

Technical Report 4.1 | Urban Governance and Planning

Participatory City Making

Polycentric Governance and Human-Centred,
Inclusive Urban Design

A Technical Report commissioned by the Addis Ababa Urban Age Task Force



URBAN AGE

Addis Ababa Urban Age Task Force

The purpose of the Addis Ababa Urban Age Task Force (AAUATF) is to support the City of Addis Ababa in advancing its strategic development agenda. The Task Force's work builds upon the Addis Ababa City Structure Plan 2017-2027, exploring opportunities for compact and well-connected urban growth that can be delivered through integrated city governance. In addition to advisory activities and capacity building, it identifies strategic pilot projects to address complex urban challenges around housing, urban accessibility, green and blue infrastructure, and urban governance. The AAUATF is a partnership between the Addis Ababa City Plan and Development Commission (AACPDC), LSE Cities at the London School of Economics and Political Science, the Alfred Herrhausen Gesellschaft, and the Deutsche Gesellschaft für Internationale Zusammenarbeit (GIZ) GmbH.

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Executive Summary

This paper identifies and reviews approaches and practices applied in Africa, which could inspire future urban development in Addis Ababa to be rooted in the local communities through participatory processes, especially human-centred design approaches, co-creative consultation practices and the application of polycentric (multi-stakeholder) and bottom-up governance. It shows in practical terms how human-centred design can be implemented through inclusive co-creation of urban projects and involving concerned local communities. It also demonstrates the systemic linkages between co-creative design and models of cooperative and, as a logical consequence, localised and polycentric governance that can ensure the adequacy, feasibility, and implementation and thus, the sustainability of projects. The approach is based on the AAUATF's assumption that the development approach to be adopted by the city will benefit from pilots that demonstrate the effectiveness of local level planning and the creation of implementation strategies that are right-sized and fit-for-purpose.

First, the paper concisely elaborates on the systemic linkage between human-centred urban design and respective structures of urban governance. Second, the paper sketches - in a highly simplified manner - the framework and current practices of local development planning and governance in Addis Ababa with a critical view on their participatory character, in order to briefly analyse the systemic barriers to co-creative processes. Third, it presents a range of international reference cases of evidence-based practices and alternatives of target group centred design, approaches of co-creation of urban development projects, and specific practices of governance and institutionalisation. Fourth, given the strong dynamics of urban sprawl and economic growth in the greater Addis Ababa, it includes a succinct presentation of IBA (from German: Internationale Bauausstellung - international building exhibition), an innovative format of strategic, long-term oriented metropolitan development planning. And fifth, experiences with inter-municipal networks for knowledge exchange are presented from the Maghreb region. They include both municipalities and civil society organisations involved in urban development planning and are an efficient tool for participation, communication and processual learning.

Finally, potential pilot projects for co-creative urban design in Addis Ababa are proposed, based on interviews with experts from the AAUATF. The subjects proposed concern habitat and business opportunities for relocated inhabitants, green/blue infrastructure, waste management in low-income areas.

1. Introduction

Addis Ababa figures among the fastest-growing cities on the African continent with expected one million new inhabitants during the coming decade. Compact growth is the overall strategic approach adopted by the Addis Ababa City Government. According to the Addis Ababa City Structure Plan 2017–2027 (hereafter: The Structure Plan), the City Government plans to build almost 650,000 housing units on both new development sites as well as in inner-city areas which shall be densified. About 35% shall accommodate low-income groups. The development shall display an appropriate balance between housing, economic activities and green/blue infrastructure. Streets shall be planned or revived for mixed use of housing, transport, and economic activities, designed to all strands of inhabitants, and expected increase in transport shall be environment-friendly. The implementation of the Structure Plan will require an interdisciplinary approach and respectively, integrated governance and coordination between all departments of the city government, relevant national agencies, and the civil society, as competing land-uses and interests will have to be reconciled. However, the Structure Plan seems to be contested for various reasons (political interests, ethnic conflicts) and is currently in the process of revision.

The Structure Plan is in line with Ethiopia's National Growth and Transformation Plan (GTP), which aims on making the capital one of Africa's first economic destinations. It puts forward the systemic linkage between the urban prospects and governance and seeks to strengthen the Government's (and thus: the local government's) respective implementation capacities. The GTP intends, inter alia, to ensure good governance through public participation and to enhance youth and women empowerment. In 2018, the Addis Ababa Urban Age Conference investigated how current models of planning and governance could be shaped to increase participation and inclusiveness of development and be leveraged in order to achieve greater integration between efficiency, productivity, accessibility, and social justice.

The Addis Ababa Urban Age Task Force (AAUATF, henceforth: the Task Force), assists the Addis Ababa City Government with the implementation, by identifying urban development pilots for strategic interventions across the three interrelated areas of housing and urban intensification, accessibility and streets, and green and blue infrastructure, with an overall view on Integrated governance for compact growth (P. Rode, M. Tadesse: "Towards an Addis Ababa Urban Age Task Force", Pre-Assessment Report, 03/2019). As part of this support, participatory governance approaches for human-centred urban design shall be promoted and piloted with the help of the Task Force. Commissioned by a collaborative initiative set up by the Addis Ababa City Plan and Development Commission, the LSE Cities programme at the London School of Economics and Political Science, the Alfred Herrhausen Gesellschaft, and the Deutsche Gesellschaft für Internationale Zusammenarbeit (GIZ)

GmbH, this paper suggests respective approaches, which are substantiated by a range of examples implemented in other African countries. The study demonstrates in practical (i.e. implementational) terms how human-centred, inclusive design can be achieved through the inclusive co-creation of solutions (rather than top-down, expert-driven and abstract solutions) and the conception of new models of cooperative and polycentric governance that can ensure the feasibility and sustainability of hyper-localised solutions in Addis Ababa.

2. Objective and scope

Still, urban development planning in Africa and other parts of the world follows a top-down and expert-driven approach. The results are merely abstract solutions, structurally not taking enough into consideration the inhabitant's real needs. The risk of neglect of specific needs and interests – usually those of the 'ordinary', often disadvantaged citizens – and discontent is imminent. Consultation, one form of participation, treats citizens and urban dwellers as the object of research and action, but does not empower them as the dynamic agents of change in their own context, with a solid expertise assuring that their own needs with regards to the development of their neighbourhood or their urban activity radius are taken into account. In that regard, every person or organisation who is excluded from shaping the city is both energy and an opportunity lost.

Against this background, this paper identifies and reviews approaches and practices which support future urban development in Addis Ababa to be rooted in the local communities through human-centred design, co-creative development, and the implementation of polycentric, multi-stakeholder and bottom-up governance. The review paper demonstrates that this statement is not ideology, but based on evidence. It shows in practical terms how human-centred design can be implemented through inclusive co-creation of urban projects and involving concerned local communities. It also demonstrates the systemic linkages between co-creative design and (new) models of cooperative and, as a logical consequence, localised (neighbourhood-centred) and polycentric governance that can ensure the adequacy, feasibility and implementation of projects, thus assuring acceptance by the public and contributing to their sustainability. It provides elements for a practical guidance document that proposes actionable pathways of furthering experimental development in Addis Ababa in the context of the Structure Plan. This is based on the AAUATF's assumption that the development approach to be adopted by the city will benefit from pilots that demonstrate the effectiveness of local level planning and the creation of implementation strategies that are right-sized and fit-for-purpose.

Proposals are focused on the creation of liveable habitat conditions or citizen-oriented governance practices, and they are substantiated by practical examples that other cities with more or less comparable conditions have experimented with. The proposals are meant to inspire ideas for the Addis Ababa urban development process and to further the discussion. The ensuing chapters are structured as follows:

Section 3 sets out general aspects of the relation between adequate forms of urban governance as one important dimension (among others) of the (sub-)local suitability of urban planning and thus its sustainability. It briefly elaborates on the systemic linkage between human-centred urban design and respective structures of urban governance. Considering the specific conditions of urban development in Addis Ababa, namely the densification strategy and the repercussions on inner-urban migration entailing a strong impact on housing, land use, transport, and the natural environment, planning must engage to a great extent in local area development. Consequently, approaches and structures of governance must adapt.

Section 4 sketches - in a highly simplified manner - the framework and current practices of local development planning and governance in Addis Ababa with a critical view on their participatory character, in order to briefly analyse the systemic barriers to co-creative processes. This serves to adequately frame human-centred urban design approaches and to complement and/or contrast the international experiences displayed in Chapter 5 with Addis Ababa's past and current experiences.

Section 5 elaborates on various dimensions (issues) of systemic and holistic approach, which suggest themselves for public participation. They include site or place making, area development, service experience improvement, service system optimisation, policy and/or vision generation, finance management, and political culture.

Section 6 presents a range of international reference cases of evidence-based practices and alternatives of target group-centred design, approaches of inclusive co-creation of urban development projects, and specific practices of governance and institutionalisation. They are presented as possible pathways towards a greater level of democratic local governance. Cases are focused on the innovative aspects concerning participation and governance. They describe the respective context, the specific challenge, the procedural approach, aspects of governance and institutionalisation.

Section 7 proposes potential pilot projects for co-creative urban design in Addis Ababa, based on interviews with experts from the AAUATF. The subjects proposed are concerning habitat and business opportunities for relocated inhabitants, green/blue infrastructure, and waste management in low-income areas.

An annex elaborates on opportunities and challenges of digitalisation for public participation on polycentric governance and human-centred, inclusive design.

3. Poly-Centric Governance for Sustainable Urban Development

3.1 Government

For development approaches to be human-centred and local, they are first and foremost a subject of respective political will and of adaptive forms of governance. Talking about democratic governance, three structural aspects are systemically interdependent with view to effective participation and strategic alignment of interests of citizens, economic actors, and social organisations, thus leading to sustainable urban development:

Local self-administration as a pillar for democratic statehood

The UN New Urban Agenda states that city administrations and urban civil society together play a crucial role not only for the local development, but also on a national and even global level. Cities provide ground and conditions for economic opportunities, social coherence, climate protection, and general well-being of citizens. Regional and city governments of all sizes implement the 2030 Agenda and the Paris Agreement. There is no more room for a mindset which regards subnational government in general, and local government in particular, as a lower or inferior level of government, sometimes even as a mere administrative arm of a higher tier of government. Accordingly, national governments need to deploy and empower the local competences and capacities. That implies a change of role for national governments: Rather than conducting local development projects themselves, they organise legal conditions, financial opportunities, and an overall framework for a better performance of local governments. Local self-administration is not only a constitutional foundation of democratic statehood, and citizen-orientation of local politics is not only a pillar of local development capacity – human-centred governance depends on decentralised forms of government. Rather, national, regional and city governments must form part of an integrated and joined-up government system, particularly in a complex metropolitan context, where poly-centric and multi-actor governance is key to strategically forward-looking, integrated and coherent development. In summary, well managed cities play a key-role in local, national and global development.

Citizen-friendly municipal services and decision processes

As cities are catalysts for social, economic and cultural development, urbanisation provides citizens, among others, with improved access to information. Accordingly, citizens claim for qualitative and efficient municipal services, transparency, and opportunities to be involved in decision-making (by election, or as organised civil society). Their creative potential should be used. Citizen-oriented, transparent, and effective climate-friendly urban service delivery and public management are essential with regards to a trustful relation between citizens and the administration, and finally to a political culture of democracy. Politicians and local administrations must orientate their attention on the entire city and on all

citizens - rather than on parts of the city, or on certain interest-groups or so-called elites. City governments should not hand-pick who they service – a precondition for social cohesion. In addition, transfer of competences to local and sub-local governments must go hand in hand with increased capacities there – these must be implemented iteratively and in parallel.

Human-centred planning and co-creation

Human-centredness of urban planning and design is an objective, co-creation the respective methodological approach. The involvement of citizens, organisations, economic actors provide opportunities for co-creating projects, thus getting different interests, needs, and aspects more balanced. This approach requires per se decentralised or localised urban governance – they are the two sides of the same coin. Localised governance can be implemented with a) respectively decentralised government structures, such as local area offices or (ethnic) representatives, effective and user-friendly organised area-based administrative units, and b) with localised or target group-focused formats of co-creation.

