation Trends and Implications*

Africa has at least 120 cities of over half a million residents and 47 of over a million residents spread out over 54 countries. Given the rapid rise of the population in developing regions of Africa and Asia, by the end of this century 1 in 4 people will be African. This creates the need to engage more actors from different communities in the long term planning and implementation of services. The problems we face show the epistemic origins of the current urban policies which are flawed, and lead to problematic interventions and speculations. The outcome of the belief that technology will save us remains to be seen given that the vagaries of ongoing social and political organization affect us all. As interested stakeholders in this urban governance theme we face different questions, and particularly in light of the current economic transitions which are unparalleled and prevent us from having immediate answers.

### *The Africa Urban Governance Story*

Available data shows that there is significant urban growth in Africa. In the urbanization index there is a close relationship between urbanization and economic growth, and this is evidenced by South Africa, Angola and Nigeria who all document an above 50 percent rate compared with many other countries in Sub-Saharan Africa that still remain behind in terms of urbanization. It is very interesting to note, for example, that in 2011 81 percent of Africans spent less than \$4.00 per day and in 2013 only 3 percent of Sub-Sahara Africans qualified for mortgage finance. This indicates that there are major challenges in turning around development financing resources to facilitate growth and address slum urbanism.

A panoramic scan of SSA demography also indicates that half of the population is youthful -- - 19 years or younger. This means that there is going to be a very rapid increase in the population between now and the year 2050 with Nigeria projected by the United Nations to be the third most populous country in the world behind China and India. The labour force is expected to triple between 2000 and 2050 rising from 400m to 1.2bn over the period. Closely linked to this kind of exponential growth is the massive infrastructure deficit in SSA, compared to other regions globally. Taken as a whole, there is major competition for infrastructure financing that compromises the bargaining power of most developing countries. This leads to a situation where a combination of limited reliable and decent employment, low incomes for majority of the people and scarce infrastructure investment manifests in the slum dwellings in most African cities. This creates a picture where there is an “inability to generate sufficient wage-earning jobs...meaning that most households in Africa and least developed countries will be unable to afford living in a formal house, pay taxes or contest the rules of the game of taxes.”

### *Structural Obstacles*

- Limited state understanding, or appreciation for the need to address urbanization;
- Regulations that penalize informality – rendering it illegal or making people vulnerable to victimization by security forces;
- Discrimination which leads to re-identity and the politics of affiliation;
- Entering global markets with limited leverage or unified positions;
- Costs of large-scale dysfunctional systems paid by voiceless slum dwellers; and,
- Small and skewed formal economies that lead to limited tax base.

### *Private Sector Optimism*

Generally across the continent, African governments do not listen to African academics, and, instead, prefer to listen to the private sector. Recognizing that the World Economic Forum, Price Water House Coopers (PWC) and MasterCard have interest in African Cities, this illustrates that there is a lot of room for further engagement in these spaces. No wonder then that the private sector loves this elusive middle class in Africa. In the long term, it is in the cities where the battle for sustainable development will either be won or lost. The success of sustainable development goals will be determined to a large extent in the World's cities, which lie at the fulcrum of employment creation, eradication of extreme poverty, inclusive economic growth, and environmental sustainability. Infrastructure imperative lead to difficult choices and trade-offs.

### *Urban Development*

As quoted by Clos, J. (2014) "Good cities do not come about by accident. The prerequisites for a good city are broad community consensus, long-standing political determination and sound urban planning which, over the course of time, engender urban environments that can provide wellbeing and security to their inhabitants, guarantee the supply of water, energy and food, and promote a compact and diverse urban structure in which innovation; trade and economic prosperity are encouraged. It definitively protects [...] urban communal space in which individual rights and opportunities are most respected. Results like these have never been achieved through spontaneous urbanization, or by the adoption of wrong-sighted decisions."

At the moment, present urban investments in Africa produce landscapes that result in slum neglect combined with enclave elite urbanism. This leads to four scenarios:

- Green Status Quo: gated enclaves, new towns, pockets of greening and slum upgrading;
- The Adaptive City: smart grids, full access, low-tech, localised slum economic and ecosystem renewal
- Status Quo Enclaves: small middle class, gated enclaves plus slum neglect;
- Smart African City: smart grids and mobility, compaction, and slum upgrading

Political economy factors and governance relations mediate the framing of urban investment and urban management practices.

### *Governance Implications*

Governance refers to the relationship between civil society and the state, between rulers and the ruled, as well as the government and the governed. Central to this relationship is the idea of credibility, of both politicians and governing institutions. The paths to improvement in credibility and legitimation of government lead through accountability, transparency, responsiveness, real participation, empowerment of groups in civil society and public consultation.

In hybrid societies that reflect the intense coexistence of pre-modern, modern and post-modern institutional forms and norms, the relationality is particularly hard to discern because of the overlap between public, private and personal domains. All African cities fall into this category to lesser or greater degrees, which is an essential cautionary note for the analytical work but it also points to the importance of thinking very carefully about the nature of governance and power in the mobilization of scarce resources to pursue flagship initiatives to lead the city into a different future.

One path requires that we should go beyond normative horizons to think about pathways to creating inclusive and green economically competitive urban futures. This is what is at stake in terms of the trajectory of the *turn-around*. Paying attention to affordability and inclusivity for turn-around African cities must remain the key goal for the kinds of cities of the future.



Incorporating ideas on carbon intensity and the environment will form distinctive features of a turn-around city.

Normatively, an inclusive pathway must address:

- The form and the nature of infrastructure investments that will address growth and access to basic services and translate into poverty reduction;
- The nature of land markets in relation to a form of the city that looks at sprawl versus intensification;
- The forms of infrastructure management and maintenance and how this can reinforce substantive citizenship and community empowerment;
- The range of economic activities associated with building and operating a new form of urbanism; and
- The political systems that will mediate the formulation of long-term plans, investment priorities and the routine running of the city.

All these issues need careful engagement and actionable thinking about capacity, inclusiveness, accountability and contestation if we are to create turn-around African cities of the future.

#### *Towards a typology of turn-around cities*

For purposes of this study, it is important to think about the following in an effort to come up with a typology of turn-around cities:

- Remarkable improvement in the economic performance of the city, with prospects for sustained growth over a period of time;
- An expanding public investment agenda with a clear focus on economic infrastructure, especially investments that can enhance productivity and inclusivity such as public transport, social development, investments and housing;
- There is evidence of fast-tracked projects over and above the routine operations of the city that enjoy dedicated resources, implementation mechanisms and high level political backing, manifest in “world class” and or “turn-around” discourses.
- A policy and institutional commitment to effective urban management is visible in one form or another; and
- There is an expressed strong desire for international recognition and reputation for building a brand of a world-class city.

#### **Discussion and comments**

Arising from Edgars Pieterse’s presentation, various participants brought forward a number of observations and input on what they felt informed the emergence of cities in the context of the proposed project on turning around African cities. There was the issue of the differences in the emergence and growth of cities in West, Eastern and Southern regions of Africa. While industrialization led to the formation of cities in West Africa, control of goods and crops by the colonial economy informed the growth of cities in the Southern Africa countries. East Africa on the other hand, had predominantly plantation related cities which grew through the labour influx needs to run factories. It was mentioned that there was a trend where the entrepreneurial and informal sector will play a greater role in the formation of cities going forward. Information technology also has a leading role in this process.

One reference group member wanted to know the study description of a turn-around city. Do the bench-marks for a turn-around city include service delivery, land tenure or access to housing? Is job creation key in the discourse of turning around of African cities? What is the relationship between turn-around and flagship projects? What would the flagships depend on to grow the future of Sub Saharan African cities? With regard to the values and contestation, it is possible to have the four scenarios of a future city but still fail to achieve inclusiveness? What are the challenges of financing technology and capital intensive infrastructure in

Africa? What was the criterion used in selecting the three case study cities of Luanda, Lagos and Johannesburg?

Another reference group member noted that cities can help countries emerge from fragility. Besides, there are better incentives for the elite to invest in cities than elsewhere in a country. He singled out the case of Lagos which he said does better than Nigeria as a whole. He attributed this to better taxation, organization and security. The tax base in Lagos is 70% compared to Nigeria's 20%. He concluded that what is essential is the kind of powers that cities ought to wield in order to achieve desired transformations.

One policy actor decried the situation where cities are built without taking into consideration the needs, cultural sensitivities and economic backgrounds of the local population. She insisted that a lot of care and concern must be given to how low income segments of a city would access water, transport and sanitation facilities. Education and a participatory approach, she believes, is key to ensuring that the needs of everyone are taken on board. Of note, she concluded is the need to make good use of available resources for the common good. Currently these resources are being used elsewhere and an example of this is Angolan water being more beneficial to neighboring Namibia in terms of electricity generation.

Another policy actor was concerned about the Central Business Districts (CBDs) of many cities being unnecessarily congested. This, he observed is due to a lack of sufficient decentralization of amenities, facilities and development functions of major cities like Lagos. It is also due, in part, to a lack of consideration of environmental factors and planning. He also commented on the fact that most cities in SSA lack a viable transport system and so this allows for what he called "in-frustration charlatans" who have little regard for the rule of law and order. Concerted effort from the government is necessary but it cannot just be an urban intervention, it also needs to be a rural effort.

One of the country researchers grappled with the idea of the transformative power of cities. He wondered how a harmonious environment can be created between the formal and informal segments of the city that naturally co-exist side by side. He emphasized finding a means for the youth to benefit from the development of new cities, and this is principally by getting sustainable jobs and skills. He also took stock of the cost benefit analysis of destroying an old city in order to create a new one. He suggested that organizing old cities better would be a less expensive approach to turn African cities around.

One of the policy actors believes that African cities must stand on an equal footing with the best in the world. He is suspicious of the low-technology and local approach since this may pose a challenge fifty years down the road. African cities must be main-streamed, fully restructured and go high in technology in order to attract investment. He argues that there may be a reality check for African cities once the current growth spurt has died down. He wonders whether they will withstand the down-turn more so given the fears over the future of oil prices.

One researcher was pessimistic about the concept of world class cities and its connotations. He noted that there is need to increase the use of sustainable and clean energy as a cost-saving and environmental measure. He made reference to the just concluded Global Green Growth Forum and the efforts of small players in ensuring and propagating the use of clean energy.

Another researcher was concerned about the relationships between the central and state governments drawing from certain anecdotal examples from Nigeria. He noted that when different political parties control the central and state governments, there is a likelihood of petty bickering which tends to stall meaningful development. Sometimes a state governor

may resist a good initiative simply because it would make the opposing party more popular than the ruling party. Even worse, the federal government may often withhold billions in cash meant for the development of projects in respective states, thus slowing down their implementation.

It was noted that public participation is low on the agenda of the initiators and implementers of city master plans. The approach is usually top-down; where members of the public are merely informed about what has been decided for them. Meetings called in the name of public participation are only window dressing exercises.

There is also a major concern about going ahead with mega flagship projects amidst dire conditions of want – when people are literally hungry. This was termed as a trend of the “stomach infrastructure deficit.” In addition to this, it was noted by one of the researchers that the continuing trend for informality to be seen as an illegality by policy actors may not be the best approach. Finally, he noted that more partnerships and collaborations in the form of Public Private Partnerships (PPP) are key to attaining sustainability and citizen empowerment.

### **The Research Project by Prof. Edgar Pieterse, Principal Investigator**

#### *Focus of the project*

The research should focus on exploring the governance dimensions of the turn-around taking into consideration the criteria below with an eye on policy lessons and paying attention to public needs and goods.

- There is a marked improvement in the economic performance of the city, with prospects for sustained growth.
- There is an expanding public investment agenda, with a clear focus on economic infrastructure, especially investments that can enhance productivity and inclusivity, e.g. public transport, social development investments and housing.
- There is evidence of fast-tracked projects over and above the routine operations of the city, that enjoy dedicated resources, implementation mechanisms and high level political backing, manifest in “world-class” and/or “turn-around” discourses.
- A policy and institutional commitment to effective urban management is visible in one form or another.
- There is an expressed desire for international recognition and reputation building as being, for example, world-class.

Researchers should focus on flagship programs based on the outlined criteria, but with latitude to determine important aspects to include the role of gender, youth, and public participation. A short five minute video for illustration and gauging the input and feeling of the public on the projects is also a requirement. Researchers should analyze the top 20% budget of municipality spending for equity and access for catalyzing flagship projects.