3.2 From Strategic Considerations to Local Projects

Urban development, especially under conditions of rapid growth and the urgent need for adaptation to climate change, usually comes along with (partly) contrasting interests of different community factions. Questions seemingly relevant to the Addis Ababa context must be answered, such as “Will the densification strategy increase cost of housing? Must farmers leave their inner-urban land? Do newly built condominium areas lack space for economic activities (production or commerce) or green areas? How can interests and needs of city dwellers be incorporated in the design process right from the beginning?” Yes, strategic objectives and abstract systemic considerations (e.g., inner-urban densification) are necessary. However, they may contradict with the interests and actual needs of inhabitants, looking to avoid displacement or to contain the costs of housing, for example. It is important to see those interdependencies and the systemic implications of decisions. Systemic thinking rather than mono-dimensional design is important to guide urban development towards sustainable trajectories.

Sustainable urban development relies on interdisciplinary planning approaches, on informed involvement of citizens, and on respective interconnected (poly-centric) governance. Depending on the area to be developed, and on the impact radius of a concrete development project, governmental interconnectivity is subject to systematic information flows and well-structured communication between government levels involved (metropolitan, municipal, district, or area authorities) on the one hand, and to systematic communication loops with respective civil society organisations.

Besides implementation of major big projects (e.g., “la Gare” and others) it seems that the Addis Ababa City Administration is (getting) aware of the need for area-focused (hyper-local) development, given the distinct conditions of housing and land use, transportation and environment in a rapidly changing urban environment. Citizens need to be involved in all stages of planning – from the first strategic considerations to the concrete project or object. Governance needs to be oriented accordingly and be able to combine overall strategic considerations with a local-level focus, through multi-stakeholder negotiation processes. Government-structures and decision-making procedures must follow. Urban planners need to be able to communicate and translate strategic and sometimes abstract considerations into easily understandable ideas. And even more they always need to be willing/able to carefully listen to the ‘ordinary people’s’ concerns. Additionally, the specific expertise of citizens and city-users need to be acknowledged. Co-creation and respective structures and procedures of governance are ingredients for strengthening ownership, both for planners and for citizens – a prerogative for identification with and pro-active acceptance of new developments.

Since “Participation” is a widely and commonly used term, and consequently became blurred as a concept, it is important to break it down to more tangible degrees and levels, which help qualifying different forms of the same. Prominently, Sherry Arnstein’s Ladder of Participation¹ (Figure 1) distinguished between levels of real participation, exposing multiple which do not meet minimal standards to do justice to the actual intent.

Bryan Smith² has made a simple yet valuable classification of the “nature” of a process (Table 1). The model does not claim a priori superiority of one form over the other but demands appropriate choices considering implications in terms of commitment etc.

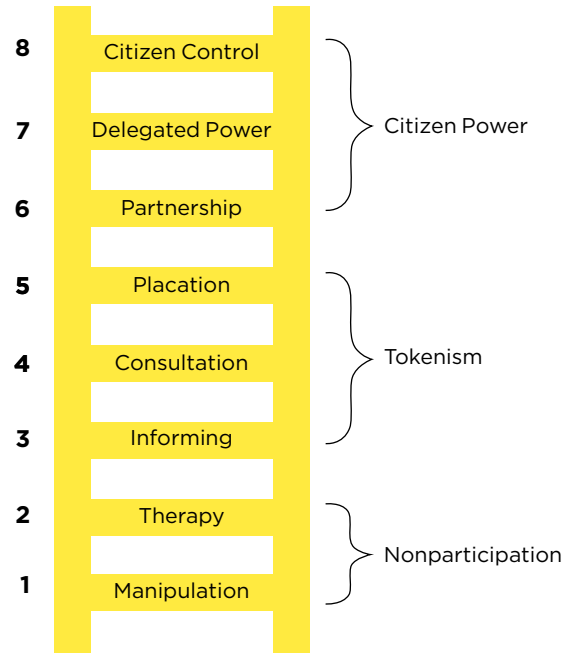


Figure 1: Sherry Arnstein’s Ladder of Participation

Consultation and co-creation do not exclude each other: at an early stage of urban planning, consultation can be an effective form of participation, to analyse citizen’s needs and specific local conditions. But participation should not be limited to that: the more the planning process comes to local or sectoral aspects, the co-creational process can put real needs and desires (usability) of inhabitants at the centre of the design process – as a concretisation and substantiation of previous systemic and strategic considerations of the overall (metropolitan) development (e.g., the Structure Plan). But it is necessary to avoid an isolated view: each pilot is part of the whole urban system, and therefore always needs to be mirrored with the strategic aspects of the urban integrated development.


	TELL	SELL	TEST	CONSULT	CO-CREATE
	Demand compliance	Seek buy-in	Invite response	Request input	Collaborate
Does a decision already exist?	Yes (final form)	Yes (final form)	Yes (draft form)	No	No
Who decides?	Boss	Boss	Boss	Boss	Everyone
Communication method	Top-down transmission of information	Top-down transmission of information	Top-down & bottom-up transmission of information	Top-down & bottom-up transmission of information	Conservation
Level of engagement (and therefore commitment to action)	Low 				High

Table 1: Classification of the ‘nature’ of the problem based on original work by Bryan Smith

¹ Sherry R. Arnstein (1969) A Ladder Of Citizen Participation, Journal of the American Institute of Planners, 35:4, 216-224. <https://doi.org/10.1080/01944366908977225>
A simple overview over the rungs can be found at <https://catcomm.org/ladder-participation/>

² in: Senge, P. M. (1994). The Fifth discipline fieldbook: strategies and tools for building a learning organization. New York: Currency, Doubleday

Co-creation is iterative and adaptive, thus allowing for the emergence of local (adapted and owned) solutions through experimentation and trial-and-error approaches.

Why participation? Participation – to an appreciable level – is both, a democratic imperative in itself, but as much the only manner to meaningfully cope with complexity, which is the prevalent feature of most urban issues and challenges. A defining feature of complexity is the absence of an agreeable definition of what the problem is, let alone its “solution”. Complexity by default recognises problems as a “mess”, which eludes a single formulation of its traits and features because causal relationships are not linear and hence not identifiable in a straight manner:

“One of the greatest mistakes when dealing with a mess is not seeing its dimensions in their entirety, carving off a part, and dealing with this part as if it were a problem and then solving it as if it were a puzzle, all the while ignoring the linkages and connections to other dimensions of the mess.”³

Therefore, complex issues are perceptual and experiential. The only way to understand a situation, issue or system holistically is to aggregate multiple perspectives. The same then applies for working out “response” (which differ from single and definite solutions, as they always remain subject to contingency).

Adam Kahane⁴ distinguishes three types of complexity, which distinguish ordered problems from unordered problems, suggesting that unordered problems require addressing in a systemic, emergent, and participatory way (Figure 2).

Urban transformation presents opportunities for those who have the ability, means, and creativity to adapt. Related questions require responses that have been negotiated with and by people concerned. Everybody is an expert as far as their own interests are concerned; people usually know well what specifically matters for them to find opportunities under altering conditions. Co-creative approaches promote active involvement, where citizens are not treated as passive objects of urban planning but recognised as active co-subjects. Their creative involvement in the design of houses, streets, parks, markets, open space, etc. is an opportunity and key to reach adapted and adoptable solutions. Co-creative design is per se human-centred, as it involves communities and individuals concerned by a given project and who in return, are motivated to participate in order to find their interests promoted. The process is iterative, developing step-by-step adapted, sometimes preliminary solutions which may have to be revised once new aspects need to be incorporated.

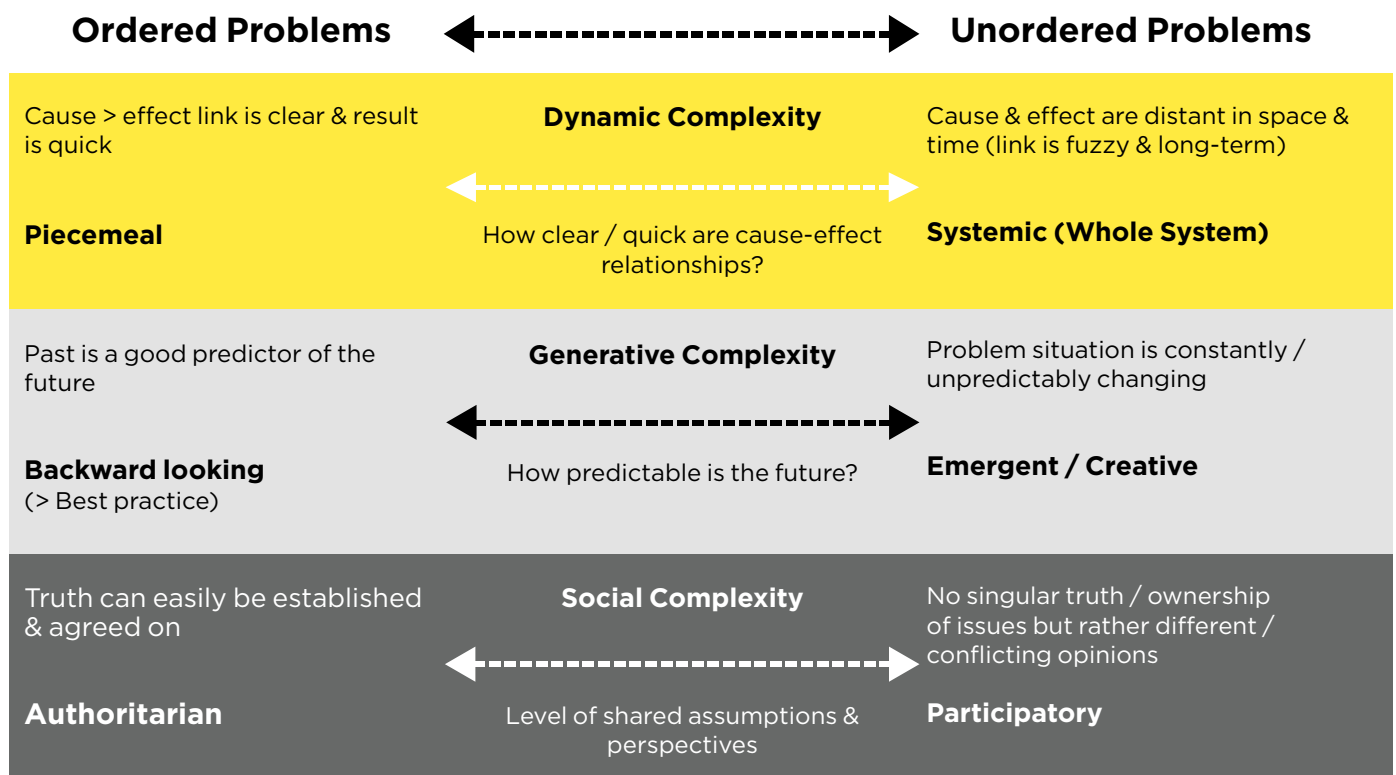


Figure 2: Adam Kahane’s three types of complexity demonstrating the difference between ‘ordered problems’ and ‘unordered problems’

³ R. Ackoff/ M. Pidd in B. Ramalingam: Exploring the Science of Complexity (IDS Working Paper 285)

⁴ Kahane, A. (2004). Solving Tough Problems: An Open Way of Talking, Listening, and Creating

4. Urban Governance in Addis Ababa

Both the National Development Plan (GTP) and the Structure Plan confirm the intention of the national and the city authorities to make urban development more inclusive, and to allow citizens' participation. The Structure Plan is based on a deep analysis of future urban trends and is oriented towards making the city an economic hub on the African continent. Yet, it is not "inclusive", considering expectable segregating impacts from the projected densification on small businesses and low-income people. Interviews held by the author on January 19 and 24, 2020, with members of the AAUATF resulted in a more relative picture concerning the reality of participation in local governance in Addis Ababa per today, as the following aspects illustrate.

4.1 Government

Cities worldwide are, above all, a platform for social, economic, and cultural interaction, yet materialised by their topography and an environment of buildings, public space, and infrastructure. Thus, they are the scene of permanent political bargaining between various interests, which can be either compatible, controversial, or non-interferent. Actual urban development is therefore first and foremost subject of a process of negotiation between interest groups. City authorities (mayors, councils) should moderate these processes. City administrations implement decisions taken.