#### *Guiding Research Questions*

Some of the research questions to be dealt with include:

1. What is the evidence that the research reflects the criteria of turn-around cities?
2. What are the primary elements of the urban development agenda?
3. What is the discursive rationale and strategy of the urban development agenda and priority programmes that are invested with political capital?
4. Does the flagship project potentially contribute to more adaptive and inclusive patterns of urban development?
5. What is the genesis of the flagship initiative? Where do they originate from as an idea/imaginary and programmatic artefact?
6. To what extent were the priority programmes or flagship initiatives developed in a top-down technocratic fashion, and/or in a consultative manner?

7. What are the prospects of achieving the stated goals of the flagship initiatives?
8. What are the prospects of the flagship initiative to establish a pathway towards greater adaptiveness and inclusivity?

Researchers should document and analyze flagship projects in terms of the following considerations:

- Explore the relevance of 2-3 flagship initiatives in relation to the broader development challenges facing the city with an eye on making an interpretative judgment about the appropriateness of these priorities in terms of an adaptive and inclusive pathway.
- Likelihood of consistent implementation and achievement of the formal goals of the initiatives by reflecting on the institutional architecture and efficacy of the delivery aspects. (Allows for exploring interplay between the dynamics of the projects and the broader institutional setting).
- A risk profile of the initiatives in terms of economic, political, cultural and social impacts of the initiatives (Again the broader political economy analysis will support this).
- The institutional and political capacity to anticipate and manage risk and opposition to the initiatives.
- A rounded account of civil society and private sector responses and motivations, with an analytical eye on incentives driving them, without treating these as homogenous categories.
- Prospects of the interventions to establish and/or consolidate new path dependencies for the city-region over the medium- and long-term.

### *Methodology*

It was agreed that researchers can use the methods below in their work:

1. Qualitative and interpretive relational epistemology;
2. Mixture of political economy institutional considerations and policy discourse analysis; and
3. Aspects of literature review, scoping interviews, key informant interviews, focus groups, analysis and writing, publications.

All of this should take a political economy frame of analysis that can bring out more comprehensive and relational approach to the public sphere.

### **Discussion and comments**

One reference group member indicated the need to get budget allocations of the flagships and the degree of decentralization. Furthermore she emphasized the need to inquire into, for example, how much autonomy do people in Angola have to determine the projects? How important is the regime type in determining the outcome? Can case studies engage in archival work? What kinds of flagships have been implemented in the past, why, and have they worked successfully?

Another reference group member asked researchers to look at decentralization in Colombia and China, and think about the following question; What are the prerequisites for implementation? China has elections and has insurgent activity that allows for the country to have some of the best run cities in the world. There is also social accountability outside of broader processes. Furthermore he asked if flagships projects sufficiently represent the dynamics that the project is going to capture.

One policy actor indicated that most Africa leaders are in a context of survival, and want to find a solution to the project now. Consequently they are always two steps behind. What leaders in Africa need is to have a long-term plan if they are to make any serious impact.

In responding to some of the concerns, the principal investigator noted that the urban governance systems approach is pegged on mega infrastructure that makes 20 to 30 year investments. The interest is in projects that are state-led. The choice of large cities is not because this work can speak to the other cities, but that these cities also talk to the larger changes in the economic transformations as a whole and to urbanization. We need a healthy skepticism of inherited political frames. More interest is in an urban systems perspective where large scale investments are made into projects that have a long life span.

### **Information sharing on relevant policy discussions and processes in the three countries**

*Angola: Claudia Luvau*

The Ministry of the Urban and Housing is responsible for urbanization projects and housing works in Angola. One needs to remember the colonial period, post-independence, 30 years of civil war and the post-civil war (2002) to be able to understand how the city is doing today.

In Angola, the available laws and other policy documents for territorial management include the 2004 Land and Planning Laws. There are many challenges for territorial planning because of many years of civil war, competing interests between politicians, government versus private sector, and limited or no access to basic services. In Angola, there are three levels of government – National, Provincial and Municipal and they are all engaged in planning as outlined in the governing law. The tragedy, as Claudia noted, is that – most of the plans are never implemented. The Ministry of Urban and Housing has a primary objective of territorial planning which includes providing tools for national, provincial and municipal planning.

Some of the identified challenges to planning in Angola include:

1. Non-functional/non-enforced laws;
2. Bureaucracy and communication breakdown between the central executive and government officials;
3. Contestation between politicians and urban planners;
4. Competition between government and private initiatives;
5. Non-existent public participation in the projects;
6. Lack of access to basic services;
7. Ineffective use of existing resources leading to unsustainable urbanization and collapse of collective public goods in Luanda.

Claudia shared ideas on the Kilamba project which was started in 2011 and is run by national government. It is a 30 year mortgage program and a potential project for the study. This project is strategic as it sets out to meet the migration needs of city residents, and also deliver on the government's deliberate efforts for strategic urbanization. It is important to note that Kilamba is a commercial project and not a social one. It is also important to note that good social services are a strong pulling factor to the capital Luanda and therefore there is need to look at how Kilamba covers this aspect despite the project being a commercial one.

Claudia further noted that Luanda has good laws and plans but the only major problem is lack of consultative engagement between the government, planners and the people. As a result of this disengagement, it has been a challenge to attract the population away from the capital city to other smaller towns. In terms of implementation of flagship projects in Luanda, there is a top down approach which leads to, for example, housing without sanitation facilities.

The other emerging challenge in Angola is urban development financing, which is funded by resources from oil exploration. As a result of the current slump in global oil prices, Luanda is likely to face serious financing problems. Due to such a challenge, mining and agriculture sectors are being supported to ensure diversification. Broad-based taxation is also being considered as a means to facilitate urban development. Going into the future, it remains to be seen how sustainable urbanization and youth engagement turns out to be in Angola.

*Nigeria: Olukayode Taiwo & Osifuye Adesanya Olufunmilayo*

Olufunmilayo mentioned that there are four development plans in Nigeria since post-independence running from 1962 to 1985. Nigeria has also had a rolling plan (1990-1998) and Vision 2010. There was also the New Medium Term National Development Plan (2007-2011) with 7-Point Agenda, and the National Vision 2020. The vision 2020 intends to position Nigeria on the path to become one of the top 20 economies in the world by 2020.

The vision 2020 has 4 development pillars:

- a) Pillar 1 - Economic Development - harnessing public and private investment to create a strong, mixed economy that can provide jobs for all and create the base for expanding social services and environmental sustainability.
- b) Pillar 2 - Infrastructure Development - providing efficient power, effective mass transit systems and other key infrastructures essential to achieve a sound and growing economy and achieve social progress.
- c) Pillar 3 - Social Development and Security – Ensuring a dynamic, progressive social and economic environment that will result in a well-educated, healthy people able to fulfil their potential and meet the skill needs of new industries.
- d) Pillar 4 – Sustainable Environment – Creating sound systems, regulations and public participation to maintain a healthy and sustainable environment that can overcome the environmental deficit and meet future challenges posed by climate change.

Some specific focus areas of governance in the delivery of services in Lagos State include:

- Safety and Security including creation of a Security Trust Fund, rapid response Squad, neighbourhood squad, dedicated emergency telephone lines, establishment of Central Security Centre, etc
- Housing Programs that lead to the establishment of affordable social housing, for example, through the Home Ownership Mortgage System (HOMS) project. Accessibility to housing is via draws conducted periodically on announced dates, through a transparent, fair and well publicised process.
- Public-Private Partnerships- The establishment of a PPP Office for implementation of PPP projects is in line with global best practices, and should have a focus on transparency, accountability, due-process, mutually beneficial relationships, rule of law and an equitable legal framework.
- Justice System – A number of programmes and institution are in place to continually embrace and support the Rule of Law and, Human Rights, such as the enactment of a Tenancy Law (2011), establishment of a Citizens' Mediation Centre to protect indigent families and citizens, domestic violence against women.
- Public Service-wide Transformation that takes care of the following:
  - a) Establishment of Public Service Charter to improve service delivery to members of the public,
  - b) Building human resources capabilities,
  - c) Corporate planning in the State (a managerial tool for keeping track of the real purpose of the existence of Ministries, Departments and Agencies (MDAs) so that there is strategic planning of the MDAs, and this allows for actionable information provided to the citizens of the state in order to foster accountability and growth,
  - d) A one-stop public enquiry services centre to ensure visitors to all public Ministries and Agencies are received in a professional manner that meets international/ best practice standard at all times regardless of the purpose of visit.

- e) Development and deployment of ICT in all MDAs
- Environmental Sanitation – Enactment of Environmental Sanitation Laws and enforcement through privatisation of collection various kind of wastes.
- Media Rendition of Stewardship – It is a tradition for the State Governor to publicise achievements every 100 days of governance, while Heads of MDAs provide the public with information on their achievements on a yearly basis. All this is to ensure accountability and transparency.
- Built environment – This is concerned with a built environment that is clean, safe, attractive, organised and beneficial to business and tourism. The key targets are to achieve full coverage of physical master plans at all levels by 2015 through a hierarchy of physical plans with the Regional Master Plan at the apex. This is enforced, monitored and controlled by Planning Laws and regulations.

On the other hand, Taiwo focused on the key transport challenges in Lagos. He also highlighted on issues of severe congestion, pattern of urban growth, and increasing air pollution, and how all these impact on the health and quality of life in Lagos city.

*South Africa: Philip Harrison*

The Metropolitan Johannesburg City was established in 2001. The city's economic policy is the most contentious part of the single strategic city plan which takes into account the development of a long term strategy that links capital budgeting to strategic development and spatial planning in the city. This is important in order to manage the city into the future, taking into consideration the key elements of inner city changes particularly with the new urban faces as a result of massive migration from other countries on the continent into South Africa.

Johannesburg benefited from the 2010 FIFA World Cup with the rail system created to carry close to 50,000 people per day, and with room to expand to 200,000. The metropolitan government was created to manage transport and in 2010, the National Planning Commission (a presidential commission) was also set up to produce a national development 20 year plan. According to Harrison, such a plan should consider contestations of economic policy given the challenges of a fragmented fragile society.

He also sought to better explain the legacies from both the colonial apartheid era and the postcolonial period. The particular nature of South Africa's growth path is key in this respect. It is also worth noting that there are failures of the economic growth model. Johannesburg only produces 17% of the national GDP. It is important to look at the role of urban governance in this city and its outcomes. As a financial and business hub, the challenge is to imagine an alternative growth model. There are complex intergovernmental systems and relationships, because the metropolitan authority can take provincial government to court over planning issues. The relationship between power and budgets are important in Johannesburg. The city has strong global ambitions. There is also a strong focus on flagships to transform the inner cities of Soweto and Alexandra, which have bids to incorporate the youth in their implementation as they include social and economic initiatives such as job creation, security and to address a dysfunctional public service.

At the end of day one of the inception workshop, the principal investigator provided a presentation guide for city case studies for day 2. This is provided in Annex 3.

**Day 2: Tuesday May 19, 2015**

## **Presentation of City Case Studies**

### *Johannesburg Case Study by Anton Cartwright*

Johannesburg has 4.4 million people which is about 8 percent of South Africa's population. The annual population growth rate of the city is 3.4 percent. The social economic outlook of Johannesburg is not very rosy with only 38 percent of the population employed and accounting for 13.8 percent of the national gross domestic product (GDP). This leads to a GDP per capita of \$1,800, and a Gini co-efficient of 0.75. The major income generating activities include financial and business services, manufacturing and community services. About 50 percent of households in the city earn less than \$400 per month. The city had a budget that runs to a tune of \$4 billion in the 2013/2014 financial year.

The transformation of Johannesburg can be explained in three phases. First is the decline which was experienced from 1980 to 1998; the second phase is stabilization which was between 1999 and 2009 and finally the growth and development phase that spans 2009 and 2014.

Johannesburg is the wealthiest and most populous of the eight metropolitan municipalities in South Africa. The local municipal government is an autonomous sphere of state according to the 1996 constitution of the Republic of South Africa. The special status gives the city authority to overlook by-laws without worrying about the national assembly in Pretoria. The system of governance has three spheres; National, Provincial and Local governments.

In the sphere of managing city finance and monitoring fiscal performance, during the 1998 financial crisis, the city was in arrears for more than 240 days. This led to national budget funding support for the city's capital spending. The availability of sufficient funding translated into massive prudent fiscal management for the metro system.