However, and like in many other countries (particularly in the so-called developing world), interviews with urban planners from Addis Ababa showed that, urban development in Addis Ababa seems to be planned merely with a technocratic understanding of the task, i.e.: as physical engineering and building. Such an approach does not meet the complex reality of a city as a space of social, cultural, economic interaction and environmental concerns. Interviewees named this as one of the challenges which are pertinent for the city. Three basic formats for "participatory" development planning were mentioned being applied: needs assessments, presentation of draft concepts, and then the presentation of the final products, the (local) development plan. Nonetheless, as portrayed above this is a form of participation, but only a beginning. The actual development is leased to developers, who usually follow a business interest rather than a common, public interest. This may be the reason why the technocratic understanding of participation often falls short, to "information", or at best: "consultation" of the concerned communities. Again, consultation is better than no communication at all, but it leaves orphan many opportunities to really co-create urban design with citizens whose way of living or business-making or interests are concerned, and whose relative expertise is not used. Not to speak about lost opportunities for a democratic discourse that could lead to balancing interests and thus: social goodwill and accord.

4.2 Potential for Participatory Planning

During the interviews, it was mentioned that the Structure Plan was "ill-fated" from the start (as many other structure plans before), provoking even public unrest against it. Greater Addis Ababa stretches over different federal states with some new satellite-towns situated in states not under the jurisdiction of the City Administration. Political factions and certain ethnic groups feel this is a pretext to expand borders of the city into surrounding states, thus interfering in their federal affairs. The Plan is currently under revision, yet some bigger projects which are not in line with the Structure Plan are being implemented. This is a typical challenge for many capitals where national governments and city administrations interfere in each other's competencies. It urgently calls for coherent inter-connected, trans-administrative and cooperative governance structures and integrated planning procedures, able to manage multi-actor and interdisciplinary concertation. The current review of the Structure Plan might be an opportunity to adopt a more inclusive procedure. For this reason, IBA is presented under the case studies as a proposal to overcome a) the structural planning deficits in a metropolitan area which do not have corresponding inter-administrative metropolitan structures, and b) to make such a strategic process inclusive and participatory (Section 7).

Being a framework level plan there is no direct allusion to concrete ways of citizen participation. However, the Plan clearly spells out the strategic decision to make urban development inclusive and to introduce participatory elements into planning concepts at neighbourhood level planning. For some areas defined as "strategic", such as development corridors along big streets, local development plans exist. They present requirements for participation, but are deemed not participatory enough, and can be interpreted as either forwarding participation or not. The SP offers to strengthen the citizen engagement in these corridors. However, some of these corridors are subject to controversial interests. Nonetheless, inside the local development plans, projects could be developed as a test-field for pilot measures regarding inclusive participatory design.

It seems that there are few cases in current Addis Ababa planning practice where real co-creation of urban projects is put into practice. One example is the Friendship Square project. An initiative led by the Association of Ethiopian Architects tries to involve citizens in some pilot projects, some of which are mentioned in Section 6. However, a large majority of Addis Ababa residents are not aware of urban plans, planned projects, or necessary climate action and possible impacts on their daily life. That must not only be credited to the city administration, as this is a phenomenon which holds true for many cities in the world. In principle, engaging in co-creative processes is possible and could be promoted by the local authorities, but it should be led by the city council.

5. A Systematic Approach to Public Participation in Urban Settings

Different dimensions (issues) suggest themselves for public participation. They include:

i. Site or place making: This refers very much to designing and shaping a specific site, i.e., place-making as an established discipline in urban design: how will a specific location/built object/public space look, be used, shaped, built, managed, etc. Local ownership and meeting local expectations, interests, and needs is crucial and public participation of the residents of that place is a critical means to achieve same.

ii. Area development: Urban upgrading initiatives and master plans for defined development zones and neighbourhoods combine an overall concept with urban design issues. Considerations of land use, mobility and flow of people and goods, accessibility, urban morphologies, etc. influence specific design aspects such as zoning, parameter definition for built structures and infrastructure, etc.

iii. Service experience improvement: Citizens and residents experience and enjoy basic services, whether provided by public or private institutions, in a particular way which may or may not meet their needs and expectations and which may be a more or less positive, conducive experience. They may vary in terms of accessibility and affordability. There is always an opportunity to improve the service experience from the (end) user perspective (and possibly from the perspective of the “small agent” in charge to “retail” it).

iv. Service system optimisation: Closely linked to the previous point (which concerns the front “interface” of service delivery), an entire service system may benefit from input through participatory processes. Usually these systems are nested, i.e., cover an area, within a city, as part of a region and/or nation. Systems, e.g., a utility or an administrative service, involve many different contributors, agents, regulators and boundary partners (e.g., suppliers, etc).

v. Policy/ Vision Generation: An urban space – on neighbourhood, sectorial or city-wide/metropolitan level and beyond – may be inspired and stimulated by a shared vision, embodied in a policy, which contains and sketches out a preferred future and image. It provides direction, orientation, and benchmarking for ongoing developments and initiatives. Shared ownership over the same – generated through broad-based public participation – is a prerequisite for support, impact and adherence.

vi. Finance management/Accountability: Transparency of the flow of financial (and other) resources – into specific projects, initiatives, investments etc – is a key to ensuring that significant developments meet broadest-possible needs and interests. Public participation in financial structuring and decision-making is at the heart of climbing the ladder of participation to strata of giving citizens real power over their own lives. Participating in accountability processes is the reverse side of the same coin.

vii. Political Culture: Participating actively not only on the “consumption side” of the city (i.e., enjoying its spaces, services, offerings, opportunities, networks, etc.), but also on the “production side” (i.e., participating actively and significantly in its formative processes, including its governance) is the key notion of the “Right to the City”. This gives rise to a political culture, in which objects of the political process turn into its subjects, i.e., passive residents become active citizens. The political culture of an urban system will eventually imbue its functioning throughout.

“Strategy” does not figure as a category because many of the above-mentioned issues/fields are driven by strategy, i.e., planning and participation processes may see strategy as one output.

In specific situations, these different dimensions can have different scope (i.e., reach):

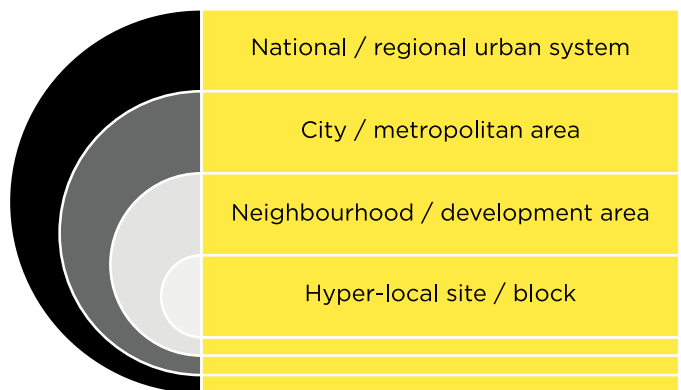


Figure 3: Different scales at which public participations can take place

These two scales can be intersected to provide a systematic map of situations for public participation, for which different approaches may be suitable (Table 2).

On the creational side (i.e. producing and shaping the appearance, form, dynamics and processes of the city), so-called “systemic large-group interventions” are widely used. These gather large numbers of stakeholders (usually between 50 and 500, from “ordinary” citizens to authorities, business, civil society, experts, and others) in a room and take them through a defined process of task solving; with the idea of a “whole-system approach” at heart, these groups are usually representative samples, mirroring the real-world stakeholder composition concerned with a particular issue. More specifically these interventions can have a specific co-design processes character; they elevate citizens to the rank of designers and involve them in the actual creative design process, allowing to surface ideas as much as expectations in real-time design. It’s most important to move the specific situation and needs of particular segments of the population into the focus, which gender-inclusive public space planning processes or youth fora will do.

Scale Dimension	Hyper-local site / block	Neighbourhood / development area	City / metropolitan area	National / regional urban system
Site / place making	Co-design processes ①② Virtual co-creation (visualisations) ③④ Gender-inclusive public space planning ⑨	Co-design processes ①② Virtual co-creation (visualisations) ③④ Gender inclusive public space planning ⑨		
Area development / Master planning		Co-design processes ①② Virtual co-creation (visualisations) ③④ Gender inclusive public space planning ⑨ Temporary relocations for upgrading ⑩ Deliberative processes		
Service experience improvement	Co-design processes ② Gender-inclusive public space planning ⑨ Systemic large-group interventions	Co-design processes ② Citizen spaces ⑥ Gender-inclusive public space planning ⑨ Systemic large-group interventions	Citizen spaces ⑥ Gender-inclusive public space planning ⑨ Systemic large group interventions	
Service systems optimisation		Community-based management systems / Local area dialogue committees ⑤ Youth projects / action plans ⑧ Gender-inclusive public space planning Deliberative processes ⑨		Deliberative processes
Policy / vision generation	Co-design processes ①②	Systemic large-group interventions Townhall meetings Youth fora ⑧ Deliberative processes		Systemic large-group interventions Participatory democracy (B. Barber)
Finance management / accountability	Participatory budgeting ⑦	Participatory budgeting ⑦ Deliberative processes	Participatory budgeting ⑦ Deliberative processes	Deliberative processes
Political culture			Deliberative democracy Participatory democracy	

Table 2: Classification of the ‘nature’ of the problem based on original work by Bryan Smith

Circled numbers refer to case studies in Section 6; for approaches without numbers, no case studies can be found in this review.

These design methods can be supported by the use of virtual visualisations, e.g. the use of 3D game-like tools for collaboration, which allow all co-designers to immediately see their own ideas and to play with alternations.

Moving towards implementation, citizens can participate in community-based action planning, where local resources, knowledge, and skills are leveraged, and citizens own a project by actively participating in its realisation. What's more, the planning of those implementation processes is then placed in the hands of the community. In particular involving young generations in action planning has proven to give youth projects more traction. In other cases, it may be existential for concerned parts of the population that the city provides bridging solutions (e.g., temporary relocations for neighbourhood upgrading), which it must define with the close participation of those affected.

Improving the citizens' experience of how the city is managed and how services are delivered, participation processes can make a critical difference – especially the application of human-centred design thinking processes can transform the service experience and whole-system approaches can provide insight and solutions which can't be achieved otherwise. Hence, the above-mentioned co-design processes and systemic large-group interventions are very effective means to redefine and calibrate city management and service delivery. Again, it may be critical to take specific needs of certain groups, such as girls and women or young people in general into consideration, using above-mentioned formats. In the daily experience and consumption of urban services, citizen spaces are low-threshold one-stop shops, i.e. access points for citizens to interact with and demand quality service delivery. Community-based management systems and local area dialogue committees put the actual management of services into the hands of citizens themselves.

Citizens also can participate actively in urban governance processes, such as policy formulation, agenda- and priority-setting, resource allocation, and demanding accountability and transparency. Formats for such purposes include townhall meetings, which gather citizens in a real-time conversational consulting space (both, physically and/or virtually). Deliberative processes (very prominently Citizens' Juries and their derivative formats) usually involving a smaller yet carefully crafted representative sample of citizens, gain great momentum. They engage citizens on very deep levels with rather specific and oftentimes highly technical issues, requesting inputs and seeking guidance from the panel on behalf of the larger community that they mirror. Lastly, participatory budgeting involves citizens in the allocation process of financial resources to different projects and programmes, and consequently in the monitoring of the delivery/implementation of the same.

On the macro-level of the full-blown governance system, deliberative and participatory democratic models are entering the dialogue more noticeably. In response to the widely discussed erosion of democratic models and practices, ways of revitalisation are sought-after. It is being recognised that the limitations of a merely representative democracy, with the occasional yes-no referendums on a few selected issues, are no longer vigorous enough to engage citizens in a meaningful manner. Forms of deliberative democracy are recognising the increasing and often overwhelming nature and complexity of political and managerial issues. They therefore work systematically with smaller yet representative panels of citizens, engage them in in-depth processes, where they are trained and upskilled to provide an informed and differentiated perspective and opinion of citizens into specific questions. Forms of participatory democracy in contrast strive to involve the largest-possible number of citizens in a specific issue, with the drawback that it is impossible to gain the same level of depth in terms of understanding, analysis, and opinion-making.

Lastly, public participation can intervene at different points in public processes and serve different functions. What kind of interaction between citizens and those in power is sought after? Depending on the stage of the process, citizens can take on different roles, and accordingly, the type of interaction is being determined by the role definition shown in Figure 4.