Due to poor leadership and strategic development for the post 2000 transformation, Johannesburg Growth Strategy 2030 changed to become Johannesburg Growth Strategy 2040. The GDP growth and spatial growth management strategy were turned around in the 2011/2012 financial year to guide efforts of turning-around the city. Since 2001, the ascendancy of democracy has improved the quality of service provision in this rainbow city. The housing sector has huge potential for development because immigration has a huge impact on housing pressure especially in Soweto.

Emblematic projects in Johannesburg include: Bus and Rail Transport (BRT) and Corridors of Freedom, Jozi @ work, Newtown precinct, Budget planning and reform, Bond Market, Vulindlel'ejozi, Water efficiency and Massive Online Open Varsity. These can fit perfectly into the meta-themes to interrogate flagships.

To embark on this research well, it is important to know the kind of systematic thinking that is good for turning around an African City. Institutional hybrids which look out for vitality, municipality for actual delivery systems and coherence are useful for this kind of research. The normative goal is urbanization that leaves nobody behind while at the same time increasing the affluent class in society.

The research method to be used is desktop inception note, interviews, project identification, focus groups, in depth interviews, and writes up.

### *Comments on Johannesburg Case Study*

One reference group member felt that it is important to use locally available scenarios and compare them with other cities. This helps at looking at the bigger picture. Another



reference group member was keen to know the approach used by civil society in Johannesburg. The principal investigator pointed out that housing provision has been quite successful in the city over the last fifteen years and is needed in this process.

#### *Lagos Case Study by Elijah Agunbiade & Oluwafemi Olajide*

The spatial and political meaning of Lagos city has changed frequently over time and continues to evolve to this day. It can be used to represent at least, four spatially distinct entities but also contextually overlapping areas. Demographic and spatial growth without conscious planning is common in Lagos. An example of a flagship project for consideration in this study is the Eko Atlantic City.

The analysis will be both qualitative and quantitative; documentary evidence, focus groups, qualitative interviews with electronic media such as blogs. Some of the on-going thematic areas are the role of political parties; pluralism of tribes; capacity; acceptability; transparency; leadership; land administration and tenure systems of informality which is frequently called “an illegality”; and, budgeting systems.

#### *Comments on Lagos Case Study*

Following the presentation, one of the reference group members noted that there is no inclusiveness in these flagship programs as most of them have been about economic regeneration. For us to claim that there is structural change, one may need to have some focus on the urban poor. What is the economic story behind this spatial geography? What is the economic backstory? Good governance?

Another reference group member indicated that it would be interesting to study Lagos in the 80s and 90s. He also said that the present assignment that focuses on flagships has selection bias. He also raised the following question; how much can we learn from flagships that will not be ready for a long time? Taxation and accountability need to be a focus, and then what is required is a review to determine whether the learnings from here are transferable to another city.

One PASGR staff highlighted that a subaltern story to the city is better than a technocratic story. This means there is need to enrich each other with more knowledge and resilience to create a distinct human “face” of the universals. In sum, the discussion about the complications of the situation in Lagos such as compensation, no approval, and other dynamics on the ground are important, and so are contentions between the federal and the state government. That said Lagos still remains one of Africa’s most populous city where people work.

#### *Luanda Case Study by Sylvia Croese & Joao Domintos*

Luanda grew as a direct result of the conflict just after independence from Portugal. The urban growth rate of Luanda is 7 percent. Luanda is one of the most rapidly growing cities in Southern Africa, and is the fifth largest metropolitan area after Cairo, Lagos, Kinshasa and Johannesburg.

There are different categories of settlement typologies used in Luanda including:

- Old urban core, new suburbs and Bairro popular.
- Social housing, state-led self-help housing and transitional musseques
- Organised musseques, old musseques and peripheral musseques

The majority of the people of Luanda live in informal settlements which are accessed through informal mechanisms. Oil prices and oil commodities sustain the city.

Luanda city has a lot of slum urbanism. Slum urbanism is characterized by population density, sanitation levels, access to water and land, economic activities, and effects of climate change. Luanda is important for Angola in many ways.

This research will mainly be qualitative. It will also use archival work and discourse analysis.

#### *Comments on Luanda Case Study*

One reference group member noted that there is no clear demonstration that Luanda is in a turn-around, and it seems more like post-war recovery. There is a lot of urban bias in Angola that may not allow it to fit into the set out criteria for the research project. Another reference group member wants to see ethnicity captured. He also suggested dealing with basic plans rather than housing in flagship projects such as Kilamba.

In their response, researchers indicated that Luanda needs to be seen in a particular context, and is keenly following to see what the imaginaries are of these projects. It is clear that this is a top down system as mentioned by the policy actor from Angola present at the inception workshop. Researchers indicated that Luanda is an interesting example, quite endogenous, not necessarily a post conflict generic situation, but generally one worth paying attention to. It is not so easy to see the turn-around in what people are saying, but for the researchers this concentration is a turn around. Focusing on aspects of inclusiveness is also an aspect that needs attention. Like most other Africa countries, the researchers agreed that it would be interesting to find out what is the role of civil society in Luanda.

#### **Turning recommendations into reality by Mr. Miles Bredin**

Miles made remarks on making your data dance so as to turn recommendations into reality. His approach looked at complete research that needs to be used by policy makers. He emphasized that it takes teamwork to inform policy using evidence from research. In a typical research process, it is essential to make sure everyone knows what is going on and understands that persuasion is everyone's job. Everyone on the research team needs to understand the key messages from the research and confidently talk about them.

He used the elevator approach to demonstrate how research can get into policy. He emphasized planning, design, follow-up, launching, coverage and validation as key in the dissemination process. There is need to create demand for research findings by speaking with peers, policy makers and having the right coverage from the start of the dissemination. This improves the chances of getting the research read. The approach used should make policy makers and/or politicians look forward to getting and using the research findings.

#### **Concluding remarks by Prof. Edgar Pieterse, Principal Investigator**

Edgar noted that he liked the research questions that anticipated some of the categories in the analytical tables that he showed. It was also noted that he likes the flow of how to present the research, the framing, and suggested that more information on economics could be included for better comparison— similar to those included in the Johannesburg case study. He also mentioned various reference points; violence and the financial crisis that in the end will shape the way research material turns out. He also suggested that projects should include recommendations.