Again, as a consequence, each of these functional forms require different methods to engage citizens in an appropriate and effective manner.⁵

⁵ involve.org.uk provides a catalogue of methods, categorised on a simplified functional categorisation (which follows a similar logic: Agenda-setting – Policy development – Decision-making – Implementation): <https://www.involve.org.uk/resources/methods>)

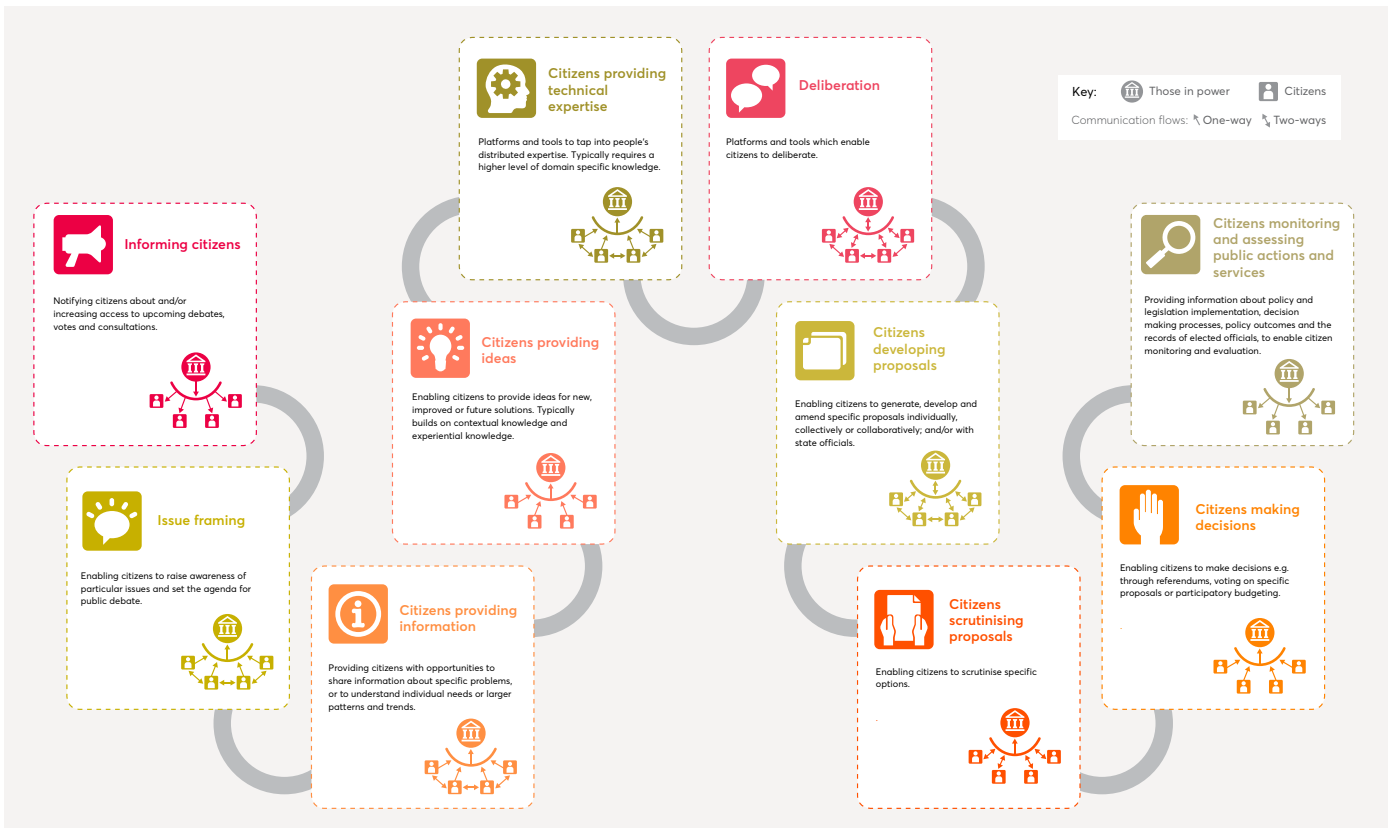


Figure 4: A typology of digital democracy

(Based on: Julie Simon, Theo Bass, Victoria Boelman, and Geoff Mulgan, Digital Democracy: The tools transforming political engagement. Nesta, February 2017, p. 13)

6. Human-centred Urban Design & Participatory Governance in Africa: 10 Case Descriptions

The following case studies demonstrate international African experiences with target group-centred co-creative urban development. They do not refer exclusively to the design of physical urban space, but also concern specific citizen-friendly practices of urban management and administration, political forms of citizen participation, and special gender or group-focused approaches. Those practices⁶, proven elsewhere and assumed to be self-evident, may be inspiring and, under certain conditions, potentially be adopted and adapted in comparable project contexts in Addis Ababa or other cities. Ten cases are presented as possible pathways towards a greater level of democratic local governance; they refer to the following subjects:

Creation of liveable habitat

1. Prevention of violence with a new Citizens' Park – Johannesburg
2. Community-driven co-design and place making – Cape Town

Participatory modelling to visualise development perspectives of urban space

3. Modelling public space – Nairobi
4. Modelling a new waterfront - Addis Ababa

Citizen-oriented urban management and administration

5. Community-driven waste management in informal areas – Cairo
6. 'Citizen-spaces' - Tunisian municipalities

Political forms of citizen-participation in urban governance

7. Citizen-Budget – various cities in Tunisia
8. Youth Fora – various cities in Tunisia

Special gender- or group-focused approaches

9. Her-City – gender-inclusive approach to plan public spaces - Nairobi
10. Temporary relocation for neighbourhood upgrading – Addis Ababa

Each case description is structured as follows: a) Context, b) Specific challenge, c) Approach, d) Governance and institutionalisation.

In addition, and given the dynamics of growth in the greater Addis Ababa area, an interesting and innovative format of strategic and long-term oriented metropolitan development might be useful to the Addis Ababa city administration – two examples of integrated and participatory metropolitan strategy development are presented. They refer to the concept of “Internationale Bauausstellung” (IBA) – international building exhibition.⁷

Finally, experiences with inter-municipal networks for experience exchange are presented from the Maghreb region. Though they have no direct reference to participatory urban design, citizen-oriented urban

management, and participatory governance, they have proven very efficient in terms of mutual learning and cooperation between cities, thus improving the performance of local governments and their administration and helping them to gradually emancipate from central authorities.

6.1 Creation of liveable habitat

Prevention of Violence with a new Citizens' Parc - Johannesburg

Context

With a population of 5,635,127, Johannesburg (metropolitan area) is the biggest city in South Africa. (Municipality of Johannesburg: 800,000). Due to the dense urban structure, in the central areas, the city lacks green areas like parks and public spaces. At the same time, existing parks are neither well-maintained by the municipality nor well-treated by the citizens. Instead of stimulating quality of life in the surrounding neighbourhoods, green areas often are places of crime and insecurity and widely used for littering and fires or illegal activities such as drug dealing; moreover, they are mostly sleeping places for homeless people.

Specific challenge

The government decided to upgrade the End Street North Park of Johannesburg, a small park rounded by highly frequented streets in the inner city, in cooperation with the Johannesburg City Parks and Zoo company (JCPZ) (a non-profit company that is mandated by the City of Johannesburg), which oversees developing and managing more than 3000 parks and public open spaces in the city, together with relevant city departments and other local and citywide active stakeholders. The pilot project, which has been implemented as part of the GIZ-supported “Violence Prevention in Urban Areas in South Africa” project, is considered a starting point for an integrated safety strategy for parks and public places that can be applied to further public spaces in Johannesburg and other (South-) African cities (more at: <https://www.urbanet.info/towards-pan-african-spaces-of-public/>; and <https://www.urbanet.info/cities-should-be-built-for-people/>)

Approach

As former centrally driven upgrading processes with remarkable financial investments didn't confirm sustainable results, the municipality decided to implement a community-based action plan. This approach takes in consideration the fact that, in a process of limited resources, park-users and other concerned stakeholders can be a valuable asset. The new approach aimed at elaborating measures to clean, maintain and revive the End Street North Park in cooperation with local associations, businesses, residents, and civil society organisations, making it a safe and inclusive space that

⁶ We explicitly avoid the terms “good” or even “best practice”, because in complex issues no such thing can exist. By definition, every practice must be emergent (cf. A. Kahane's exposé on complexity).

⁷ Reference is made to a paper on IBA at LSE: “An International Building Exhibition (IBA) at Addis Ababa – an appropriate approach for successful city development?” by Amdework, Efreem; Derichs, Anka; von der Mühlen, Michael (2021)

again conveys recreation and satisfaction to residents. The overall strategy was to motivate the main user group by involving them as “park experts” and creating an added value for them. An ultimate opportunity was to foster social respect to them and integrate them into the society.

At a stakeholder forum, local authorities and park users discussed problems, ideas, and challenges, bringing-in their own relative perspective. Together, they elaborated visions for a new park design that is functional, accessible, and inclusive. By working on the action plan, stakeholders developed a common understanding on how positively the park can impact their own daily lives. Park management groups were built. They organised events through chat groups and reached out to new stakeholders such as civilian and cultural associations which organise sport events and training sessions, as well as creative and other recreational and leisure activities in the park, making the public place a convenient space for a general public. The community-based approach increased the ownership of stakeholders remarkably. It tied the bond between citizens and their municipality and within the neighbourhood communities and made the park a safer place: “Genuine placemaking is when people of all ages, abilities, and socio-economic backgrounds can not only access and enjoy a place, but also play a key role in identifying, creating, and maintaining it. Placemaking is a catalyst for pulling in investment for the economic growth of an area and for bringing communities together to improve their neighbourhood spaces. This results in more “eyes on the street”, which contributes to making places safer.” (City of Johannesburg/GIZ/UN-Habitat: Transforming Public Parks into Safe and Inclusive Community Spaces; Lessons on collaboration and participation from the City of Johannesburg, 2019.)

Governance and institutionalisation

Such projects sometimes start by small initiatives, well-routed in the local communities.. A sports club (boxing) was the driving force behind the strong and successful youth involvement, and initiated the whole process. Politics and guidelines etc. alone would not have created the dynamics need to make this a success story. However, based on the lessons learnt from upgrading the End Street North Park within a resource-limited environment, a guideline was elaborated to give other South African cities the possibility to adapt it. The pilot-project became part of the City’s Growth and Development Strategy (GDS) 2040, to the Joburg City Safety Strategy (JCSS) and relates to the Sustainable Development Goal (SDG) no. 11.7 that requires “universal access to safe, inclusive and accessible, green and public spaces, in particular for women and children, older persons and persons with disabilities”.

Community-driven urban co-design and place making - Cape Town

Context

Almost two decades after the downfall of the apartheid, the South African Western Cape Government considers the country’s constitution (approved in 1996) as “the most progressive in the world” (Western Cape Government, www.westerncape.gov.za/general-publication/public-participation-government). However, citizens still strive after experiencing stronger democratic governance and participation. While the constitution is very progressive, it still leaves South Africa with a dire need to make democracy and participation a reality.

Until today, districts of all big cities remain racially segregated as they used to be under the Apartheid regime, separating people in the privileged areas near the city from disadvantaged people living mostly in poor conditions in the townships around. In addition, economic struggles (unemployment rate at almost 30%), health issues (nearly every fourth adult is infected by HIV), a low level of education (concerns about 50% of the population), and the negative impacts of the climate change remain serious challenges to resolve.

Specific challenge

At the local level, various initiatives of national and international institutions aim to strengthen a democratic spirit of administrative bodies and citizens. The City of Cape Town led by example when it organised urban design workshops for every single of its 111 electoral wards, with the intention of leveraging its role as the “ICSID World Design Capital 2014” (initiated by the International Council of Societies of Industrial Design) to strengthen participatory local governance.

“Since the announcement, its protagonists and the public opinion, articulated in the media, have put forward a heated discussion around what the World Design Capital could possibly mean for Cape Town and its people. Those involved in the bidding process and cognisant of the vision behind ICSID’s program understood that – since Cape Town suffered from a legacy which used design and urban planning to create division amongst people - it would need a re-design to bridge these previously built divides. The World Design Capital designation would be the big opportunity to create a focal point on design and use it for the greater good of the city” (Michael Wolf on Aug. 13, 2012 at <https://formula-d.co.za/journal/world-design-capital-2014-participatory-design-experimentation-key-urban-innovation/>).