This work is a snapshot of the three largest cities in Africa that will provide a sense of what were the preconditions for this process; how to analyze this process and what are the prospects? The principal investigator promised to provide a detailed methodological note within two weeks after the inception workshop and a final project framework paper within a month. The purpose of the methodological note is to summarize the methodological agreement reached at the Inception workshop (see Annex 4). The intention is for the note to inform the detailed research plans and methodology of the country teams that will execute

the research work. The methodological note will be incorporated into a revised framework paper for the project. The framework paper will among other key things include core readings for the research project. The end product of the study will be a book with one chapter explaining the flagships. However, there will be other publications such as working papers and policy briefs. Researchers are encouraged to keep detail record of the data collection and analysis. In addition, researchers are expected to engage policy actors throughout the research process. This can be done through focus groups, liaising with local organisations that effect an intermediary role to convene feedback workshops and having at least one Op-ed article in media.

Lastly, the principal investigator emphasised that case study researchers will report to him on the research process and be accountable to the PASGR Executive Director and Research Director on the specifics of their contracts. The terms and conditions established in the individual contracts guide the conduct of each researcher.

### **Way forward by Dr. Nicholas Awortwi, Director of Research, PASGR**

Nicholas focused on the project timeframe as summarized in Annex 5. Nicholas emphasized the importance of researchers submitting their project work plans and adhering to the agreed deadlines. He mentioned that the final framework paper will be shared with all participants and posted on PASGR website once the principal investigator has incorporated the feedback provided during the inception workshop. He further indicated that in case there are any changes in the final dates for the work in progress workshop, this will be communicated to the researchers and reference group members immediately.

In his closing remarks, he thanked all participants for the active participation and useful contributions during the workshops. He also reminded researchers that PASGR and the Principal investigator will have short one-on-one sessions with each country team immediately after the workshop. This is mainly to address and/or clarify specific issues that the respective teams might have regarding project implementation, team dynamics and financial reporting among others.

## **Annex 1: Workshop Agenda**

### **Day 1: Monday May 18, 2015**

08.30 - 08.50 Registration

**Chair: Nicholas Awortwi, PASGR**

09.00 - 09.30 Welcome & Opening Remarks – Tade Aina (Executive Director, PASGR)

09.30 -10.10 Urban Governance and Turning African Cities Around (Edgar Pieterse, African Centre for Cities, UCT)

10.10 -11.10 Comments from the reference group & other participants

*11.10 -11.30 Health Break*

11.30 - 11.50 The Project: Research Questions, Methodology & Analytical Approach, Data Needs & Analysis, Gender Integration, Video Coverage, Policy Engagement and Publication Process (Edgar Pieterse, African Centre for Cities, UCT)

12.50 - 12.45 Comments from the reference group & other participants

*12.45 - 14:00 Lunch*

**Chair: Darlison Kaija, PASGR**

14.00 – 15.00 Country Specific Policy Discussions and Processes: Information sharing by policy practitioners from:

- Angola - Claudia Vanusa Luvau
- Nigeria - Olukayode Taiwo/Osifuye Adesanya Olufunmilayo
- South Africa - Philip Harrison

15.00 – 15.30 Tapping into the policy discussions and processes to maximize uptake of the study

*15.30 -16.00 Health Break*

16.00 – 17.00 Setting the stage for country presentations (Edgar Pieterse, African Centre for Cities, UCT)

*18.00-19:30 Reception*

### **Day 2: Tuesday May 19, 2015**

**Chair: Nicholas Awortwi, PASGR**

09.00 - 09.40 Johannesburg Case Study, South Africa

09.40 - 10.40 Comments from the reference group, policy actors & other participants

*10.40 -11.00 Health Break*

11.00 - 11.40 Lagos Case Study, Nigeria

11.40 - 12.40 Comments from the reference group, policy actors & other participants

*12.40 - 14.00 Lunch*

**Chair: Darlison Kaija, PASGR**

14.00 - 14.40 Luanda Case Study, Angola

14.40 - 15.40 Comments from the reference group, policy actors & other participants

*16.40 -16:00 Health Break*

16.00 - 16.15 Turning recommendations into reality (Miles Bredin, Well Told Story)

16.15 - 16.30 Plenary discussion

16.30 - 16.50 Way Forward by Nicholas Awortwi, PASGR

17.00 – 18:00 Project Management Interactive session (One-on-one with research teams - 20 minutes per team)

- Johannesburg Team
- Lagos Team
- Luanda Team

## Annex 2: List of Participants

	Name	Job Title	Organization	Country/City
1.	Prof. Edgar Pieterse	Chair	Prof. Edgar Pieterse SARChI Chair in Urban Policy Director: African Centre for Cities University of Cape Town, South Africa	Cape Town, South Africa
2.	Dr. Sylvia Croese	Post-Doctoral Fellow	Department of Sociology and Social Anthropology Stellenbosch University South Africa Cell Angola: 244 926282971 Cell SA: 27 736001133	Cape Town, South Africa
3.	Mr. João Francisco Pinto Domingos	Manager	Urban Governance sector Development Workshop, Luanda, Angola Tel:244-222447322 Mobile Tel:+244-923846220	Luanda, Angola
4.	Dr. Elijah Agunbiade	Lecturer	Department of Urban and Regional Planning University of Lagos, Nigeria	Lagos, Nigeria
5.	Dr. Oluwafemi Olajide	Lecturer	Department of Urban and Regional Planning Faculty of Environmental Sciences University of Lagos, Nigeria	Lagos, Nigeria
6.	Mr. Cartwright Anton	Researcher	University of Cape Town 2 Bokkemensloof, Hout Bay, 7806 10, Cape Town, South Africa	Cape Town, University
7.	Dr. Danielle Resnick	Research Fellow	Research Fellow Development Strategies and Governance Division International Food Policy Research Institute, 2033 K Street NW, Washington, DC 20006, USA	Washington D.C. USA
8.	Prof. Seth Kaplan	Consultant	Johns Hopkins University	USA
9.	Ms. Claudia V. Correia Luvau		Angolan National Institute of Urban Territorial Planning and Development.	Luanda, Angola
10.	Prof. Olukayode Taiwo	Director	Prof. Olukayode Obafemi Taiwo Deputy Director, Environment/Social Safeguards Lagos Metropolitan Area Transport Authority (LAMATA) Block C, 2 <sup>nd</sup> Floor, Motorways Centre, 1, Motorways Avenue, Alausa, Ikeja, Lagos, Nigeria	Lagos, Nigeria
11.	Mr. Osifuye Adesanya Olufunmilayo	Director	Lagos State Ministry of Physical Planning and Urban Development	Lagos, Nigeria
12.	Prof. Philip John Harrison	Professor	WITS University and former City Manager Tel: 2340824577535	Johannesburg, South Africa