Approach

In 2013, the City of Cape Town hosted the first so-called Co-Design Workshops, which offered a platform of co-creative Human-centred Design on local issues of the city. After a series of pilot workshops, the city held almost 70 collaborative exchanges between communities, process designers, and the public sector. The design challenges discussed during the workshop focused on the re-purposing of fallow or underutilised land in Cape Town, strategic infrastructure like transport interchanges, cultural and sports venues, and many more. Stakeholders from the public sector such as the relevant ward committees and sub-councillors, line department staff, the community, such as local residents and organisations, and local businesses participated to bring in their ideas to shape those projects successfully in a manner meeting wide spectrums of needs.

Oral history sessions to gather meaning from different stakeholders' perspectives ("story time") was the first step in a broader exchange that marked the first phase of a Co-Design Workshop. Stakeholders exchanged about challenges and potentials associated with the design task. In individual and group reflection sessions, participants developed dreams and visions (e.g., by creating vision boards) which were presented to the audience. Another creative key element was the "model building" that put members of the groups in the position of "instant designers"⁸.

Citizens became designers of their own space, and professional urban designers abandoned their initial role and acted as coaches of the discussions. Eventually the participants jointly presented several design concepts to city representatives. After the workshop, professional key-designers consolidated the generated ideas and sketches into a synthesised design concept and handed it over to the city administration, which is in charge to realise all those projects.

Governance and institutionalisation

On the basis of multiple prototypes for the process, a team of experts trained several teams of facilitators to replicate the workshop. It ran more than 60 times all over the city and gave birth to about 80 local projects.

Many of the developed projects have since been implemented. But more importantly, the process has acted as "proof of concept" that urban design and urban development can successfully be highly inclusive and co-creative, giving residents of an area the first word and engaging "ordinary" people actively in creating and shaping their own environment. Some of the practices have influenced and transformed various ways of how the city thinks and acts vis-à-vis the involvement of citizens in planning and design.

⁸ video: City of Cape Town. (2013). City of Cape Town Co-Design Workshops, Cape Town. Retrieved from <https://youtu.be/acJqkOZoc3U>

⁹ Naidoo, M. L. (2016). Exploring Design towards a Sustainable City: Through the lens of Cape Town as World Design Capital 2014 (Thesis). Stellenbosch University. Retrieved from <http://scholar.sun.ac.za/handle/10019.1/98529>

"A city is a complex organism, forever growing and mutating" (Lindsay Bush: The Perfect Storm – a guide to co-design for the public sector, Cape Town, 2014). It depends on bringing together relevant stakeholders to start discussions about local issues and municipal planning processes. In this sense, a co-design workshop can be used as a first step of a participatory planning process such as place making or a Community Action Plan but shall be adapted as a fundamental element of a longer process to foster the ownership of all stakeholders. As a Human-centred Design methodology it also has been adapted to other challenges like services and projects.

6.2 Participatory modelling to visualise development perspectives of urban space

Minecraft is an online computer game which allows players to explore and co-create a seemingly infinite digital landscape with dungeons and caves. Since 2012 UN-Habitat has been collaborating with Mojang, the makers of Minecraft, to create the Block-by-Block¹⁰ program (Westerberg and Sohel). The program uses the Minecraft game as a tool for the community-driven design public spaces. The playful character of the game and its simplicity make urban planning accessible and inclusive, reaching groups such as youth, women, slum residents, and groups with different educational backgrounds (Westerberg and Sohel). It can be used for engaging neighbourhood residents who don't typically have a voice in public projects in the co-creation of adapted and sustainable solutions for urban design. Its strength is that it makes ideas immediately visible, which for lay minds are difficult to imagine through abstract plans and descriptions; and those ideas can be varied on the fly to explore many alternatives. Minecraft can be applied on a nearly unlimited number of different cases. Here are two examples, one displaying the participatory process of re-designing public space in Nairobi, and the other one showing the co-creative building of a new waterfront in Addis Ababa¹¹.

Modelling public space - Nairobi

Context

Nairobi, Kenya, is home to more than 3 million people, while half the city's population shares 1.5% of the land area with an immense gap between rich and poor neighbourhoods (UN-Habitat, Block by Block.org). In neighbourhoods marked by extreme poverty, residents are forced to live in slum-like conditions. HIV/AIDS is a challenge, clean water and electricity are scarce, and children rarely have access to schools. Public spaces that meet resident needs are scarce.

¹⁰ <https://www.blockbyblock.org>

¹¹ More at: Westerberg, Pontus and Rana Sohel. Using Minecraft for Community Participation. 2016

Specific Challenge

In 2012, UN-Habitat and local partners, including the Nairobi City County government, Undugu Society of Kenya, Kilimanjaro Initiative, Project for Public Spaces, and Kounkuey Design Initiative, initiated a comprehensive community engagement process to identify public space improvements (UN-Habitat, Block by Block.org). The first site selected for this endeavour was the Udungu Sportsfield, which is an open space located in the Silanga area of Kibera. The field is one of a few open spaces in Kibera. It is used for a range of sports, recreational, cultural, and business activities. The public space project's goal in Undugu was to implement a "multi-purpose, inclusive and accessible public space to enhance urban safety, increase economic activity, provide recreational activities, engage children and youth through sports, improve quality of life, and in general strengthen the sense of ownership, responsibility, and well-being within the Silanga community" (UN-Habitat, Block by Block.org).

Approach

The Block-by-Block program enables communities to transform neglected urban spaces into dynamic places that contribute to the improvement of quality of life for all. In 2013 the development process began with several design workshops, bringing together City Council staff and local communities, testing Minecraft as a community participation tool for the first time (UN-Habitat, Block by Block.org). By navigating a three-dimensional world, the participants were able to express themselves in new ways, and previously sensitive issues, such as the size of a football field at Silanga Field, which had produced several disagreements throughout the process, were resolved. Minecraft made the visualization of city plans simple for participants, thus enhancing the level of understanding and engagement. Minecraft was also used successfully to share the three-dimensional designs at the end of the participation process, thus creating the template for the Block-by-Block Methodology that continues to be used in other contexts.

Governance and Institutionalisation

The implementation of this project was shared by UN-Habitat, Nairobi City County government, and different local civil society initiatives. Even more importantly, the success of this approach to public spaces has been embraced by the local government as a crucial political agenda: "at the inauguration of the Jeevanjee Gardens, the Governor of Nairobi committed to the revitalisation of an additional 60 public spaces throughout the city" (UN-Habitat, Block by Block.org).

URBAN-ECON. (2015). Implementation and Outcome Evaluation of the City of Cape Town's World Design Capital Initiatives – Executive Summary (Evaluation Report) (p. 8). Cape Town. Retrieved from <https://resource.capetown.gov.za/documentcentre/Documents/City%20research%20reports%20and%20review/2014%20World%20Design%20Capital%20outcome%20evaluation.pdf>

Wenz, L. A. (2014). Worlding Cape Town by design – creative cityness, policy mobilities and urban governance in postapartheid Cape Town (PhD Dissertation). Westfälische Wilhelms-Universität Münster, Münster. Retrieved from <https://nbn-resolving.org/urn:nbn:de:hbz:6-04229637095>

Modelling a new waterfront – the Ras Mekonnen-Seba Dereja area in Addis Ababa

Context

In 2017, UN-Habitat invited the Addis Ababa City Administration to perform a citywide assessment of public spaces. The short-term aim was to create examples of attractive public space with pilot projects, and to use these experiences for further public space rehabilitation along the waterfront, a strategic long-term project in the city. In addition, residents were to be involved in the identification of open spaces for rehabilitation and be invited to actively suggest measures for beautification, which so far was not common practice in urban planning in Addis Ababa.

Specific Challenge

2,040 public spaces were identified in the city; however, some areas lacked features to serve the public needs, such as a hilltop school for the blind which could only be accessed by an aged, uneven staircase. The assessment also took the safety perception of certain areas into consideration and found that nearly 20% of public spaces were perceived as unsafe (UN-Habitat, Block by Block.org). Given the priorities of improving accessibility and safety with a focus on women and girls, the city became a clear choice for site selection.

Approach

Several workshops were organised with a diverse range of local residents. The aim was to identify public space for rehabilitation, and to include citizens' perceptions of the place and their suggestions into account. Between July and August 2017, 72 participants attended two Block by Block workshops focused on the Ras Mekonnen-Seba Dereja area. Locals were invited to walk around the selected site, and to take note of the decaying staircase. They were taught to explore the site in virtual reality using Minecraft, and invited to suggest solutions to the environmental renovations needed along the waterfront. Even though almost 60% of the participants had never used a computer before the workshop, by the end several had designed their own virtual solutions, presenting them to the other participants. These designs were used as the foundations for the creation of a finalised urban plan for the area, which has been endorsed and published by the City Authority. The project was implemented in 2018.

Governance and Institutionalisation

The collaboration between UN-Habitat and the Addis Ababa City Administration Beautification, Parks and Cemetery Development and Administration Authority to complete two assessments of all districts, called wordas, offered an analysis of urban legislation, by-laws, and plans in Addis Ababa. Fundamental understanding the layout of the city, allowed the team to create a city-wide public space strategy and action plan. This allows in future the protection of recreational areas for the local population and secured title deeds for public spaces to protect them from illegal encroachment.

6.3 Citizen-oriented urban management and administration

Community-Driven Waste Management in Informal Areas - Cairo

Context

Egypt's cities are growing rapidly. Around 20 million people currently live in the Greater Cairo Region, 60 percent of them in informal areas (UN "the world's cities in 2018 data booklet"). The inhabitants who in majority are poor and low-educated, mainly build their residential without governmental authorisation and on state-owned, ecologically valuable land. In consequence, they lack access to basic social services and infrastructure like schools, youth centres, hospitals, waste disposals, and sewage systems. Seepage and contaminated drinking water are the consequence of missing hygiene standards in the densely built areas, with the known negative impacts on the population and the environment. The lack of environmental awareness among the society and deficient capacities among relevant stakeholders, badly managed use of garbage vehicles and their insufficient quantity and quality make wasted streets, overcrowded waste disposal site, as well as related challenges on public health and the natural environment are reality in almost every district.

Specific challenge

Traditionally, integrated waste management strategies were based on informal collection, separation and recycling of valuable materials that respect informal waste searchers. In its National Solid Waste Management Strategy of 2000, the Egyptian government showed awareness of the huge dimension of the problem and imposed responsibility to (hyper-) local authorities to find sustainable solutions together with the private sector

In 2010, the Egyptian Ministry of Housing, Utilities and Urban Communities launched the Participatory Development Program in Urban Areas (PDP), funded by the Federal Ministry for Economic Cooperation and Development (BMZ) and the Bill and Melinda Gates Foundation, and financial contribution from the European Union. Led by GIZ, the project's objective was to set up small-scale measures in nine areas of Cairo in order to improve the living conditions for the poor. The improvement of the existing waste management system was part of an integrated area upgrading exercise.

Approach

The PDP selected the informal urban areas of Khosoo and Khanka cities, two cities of Qalyubia Governorate in the north of Cairo, as pilot cities to implement an integrated community based solid waste management system, as part of the integrated area upgrading. The implementation focused more on the value of waste than on its disposal and adapted the guideline: reduce, reuse, and recycle.

By going this way, the project combined the traditional (informal) waste collection system with the formal one, by redesigning the selected collection areas and developing methods of re-use or recycling, in cooperation with local, regional and national administrations, neighbourhood communities and civil society organisations. Thereby the city became cleaner in these areas, while inhabitants gained access to (new) employment opportunities.

The upgrading was realised based on Participatory Needs Assessments (PNA) that unites residents, administration, businesses and NGOs. This approach assured that projects for area improvement were selected together with neighbourhood communities, decisions-makers and other relevant stakeholders in order to meet the real needs of the local population. Local Area Dialogue Committees (LADCs) were established with the aim to enhance cooperation: "Each LADC is comprised of 20 members, representing NGOs, community services such as (schools, youth centres and hospitals), business people, elected local council members, community leaders, as well as any other residents interested in developing their community." (<http://www.egypt-urban.net/1568-2>, consulted on 28th January 2020)¹².

The committees ensured the consent of the community throughout the process by bringing together elected community representatives in a regular and frequent way. As elected representatives, the LADCs acted as the community's leader, enhanced self-management, and ensured the monitoring of the process. Building up new communication channels that were easy to access, such as online platforms and chats, helped to activate the participation of and the communication between inhabitants, informal waste keepers, civil society organisations, the municipal authority, and the private sector – groups which had not been in contact before.

Awareness campaigns mobilised the potentials of residents and municipal decision-makers who brought in their own ideas and visions. By getting more and more informed and involved, the stakeholders were empowered to manage meetings of vision-sharing and concrete planning processes on their own. Residents collected relevant data to be fed into a Geographic Information System (GIS), corresponding maps about local areas were shared with the residents so as to communitise the results. The data was used, in return, for the municipal decision-making. Various capacity building measures about municipal planning methods strengthened the ownership of all stakeholders and enhanced their decision-making capability. Policy advice for decision-makers of local governments ensured the better use of the potential grant applicants before the implementation phase. User manuals were elaborated.

¹² Find more at: Qalyubeya Receives International Recognition For Urban Innovation » Participatory Development Programme in Urban Areas | GIZ Egypt (egypt-urban.net).

Governance and institutionalisation

Important partnerships have been built as a result of the project's work: A Public Private Partnership (PPP) with one of the biggest cement companies had been established to build an Integrated Resource Recovery Centre (IRRC). To institutionalise participatory urban upgrading, the PPP strived for innovative institutional arrangements and long-lasting working relationships. The program facilitated dialogue formats for professionals through workshops and national platforms, supported advocacy activities and partnerships, for example, between civil society organisations and business sector. In addition, the project developed nationwide trainings for municipal personnel, the private sector, and civil society organisations on how to use participatory approaches. It also offered on-the-job trainings and other training formats that helped partner institutions develop an understanding about what institutional reforms were needed (e.g., forming new departments, creating new mandates, earmarking resources to certain practices, etc.) and how they could be implemented.

The project's approach had demonstration character to other regions in Egypt. It raised the awareness of local communities and increased the capacities of local administrations, NGOs, residents and informal waste operators (<http://www.egypt-urban.net/approach-2/>, consulted on 28 January 2020).

'Citizen-spaces' - Tunisian municipalities

Context

Since the so-called "Arab Spring", Tunisia has substantially transformed its political system. The 2014 constitution installed, among others, local self-administration as one pillar for democratic statehood. Structures of governance are being adapted in consequence. Establishing local governments and introducing local governance implies new political and administrative structures and higher political and administrative capacities. Citizens expect from politicians and public administrations transparency and accountability, efficient municipal services, and opportunities for participation and civic engagement in local development. A major challenge consists in creating a new "culture" of (here: local) public action, to gradually overcome the traditional "we/them" relation between civil society and the public administration, and of achieving a "partnership" relation. That is not less than a structural conversion of the culture of governance on both national and local levels. Various approaches have been or are being implemented.

Specific challenge

Before the Tunisian Revolution of 2011, municipal procedures of providing administrative services to citizens, such as building permits, birth certificates, permits to start a business etc. have long-time been very slow and ineffective, and moreover, citizens were principally treated as applicants rather than people having a right to well-

organised and client-friendly public service delivery. Under the new conditions of the democratic constitution and a awakened civil society, the challenge and the chance were to reconvert this authoritarian attitude and put things right: government and public administration serve citizens, not the other way around. And citizens gradually learn to overcome the "we/them" contrast. Trust needs to be established, a prerequisite for a democracy. Structures for citizen-friendly local governance and a welcoming "culture" of administrative service delivery are one key.

Approach

Since 2012, Tunisian municipalities have opted for establishing so-called citizen-spaces, which are one-stop administrative service centres to improve the relationship between citizens and the city administration (in French: Espace Citoyen). Through this initiative, municipal administrations are enabled to deliver public services in a more transparent and citizen-oriented way. The goal of the new services offices is to deliver all essential administrative services transparently, fast, efficiently, client-friendly and at one place. The ultimate goal is to create trust among citizens towards the administration – a key for inclusive and democratic governance.

Initially, citizen-committees are involved in identifying specific needs with regards to administrative service delivery, in terms of transparency of information, efficiency, and quality of services provided, and in designing the front-office client-servicing procedures.

To send a first-sight sign, respective municipal buildings and offices were renovated. The service counters are designed in an open way, replacing the formerly used partitions wall between citizens and municipal staff with open spaces. Materials like glass and bright colours are used to make the citizens feel welcome. More importantly, back-office administrative processes are digitalised and interlinked to guarantee efficiency, and municipal staff trained in professionally providing the requested service to the clients/citizens. They can trace progress of their operation in real-time on the internet. Administration is given a maximum period of three days to deliver the requested service. Since 2019, the implementing process sees a new dimension of scaling-up thanks to the latest digitalisation efforts that preview access to e-governance and open government tools.

Governance and institutionalisation

After the first citizen spaces had been successfully opened in the Tunisian capital and the bigger cities of the coastal region, the demand of other cities to establish such offices in their hometown raised rapidly. Until 2018, 12 cities have opened citizen-spaces, each offering more than 20 services at one office. In January 2020, the first citizen office that provides "civil status" services opened in the town of Béjà – the service had to be transferred from central authority (Ministry of Interior) to the municipality. Until 2023, a minimum of 22 citizen spaces shall be installed.

In rural municipalities where the democracy is almost imperceptible until today, the concept had been adapted to a simple version, with just one service desk.

Raising awareness among the citizens to become active members of their community and building up capacities of the administration bodies is a major key to success for the new form of service offers. In training cycles developed and organised by local authorities and the training centre CFAD (Centre de Formation et d'Appui à la Décentralisation) municipal staff is professionally trained on how to provide digital services and how to adopt the new welcoming culture in their administration. Internal and external communication plans help to install a daily routine in the new offices with often newly recruited employees. Organisation manuals and services studies support capitalisation of the experiences.

The Tunisian Government has recommended to establish citizen spaces in each Tunisian municipality.

6.4 Political forms of citizen-participation in urban governance

Youth fora – various cities in Tunisia

Context

In particular the young generation (around 50% is younger than 25 years old) is impatiently seeking for jobs and opportunities to take part in public decision-making. Addressing the youth to be part of local (political) decision-making was by then not part of the municipalities' self-concept (except for sport activities). "Young people are to be given greater opportunities to participate at local level. Support for local authorities will therefore help promote youth initiatives and set up participation mechanisms such as youth councils. On top of this, local authority employees are to take part in further training measures, as are the staff of organisations and associations which work with young people. Young people will be encouraged to submit proposals to interested municipalities and so learn to take political initiative and assume responsibility. For their part, municipal officials will experience the positive influence that local youth politics has on peacebuilding and development." (GIZ, Initiative for Municipal Development, factsheet 2019). It is only with the Tunisian revolution that, young citizens were politically recognised as a political factor.

Specific challenge

Before the Tunisian Revolution of 2011, young people were barely involved in public local affairs and even almost invisible in local governance. In the Constitution of 2014, for the first time, an article stipulates the promotion of young people: "Youth is an active force at the service of nation building. The State takes care to provide the conditions enabling young people to develop their capacities, to develop their energy, to assume their

responsibilities and to widen their participation in social, economic, cultural and political development" (Article 8).

The process of building participation mechanisms specifically for the young generation had to start from scratch. Besides the structural dimension, a shift towards the recognition of young people as important driving forces of the public life had to be initiated. As the 2018 municipal elections – the first after the revolution – indicated, "with more than half of the candidates under age 35, there was a clear sense of hope that young people could have a more powerful voice at the local level" (Carnegie Endowment for International Peace, "Results from Tunisia's 2018 Municipal Elections", August 15, 2018). The high participation showed that their involvement has not only to be enabled by the law but highly encouraged by local governments and associations. An initiative led by the government, proposing to municipalities to co-develop "Young Action Plans" (YAP), showed positive impacts on both the establishment of participative mechanisms and the motivation of young people to become driving forces for their own municipality.

Approach

At the beginning of the process, mixed groups composed of municipal officials and interested young citizens made an extensive analysis of the context. This allowed stakeholders to understand the challenges young people currently face, which role they wish to play, and what would encourage and discourage them. The results of interviews, questionnaires, and diagnostics of focused groups were evaluated (GIZ Tunisia: Atelier de réflexion – Tunis», Tunis, 6th November 2018).

Based on the results, trainings cycles that addressed young people, relevant stakeholders from local governments as well as associations that work with young people such as youth centres and sport clubs were elaborated in order to build up their capacities and sensitise them for the upcoming process. Dialog platforms and other exchange formats served as trust building measures that allowed to gradually set out the culturally engrained principle of seniority that credits age at the expense of the youth.

Thence, stakeholders elaborated Youth Action Plans (YAP) in order to plan concrete measures to involve young people in the municipal life: "Young people will be encouraged to submit proposals to interested municipalities and so learn to take political initiative and assume responsibility. For their part, municipal officials will experience the positive influence that local youth politics has on peacebuilding and development." (Initiative for municipal development – <https://www.giz.de/en/worldwide/31897.html>, consulted 16 January 2020). Realising the creative potential and energy of the young generation led to a shift in the self-concept of several Tunisian municipalities.

Based on a multi-actor-approach, the YAP claims to combine the respective activities of local associations,

municipalities, cultural establishments and neighbourhood communities and serves as a cohesive intervention tool at the local level. Multiple activities resulted from the YAP: Several municipalities organised with young people competitions for ideas, out of which resulted such different projects as environmental actions, a local cinema, a photographic competition, two youth centres, and a youth parliament, to be financed by the respective municipalities. Meetings between local councils and youth representatives took place, where project ideas were presented. Sensibilisation campaigns accompanied these activities.

Governance and institutionalisation

In cooperation with local associations and young people, the Initiative succeeded to implement YAP in 29 municipalities, which are gradually being implemented. In the Tunisian context, this is a school for democracy and political involvement of young citizens. At the next level, youth councils may become part of the communal law.

Government officially recommends Tunisian municipalities to adopt the approach. Yet, respective financial promotion is lacking, and decentralisation has not yet resulted in substantial fiscal reforms and expected financial autonomy at the local level.

Citizen-Budget – various cities in Tunisia

Context

In the context of decentralisation and the democratic transformation of the country, transparent decision-making on local budgets became the logical concern of the Tunisian (urban) civil society. Before 2011, the centralised government made its financial decisions behind closed doors without paying attention either to local governments or to the civil society. A budget discussion between civil society and municipality was non-existent. With the democratic transition, participation of civil society in budgetary decision-making is requested increasingly. Co-decision, however, is usually limited to minor parts of municipal budgets, reserved for community-relevant activities or projects. The tool presents both opportunities and risks.

Specific challenge

A citizen budget is a substantial tool to institutionalise the local government's commitment towards participatory governance. In a first step, the local government must be sensitised about the opportunities and risks and limits of civil society participation in budgetary decisions. Introducing citizen budgets requires a communal law as it touches a sovereign task. Citizens need to be informed about challenges in urban development, and find a consensus "reasonable" projects and realistic goals.

Opportunities are located in a) a concrete and substantial cooperation between municipal decision-makers (councils) and the ordinary citizens, expectedly leading

to trust among each other, and b) in identifying projects funded out of citizen-budgets, which really meet (some of) their needs, thus leading to a broad local democratic consent. Risks are located a) in insufficient financial resources and expectations of citizens that cannot be met, or b) in excessive or unrealistic projects, or a lack of strategic visionary capacity among citizens, possibly leading to non-sustainable capital expenditure. This may rapidly lead to frustration or dissent.

Approach

Accordingly, it is important at the launching of a citizen-budget process to inform citizens about opportunities, limits, and risks. With brochures, reports and trainings, the local government can provide information on how a citizen can participate in every step of the process. At the same time, this process is a formidable opportunity to promote democratic decision-making and respective transparency.

Beginning in 2014, the NGO L'Action Associative (AA) started to realise the concept of a citizen budget with funding from the European Union (European Endowment for Democracy – EED), the United States (Middle East Partnership Initiative – MEPI) and further international players in order to allow citizens to take responsibility over a part of the municipal finances and implement local projects of technical infrastructure, like street lightening, embellishing the city and repairing busted sidewalks, or social projects, in accordance to the most urgent local needs. The process started with a plaidoyer in four selected municipalities: Gabès, La Marsa, Tozeur and Menzel Bourguiba. One of the priorities was to sensitise the public about the chances the tool offered for bringing in own ideas and needs.