	<b>Name</b>	<b>Job Title</b>	<b>Organization</b>	<b>Country/City</b>
13.	Mr. Miles Bredin	Consultant		Nairobi, Kenya
14.	Mr. Maurice Mashiwa	PhD Student	Jomo Kenyatta University of Agriculture Technology (JKUAT)	Nairobi, Kenya
15.	Prof. Tade Akin Aina	Executive Director	PASGR	Nairobi, Kenya
16.	Dr. Nicholas Awortwi	Director of Research	PASGR	Nairobi, Kenya
17.	Dr. Darlison Kaija	Programme Coordinator, Research	PASGR	Nairobi, Kenya
18.	Ms. Wangui Kimari	Programme Consultant	PASGR	Nairobi, Kenya
19.	Ms. Pamellah Lidaywa	Programme Assistant, Research	PASGR	Nairobi, Kenya
20.	Ms. Nyambura Irungu	Programme Assistant, PDT	PASGR	Nairobi, Kenya

### Annex 3: Presentation Guide

1. The angle from which the country study pitches the framework paper
  - Country context (political economy context (past & present), cities in the country, urbanization trends and effects, etc.)
  - Relationship between national and urban government (context of political, admin, fiscal decentralization policies& practices)
  - Focus on the study city (demographic trends, eco & political importance of the city to the state, infrastructure projects, service trends, political and administrative governance of the city, socio-cultural, institutions & public sphere, major infrastructure and governance challenges, etc.)
  - Major turnaround (give anecdotal evidence about past and present of what has turned), major actors in the turnaround, leadership, etc.
2. Selection of 3-4 flagship initiatives & justification for selecting them
3. Research questions:
  - Overarching research questions from the framework paper that are relevant to the country study context:
  - New/modified questions to be included from the country's study perspective?
4. Methodology
  - Data needs, availability and collection method (field instruments). Please refer to the framework paper page 18 (the 8 bullet points) and page 20 (the first two bullet points) and indicate the sort of data that will be needed in order to undertake the required analysis;
  - Data sources: primary data: who to talk to, how many people, when, any information on existing data base to use
  - Data processing methods
  - Type of analysis (mixed of qualitative & quantitative)
  - Policy engagement
5. Video Coverage: how this will be done and the story line?
6. Work plan (activities and timelines for deliverables): Refer to project timeframe & key outputs and develop project work plan
  - Submission of research outline (Max 10 pages by May 29th)
  - Literature review
  - Data collection
  - Analysis & write up
  - Submission of first draft report
  - Submission of final draft report
7. Submission of book chapter



## Annex 4: Methodological Note

The purpose of this note is to summarize the methodological agreement reached at the Inception Workshop in Nairobi. The intention is that this will inform the detailed research plans and methodology of the country teams that will execute the research work. It will also be incorporated into the revision of the Framing Paper for the project.

### 1. Criteria for turn-around cities

At the core of the project is the trope of “turn-around” cities. This will be elaborated and contextualized in the revised framing paper, but for now, the criteria can be boiled down to these features:

- i. There is a marked improvement in the economic performance of the city over the past 5-10 years, with prospects for sustained growth, defined narrowly in GDP terms. The qualitative dimensions of the economic growth, for example, how labour-intensive or ecologically resilient the growth might be, are not an immediate consideration.
- ii. There is an expanding public investment agenda, with a clear focus on economic infrastructure, especially investments that can enhance productivity and inclusivity, e.g. public transport, road and rail infrastructure, social development investments and housing. Due to earlier periods of civil conflict and conservative fiscal policies associated with structural adjustment programmes, many African governments have been under-investing in various categories of infrastructure which reinforce a negative spiral of urban dysfunction. In recent times there has been a renewed focus on raising public investments and this is particularly acute in urban areas deemed to be at the core of the country’s larger economic system and fortunes.
- iii. There is evidence of fast-tracked projects over and above the routine operations of the city, that enjoy dedicated resources, implementation mechanisms and high level political backing, manifest in “world-class” and/or “turn-around” discourses. Most countries and cities that want to use public policy instruments to advance their economic positioning embrace the idea that they need to invest in rebranding the country and its main spatial landing pad—the economic hub found in major cities. Consequently, investments are made into high profile, flagship initiatives that send a signal to the investor community that the country is prioritising and advancing world-class infrastructure that offers a landing pad for international investors and a rich cultural milieu for creative and service workers. This typically takes the form of high-end mixed-use precincts or new towns, downtown renewal efforts and an investment in attracting various international events.
- iv. A policy and institutional commitment to effective urban management is visible in one form or another. Urban management reforms tend to coincide with the priorities identified before. Most importantly, a lot of political capital is invested to create business-friendly planning and administrative processes which in turn leads to institutional reforms to create extraordinary public institutions to delivery specific projects or one-stop transaction centres or a combination of these kinds of interventions. In more mature settings, these institutional reforms feed into more broad-based efforts to professionalise the public sector, strengthen leadership and create more transparent forms of governance.
- v. There is an expressed desire for international recognition and reputation building as being, for example, world-class and/or globally competitive. As intimated before, cities that aim to dramatically change their fortunes tend to identify the international investor community as a key target audience to be persuaded about the

modernisation zeal and potential of the city. Thus, extraordinary efforts are made to brand, market and hype the city, with the flagship projects used as primary evidence in the messaging.

This project will use these criteria as a reference point in researching and demonstrating the “turn-around” status of each case study. The other dimensions of the research will then serve to further manifest and analyse these dynamics. In broad terms, each research team and the project as a whole will endeavour to answer the following questions:

1. What is the evidence that the research reflects the criteria of turn-around cities?
2. What are the primary elements of the urban development agenda?
3. What is the discursive rationale and strategy of the urban development agenda and priority programmes that are invested with political capital?
4. Do the flagship projects potentially contribute to more adaptive and inclusive patterns of urban development, considering various dimensions of urban power and exclusion, including gender?
5. What is the genesis of the flagship initiative? Where do they originate from as an idea/imaginary and programmatic artifact?
6. To what extent were the priority programmes or flagship initiatives developed in a top-down technocratic fashion, and/or in a consultative manner?
7. What are the prospects of achieving the stated goals of the flagship initiatives?
8. What are the prospects of the flagship initiative to establish a pathway towards greater adaptiveness and inclusivity?