The operational phase included the citizens' participation in every step. Thirty facilitators were formed by experts of the AA to accompany the implementation of the process in every city. To strengthen the ownership of the municipality and the civil society, a set of rules was adopted formally by both sides. Citizens elaborated multiple project proposals and presented them at citizen panels. As a result of the first panel, 63 of 246 ideas that had been proposed by more than 1000 citizens were chosen for the shortlist of the municipal committee. At a delegates' panel, an elected committee voted for 5 to 12 projects for each city, depending on the available budget.

Once the projects were accepted, every municipality formed a citizen committee that worked on action and monitoring plans for the purpose to assure a sustainable and transparent implementation of every local project.

Governance and institutionalisation

The reform of the local financial management by introducing a citizen budget enhanced the democratic spirit of local governance in every participating city since its first step. It encouraged the discussion between civil society and municipal authorities, augmented

the transparency of the financial process and, in consequence, the trust between stakeholders of both sides. Not only led the capacity building of the citizens to a higher satisfaction, but to a better development of local infrastructure. By 2017, 14 other cities adopted the instrument and started citizen budget processes.

The tool is not uncontested at certain government departments (e.g. the National Instance for Municipal Finance). Nevertheless, it has been implemented by now in 14 cities, and it continues being tested in other cities with the agreement of the Ministry of Local Development.

6.5 Special gender- or group-focused approaches

Her-City: a specifically gender-inclusive planning and design of public space - Nairobi

Context

Nairobi faces the challenges of rapid urbanisation and growing social inequities. This has a direct impact on the accessibility and inclusivity of public spaces in the city. Cultural norms and local traditions also shape the way people interact with public spaces, while urban planning strategies can counteract these phenomena. The urban planning strategy in Nairobi, for instance, favours the vehicular access to city services and public spaces, thus prioritising those with vehicles. As the urban landscapes in Kenya continue to grow, informal settlements such as Kibera continue to spring up on underutilised or vacant government land.

These urban planning approaches led to limitation of the potential of especially girls, children, and women to participate in public life. As a result, women and girls face specific challenges regarding safe access to sanitary utilities, spaces for education and public recreation (Ownership and Planning). Her-City is an urban development initiative by UN-Habitat and Global Utmaning which intends on supporting sustainable and inclusive urban planning together with girls and women (Fabre, Julin and Lahoud). It aims on giving girls and women, who in general are affected by the consequences of rapid urbanisation more critically than men, spaces to express their struggles and find solutions to the challenges of their day-to-day urban life.³³

Specific Challenge

Kibera harbours around 250,000 residents on around 4 square km. Everyday life bears the challenges of dealing with overcrowded spaces, the absence of basic services, high unemployment and crime rates, and an increasingly unpredictable environment due to drastic climate changes. Most residents are squatters who use the land “illegally”, work in “informal” economies, and have difficulty taking part in civic life, which traps many in a cycle of poverty and risk (Ownership and Planning). In defiance of the named these economic, social and environmental challenges,

Kibera also has valuable assets, such as a strong social fabric entrepreneurship and extensive community activism (Ownership and Planning).

Since 2006, the Kounkuey Design Initiative (KDI), which is a non-profit design and community development organisation (Flynn), has initiated a co-operation with community members to transform 11 unused spaces in Kibera into a dynamic network of public spaces. Known collectively as the Kibera Public Space Project (KPSP), it shows how incorporating community know-how, and working at several scales can remodel neighbourhoods for the better. The first project KDI initiated was located at the border between Soweto East and Silanga villages in Kibera. Due to regular flooding, the site was swampy, which made passing it by foot impossible. It was used as an informal dumping space and was considered unbuildable. The neglected and isolated space was regarded as a safety concern. The project was faced with the challenge of making the process as inclusive as possible, focusing on making women’s and children’s needs visible.

Approach

Each KPSP site made the most of the existing know-how through a community-engaging design process that is collaborative and transparent from the beginning. The process has been initiated with a “Request for Proposals” (Flynn) that was shared with community-based organisations in Kibera. The winning group proposal committed itself by providing a small part of the construction cost through cash and labour. The partnership between traditional leaders, local government and KDI has been formalised through a Memorandum of Understanding.

The next stage of the process was marked by a collaborative design process. KDI’s team members, consisting of engineers, architects, and community facilitators, were almost all themselves from Kibera. They collaborated with residents through several workshops in which the specific identity, challenges and needs of the communities involved were classified, and solutions developed. A site master plan was then created by KDI encompassing the community results and integrating infrastructure, services, small businesses, and programs. KDI made use of a number of engagement techniques to address residents of all ages, abilities, and interests.

Residents, in particular women and girls, pointed out their needs for a clean environment, safe recreational spaces for children, and new opportunities to generate income. The New Nairobi Dam Community (NNDC), a community-based organisation, was founded to manage site operations, programs, and maintenance and to run a savings and loans group. As completed in 2010 the site is now a multifunctional public space system that incorporates solutions to all resident needs (Flynn). The site now includes a community hall, which serves as a school, a place of worship, a gathering spot, and an events

³³ Source: <https://www.globalutmaning.se/pin/community-driven-productive-public-space-planning-design-ownership-participation/>

venue. A savings and loans program, a women's craft cooperative, and a compost producers' cooperative are based there. In the final stages of the project, residents were invited to engage in surveying, costing, business planning, and budgeting exercises, overseeing major design and financial decisions.

Governance and Institutionalisation

The project was led by the New Nairobi Dam Community, The NGO KDI, the Nairobi City Council, different institutional partners from a national and international context and was funded by international donors such as the Jeffrey Cook Trust. This approach resulted in active community ownership over the completed space, with residents taking responsibility for maintenance and operations, and often continuing to develop the space long after KDI had stepped back. Moreover, the approach created an environment of trust and collaboration between residents and formal decision makers. As the government launches a new integrated upgrading process for Kibera, the KPSP will be at the centre of community engagement efforts (Flynn, 2021).

Temporary relocation for neighbourhood upgrading - Addis Ababa

Context

The Addis Ababa City Structure Plan 2017 – 2027 plans to densify Addis, as most of the inner-city land is occupied with kebele houses (social housing provided by the city administration for low-income citizens). Previously inhabitants from the kebele houses or informal settlements were relocated to the periphery of the city, which has created a lot of discrepancies and the city administration was forced to take a big loan from financial institutions to build the condominiums (subsidised houses built by the city administration for registered people and distributed through a lottery system). Given this massive burden carried by the city administration, it was important to evaluate different modalities of upgrading the city and to accommodate the housing request by the city dwellers. One of the modalities chosen is working with investors – be it local or international – who are willing to work with the city administration in joint ventures or public private partnership.

Specific challenge

The city administration has decided to upgrade one of the old neighbourhoods in the city centre nearby the financial district (called 'la Gare', which was the old railway station) in a joint venture with a UAE real estate developer called Eagle Hills. The city administration held the strong belief that the inhabitants designated to be relocated should return to their neighbourhood once the development is finalised, i.e., their relocation should be temporary. The development requires more than 100 houses to be demolished. This main challenge was tried to be dealt with later through discussion with the developer to do it in phases in order to give the tenants proper temporary housing in the vicinity of their neighbourhood.

Approach

In the process all the decisions were discussed with the households to minimise conflicts. The city administration wanted to avoid the previous approach of relocation but rather follow a community-based action plan. The city administration discussed with the developer to consider the inhabitants while planning the project. First, the housing bureau of the city administration took the initiative to engage in discussions the inhabitants to be temporarily relocated, followed by arranging temporary housing nearby their neighbourhood until the finalisation of the development. This approach aimed at keeping residents in their neighbourhood, allowing to further pursue their associated life style and keep their economic status and activities as was. The process started with a brief discussion and presentation of the project, responding to inquiries from the households on timeline, temporary house locations, and conditions of the newly built housing. The housing bureau included those requests into the detailed agreement with the developer.

Governance and institutionalisation

Based on the problems experienced during previous relocations and their impact on the city's economic, social, and cultural life, the city administration defined a new direction for temporary relocations caused by new developments in the inner city. Following this path, the housing bureau and other bureaus associated by the structural plan determined that future development projects must be implemented with stronger citizen participation ensuring higher acceptance for these projects. Supporting the city administrations action, the Ministry of Housing and Urban Development started working on a policy on public-private partnerships, which will be implemented by city administrations and regions.

¹⁴ References to this case:

Fabre, Elin Andersdotter, et al. *HerCity - Let her guide you*. Nairobi, 2021. /

Flynn, Patrick. *Koukouey.org*. 2021.

Nairobi, *Building A Model For Participatory Urban Planning In. Block by Block.org*. 2021. <<https://www.blockbyblock.org/projects/nairobi>>.

Ownership, *Productive public space planning and design for inclusive and Productive Public Space Planning*. *www.globaltumaning.se*. n.d. 5 2021. <<https://www.globaltumaning.se/pin/community-driven-productive-public-space-planning-design-ownership-participation/>>.

7. Poly-centric Governance and City-networking

7.1 IBA – A Model for Integrated and Participatory Metropolitan Strategy Development and poly-centric Governance

Given the strong dynamics of urban sprawl and economic growth in the greater Addis Ababa, an interesting and innovative format of strategic, long-term oriented metropolitan development might be useful to the Addis Ababa city administration and concerned province governments, which could propel the city to the avant-garde of urban development in Africa: IBA (from German: Internationale Bauausstellung – international building exhibition) is a highly participatory, cooperative and integrative competition-based format of long-term strategic planning for urban, metropolitan, or regional development. It requires poly-centric governance and intensive coordination between various levels of (local) governments. IBA have been implemented with successful results in a number of metropolitan regions in Germany and Switzerland.

The process which, according to the complexities of the task may stretch over many years or even a decade, provides an arena for architects, planners, private investors, developers, and civil society organisations to develop ideas, projects, or demonstrative buildings and objects with a view to the long-term, integrated and future-proof social, economic, cultural, and environmental development. A specific characteristic is the iterative multi-actor and sector-overlapping approach, which builds on the collective knowledge of politicians and experts and all tiers of the local civil society involved, and allows to capitalise on the specific expertise of different actors. The process is integrative and highly participatory. Two examples of IBA processes conducted in Germany and one case from Switzerland may be of special methodological interest for the design of Addis Ababa's future development process, as they have a) metropolitan dimensions, b) structural challenges to cope with, and are, like Addis, c) competing with other cities or regions on a global or at least a continental scale:

- The 1989-1999 IBA for the Ruhr area, Germany's former industrial heart (coal mining and steel and machine production) until the 1960s, had to develop an integrated strategy and various interrelated sector approaches for a complete conversion of the economic, social, environmental, and cultural structure. A metropolitan region consisting of more than 50 cities, towns and districts, with 5.5 million inhabitants, suffering from structural loss of workspace, consequential high unemployment and social conflicts, as well as severe environmental challenges, had to manage a fundamental and rapid metamorphosis of its industrial, economic, social, cultural, and environmental structure to become again a future-proof, economically, culturally, and environmentally attractive place to live.

- Another inspirational example is the 2006 – 2013 Hamburg IBA. By then, the city was divided by the Elbe River and Europe's second-largest overseas harbour into separated areas, which led to social and economic disconnection of parts of the city, and a loss of potential for its development. In addition, secondary cities situated around the economic power-centre of the central City of Hamburg had no chance to compete with, losing even more attractiveness and economic competitiveness. The IBA theme was to integrate the separated parts of the city as well as the secondary cities in its periphery into an apparent and single, attractive and coherent economic space, with a coordinated spatial, economic, and cultural development as well as with coordinated international city-marketing, to maintain and foster competitiveness of the whole region on both a European and a global scale. The former IBA secretariat, with only 15 highly professional managers, planners, economists etc. is now coordinating the global competitive positioning of the Hamburg metropolitan region.
- From 2010-2020 a trinational IBA has been underway in the Basel metropolitan area, with the particularity that this is an urban area where national borders (not only municipal/regional) of three nation states (Switzerland, France, and Germany) run through the heart of the city (2-3km from Basel's most central square). Hence the primary focus of the IBA was on trans-border cooperation in a metropolitan area across those three countries. Most projects – whether built environment, infrastructure (such as transport systems), cultural events, or social structures share the goal of transgressing boundaries and stimulating a shared identity across the borders.