We now provide a step-by-step sense of the categories of data and analysis that need to be assembled to answer these questions.

## **2. Political economy context of urban development dynamics**

It will be important that each research team map out, even if in very schematic terms, the drivers of the political economy of urban development. Some of the issues that could be explored in such an elucidation are:

- the compositional nature of the regional economy—sectors, relative size of each in terms of contribution to regional general value add/economic output and labour market, formal-informal dynamics, and so forth;
- labour market dynamics, especially in terms of formal and informal sectors but also in terms of age cohorts and how that links with the larger demographic structure of the city-region;
- informal economy—size, shape and dynamics;
- social mobility, with an eye on what is happening to the middle-class—speed at which it is growing, consumption preferences as it pertains to housing demand and mobility;
- inward invest trends over a 10-15 period to help understand where the investors come from and what the compositional shifts might be as the city has started to turn-around;
- civil society dynamics: organisational thickness, media and freedom of expression, the voice of women and other disadvantaged sectors, election dynamics and political parties, and the profile and role of public intellectuals who might be the only legitimate source of opinion to contest the “turn-around” narrative.

## **3. Governance context and system**

To enable us to think across the three contexts, it will be useful to have some common background information about the governance systems. In this regard it will be important to have insight into:

- the relevant powers and functions in the control of the (local) authority that is driving the overall urban development processes and the flagships in particular;
- some sense of the political and institutional precedents (colonial, postcolonial) and continuities for how the system works at present;
- the nature of the multi-level government system and how interactions between tiers/levels of government are organised;
- the division of revenue and expenditure across the levels of government with specific reference to the financing mechanisms of the flagship projects and the broader domains that they impact on;
- the basic statistics on levels of access to basic services and other urban functions (use official statistics and customer satisfaction surveys where these might exist);
- a catalogue of the proclaimed urban development priorities over the past decade; and
- similarly, a catalogue of the proclaimed priority initiatives.

#### **4. Overview of the Flagships**

It will be necessary for each research team to provide some overview sense of the suite of flagship initiatives so that the choice for the two that will be explored in greater depth is clearly established. In the overview discussion, a short summary of each should be provided with a reflection on the “discursive frame” that cohere these projects, or not, as the case might be. This will create a legible context for the in-depth discussions that will follow.

#### **5. In-depth account of 2 flagship initiatives**

Without being too prescriptive, it would be ideal if the discussions on the flagship initiatives cover the following ground:

- the relevance of the flagship initiatives in relation to the broader development challenges facing the city with an eye on making an interpretative judgment about the appropriateness of these priorities;
- likelihood of consistent implementation and achievement of the formal goals of the initiatives by reflecting on the institutional architecture and efficacy of the delivery aspects;
- a risk profile of the initiatives in terms of economic, political, cultural and social impacts;
- the institutional and political capacity to anticipate and manage risk and opposition to the initiatives;
- a rounded account of civil society and private sector responses and motivations without treating these as homogenous categories and ensuring a gendered analysis of the findings;
- prospects of the interventions to establish and/or consolidate new path dependencies for the city-region over the medium- and long-term in the direction of the normative concern of the study: inclusive and adaptive urban development pathways.

In turning the data into a research narrative, it will be essential to keep an eye on the analytical frame of the project that was established at the Inception Workshop to include the following elements:

Analytical Category	Dimensions <sup>1</sup>
1. Capacity	<ul style="list-style-type: none"> <li>• Human</li> <li>• Financial</li> <li>• Institutional systems to plan and act/implement</li> </ul>
2. Inclusiveness	<ul style="list-style-type: none"> <li>• Public satisfaction</li> <li>• Nature of decision-making processes</li> </ul>
3. Accountability	<ul style="list-style-type: none"> <li>• Multi-level system: powers and functions division</li> <li>• Democratic mechanisms to mediate decision-making within (local) state and with external actors, especially around contested issues</li> </ul>
4. Contestation	<ul style="list-style-type: none"> <li>• Type of political regime</li> <li>• Relationships between political parties and within</li> </ul>

## 6. Policy Implications

The policy implications can pertain to the specific flagships but for the project as a whole, it makes sense to return to the four analytical categories in the table above, which in turn will be embedded in the broader conceptual frame set out in the framing paper. The PI will work with each team throughout the research process to figure out at what level the policy implications should be pitched.

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<sup>1</sup> All of these dimensions should be considered with a gendered lens to ensure that the various lines of intersectionality are carefully woven into the research process and findings.

## Annex 5: Project Timeframe and Key Outputs

Timeframe	Activity	Key outputs
April-May, 2015	Literature review on the legal and institutional history of urban governance in the country and city	Draft country and city literature
May 18-19, 2015	Project inception workshop	Conceptual, analytical and research approach discussed.  Overall research inputs and outputs discussed  Country research plans discussed
May 25-29, 2015	Developing project work plan	Project work plan submitted
June – Aug, 2015	In-depth engagement with a selection of flagship projects that comply with the overall framing of the enquiry	Focused conceptual case study interests identified
Sep – Oct, 2015	Analysis and write-up	Draft country reports submitted to PASGR by October 15, 2015
November, 2015	Review workshop	Draft country reports discussed
Nov-Dec, 2015	Revision of country reports	Final country research reports submitted to PASGR by December 15, 2015
Nov-Dec, 2015	Synthesis paper	Final project synthesis paper
January, 2016	External review of country & synthesis papers	External reviewers' comments
January, 2016	Chapters for the book	Draft chapters submitted to PASGR by January 31, 2016
Feb - March, 2016	Revision of country & synthesis papers based on external reviewers' comments  Revision of chapters  Writing of policy briefs	Revised final country and synthesis papers submitted to PASGR by March 31, 2015  Final chapters submitted to PASGR by March 31, 2016  Draft country policy briefs submitted to PASGR by March 31, 2016
April, 2016	Publication of country and synthesis papers	PASGR working papers published by April, 30, 2016
April, 2016	Compilation of the manuscript  Finalisation of policy briefs	Manuscript submitted to a publisher by April 30, 2016.  Final country policy briefs submitted to PASGR by April 30, 2016