All three examples show that IBAs specifically serve as integrative, long-term strategic conceptualisation processes for metropolitan development. And they require elaborated forms of cooperation and coordination between various governmental and administrative levels and territories, civil society initiatives etc. Hence poly-centric governance is key to the success of such strategic, inter-territorial development processes. The format might be very interesting for prospect strategic development planning in Addis Ababa. Possibly, the revision of the Structure Plan might be a good opportunity to engage in a IBA process, which might be the first on the African continent.

A simpler format which could be interesting for starting a coordinated metropolitan strategy design process has been developed by GIZ together with UN-Habitat: "MetroCam", a guideline for metropolitan strategy processes. It is designed also to organise cooperation mechanisms and coordination between different stakeholders, and a negotiation process between local authorities of different levels involved, civil society organisations, investors, etc., and to develop the necessary organisational structures for poly-centric governance. It could alternatively be

introduced as a tool for moderation and/or mediation for the revision of the Addis Ababa Structure Plan. The MetroCam guideline can be accessed here: Metropolitan Governance: A Framework for Capacity Assessment. Guidance Notes and Toolbox | UN-Habitat (unhabitat.org).

7.2 City-to-City Cooperation and Networks

Cities are experience bearers. They can learn from each other, both about successful local politics, strategies, approaches and projects, and about less successful or even failed ones. Experiences from North Africa have shown that, while at the beginning politicians, technicians and administrators were sometimes sceptical about the idea of exchanging about own development practices, they became more and more enthusiastic once they realised that networking is a good opportunity to learn, to copy, or simply to see that other cities face the same or similar challenges. After a first period of “show-casing” own practices, they rapidly realised that frankly addressing certain shortfalls offered new opportunities to learn and to improve own practices, or at least to be proud of what they had achieved. Such networks have been institutionalised with the support of GIZ in Morocco, Tunisia, Palestine, and many other countries.

The approach of the C40 Cities Finance Facility (<https://www.c4ocff.org/>) is yet another good example of municipal peer-to-peer coaching, with a special focus on climate action. C40 cities support smaller cities in their countries within a cluster on project preparation in this regard.

8. Potential Pilot Cases for Co-Creative Design

In line with the Structure Plan (2017 – 2027), around 2000 ha are designated for re-development. In addition, 650,000 housing units are planned to be built during that period, while demolishing old houses with poor technical standards. On this background, experts from the Task Force projected (in the course of the above-mentioned interviews) concrete cases for piloting co-creative and human-centred design in the following areas. However, their potential to be realised yet needs to be identified:

- The construction of thousands of government-sponsored condominium houses in the past 15 years led to massive urban sprawl and, since citizens were not involved in the design, in a lack of functional community spaces in these areas. Consequently, the development of common public spaces in those newly built condominium areas might be an interesting subject, potentially leading to citizen-oriented (rather than technocratic) and socially sensitive solutions.
- As a result of the densification strategy, a great number of low-income neighbourhoods with poor construction standards, mainly in inner-city areas, have been or are being demolished, forcing inhabitants to move from their initial places to outside areas, where they must resettle. The consequences are not only the loss of their home, but, more importantly, they are cut off from their social and business environment, thus having to rebuild new social connections and business opportunities. Involving target communities in co-designing not only the urban and architectural form, but more importantly the business environment as well as the technical (transport, sewage, waste, other), social (education, health), cultural and environmental (blue/green) infrastructure and facilities, could reduce resistance and lead to faster integration.
- Another project could be piloted for improving the management of waste collection in certain neighbourhoods, in particular in low-income areas, including ways of active involvement of communities.

A key project of the Structure Plan is the re-naturalisation of the main river crossing the city; the idea is largely welcome by all factions of the urban population, as it is currently used as a waste dump and sewer, resulting in health hazards. On the one hand, it might be an interesting pilot project for participatory design (building on previous experiences explained in this paper), because the condition of the river concerns almost the whole population who lacks of green space. However, it has been advised not to start with taking this as a pilot case, as internal controversies between national government and the city administration might be difficult to deal with. Instead, it is suggested to choose a small stretch of the riverbed outside the main city to start with, because there is no interference by PM to be expected.

In general, choosing concrete pilot cases for co-creational initiatives should not substantially interfere with severe controversial interests, so as to have a chance to make it happen. In any case, pilots could include the design of facilities and procedures, as well as implementation, management, and maintenance, but also and ideally, responsabilisation and active involvement of communities therein. However, conflicting interests are part and parcel of urban planning. Therefore, any co-creational initiative will have to include a conflict resolution mechanism.

Annex: Harness Digitisation on Polycentric Governance and Human-Centred, Inclusive Design

The pandemic has not only drastically increased awareness for the potential and opportunities of digital forms of engagement and interaction, but it has also leapfrogged new developments, fuelled the rate of uptake by sheer necessity. Many institutions and people experiment with and leverage what the promise of the same.

This development has simultaneously triggered two diametral different responses: euphoria and scepticism. As so often in complex issues, the two co-exist legitimately. Enthusiasm builds on the promise that broader groups of people can be included in decision-making in more meaningful and productive, but also simpler, faster, and cheaper ways; concerns revolve around the fact that – due to constraints in terms of access to technology and knowledge of how to use them – the accessibility to digital means is very unequal and will in fact aggravate the divide between a privileged elite and the vast majority. Hence the jury is out on whether digitalisation will eventually lead to a closing or widening of the gap.

Opportunities that come with digital means:

- In the public realm, participation is often limited to voting and referendums, i.e. to assess pre-determined ideas, solutions, and proposals. Citizens are mostly excluded from meaningful forms of consultation and co-creation (e.g. from taking an active role in the ideation and shaping process as more meaningful forms of “producing the city”). Digital tools can provide channels for more active, content-rich, and engaging forms of participation.
- Many people are excluded from participatory processes due to their spatial remoteness. Digital means can help bridge those distances.
- For socio-cultural reasons many people are excluded from the same; they feel inhibited, stigmatised, personally incompetent/insufficient, sometimes threatened, which keeps them away from the loci of participation. Digital means can provide instruments to participate in safe ways; anonymisation of contributions can play an important role.
- Participation can involve significant efforts and expenses which may prohibit many people to attend a process. Digital means can help to drastically reduce those costs.
- Inputs of large numbers of participants can overwhelm conventional aggregation capabilities. Digital algorithms can help doing so in new, more efficient and importantly also somewhat more objective (i.e. algorithm-based and hence traceable) manners.
- Human cognitive limitations make complex situations and issues very hard to comprehend, which is even more true for forecasts and future scenarios. This is not only true for “normal citizens” but also for highly educated and specialised experts, who often are overwhelmed to grasp, understand, and interpret hugely complex

bodies of data and information. Digital means can provide ways of making big bodies of data, especially anticipatory information, more easily understandable and accessible.

Challenges tied to digital means:

- The necessary technical infrastructure may be scarce, expensive, unavailable. This goes for hardware and connectivity,
- Consequently, access may be prohibitively expensive (e.g. devices, bandwidth, ...).
- Cultural barriers (including cultural norms, psychological profiles, levels of education, awareness, and cognitive skills) may lead to digital means being beyond the reach of many people.
- Digital channels may pose threats in terms of surveillance and control of citizens and hence can be very insecure territory; they may also be subject to censorship and government-imposed restrictions.

In terms of technological innovation and development the past years have shown that some technical challenges which appeared almost insurmountable a decade ago have literally dissolved. At the same time, cultural, social, and governance challenges (e.g. surveillance, piracy and cybercrime, firewalling) may have increased in terms of severity.

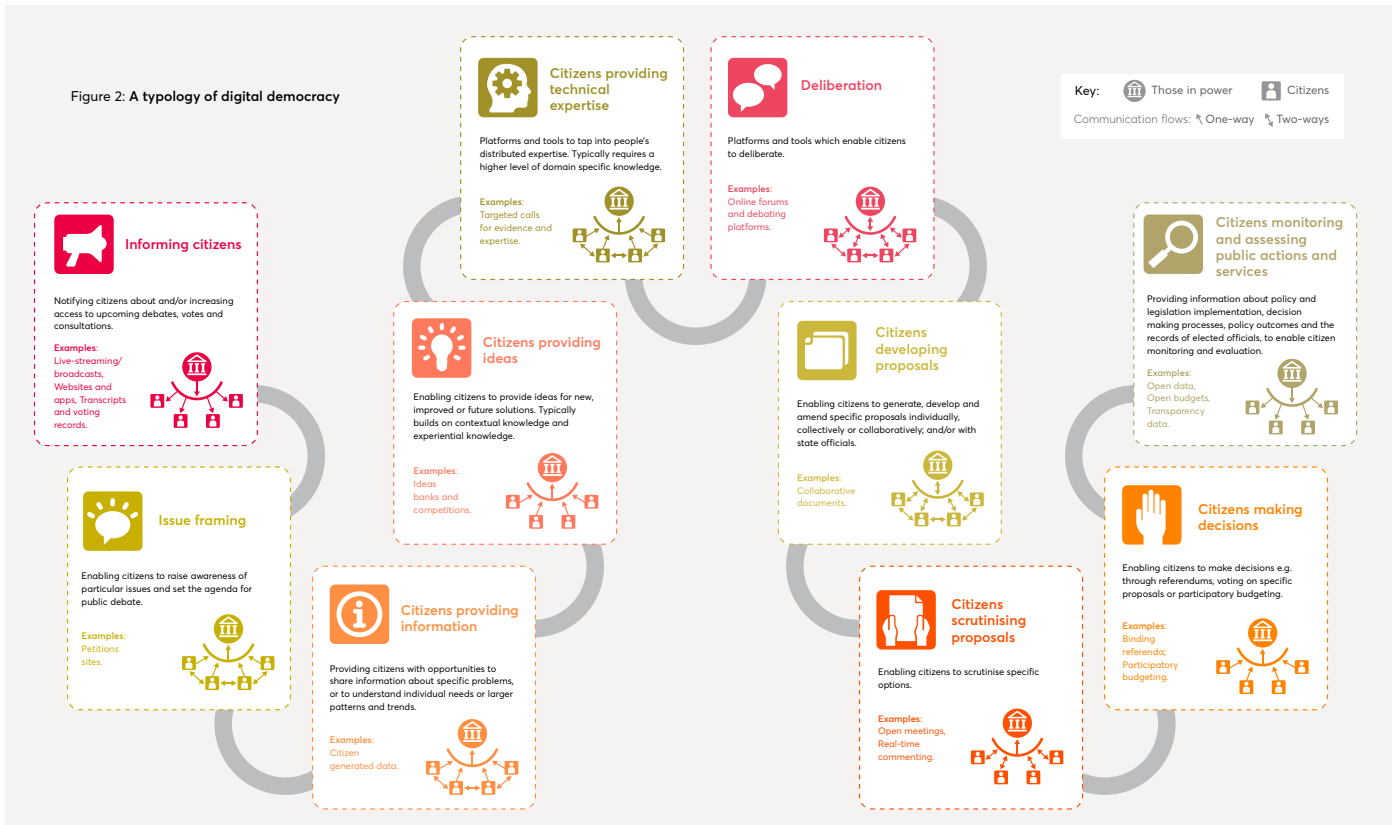
How can digital means be used to increase participation in polycentric governance and inclusive human-centred design processes?

Still in its infancy, this is a field of rapid development and in high intervals new ideas, approaches, and technologies emerge.

Largely they address a series of broader concerns. Today still, all solutions have a pioneer character throughout and face ongoing evolution. Many appear on the surface, other vanish, all of them transform continuously. At the present moment, it's virtually impossible to establish who prevails on the market, or what standards transpire. Given how proliferating and dynamic this field is, it is virtually impossible to present a representative selection of tools and practices. Hence the choice displayed below is inescapably arbitrary and contingent. And yet, these platforms illustrate the way of current thinking and development.

<p>How can abundant, complex data and information be presented in a way that does not require in-depth (scientific) knowledge, highly educated/ trained cognitive minds, but is understandable for “everybody” and hence inclusive?</p> <p>How can technical data (facts and figures) be visualised for everybody to understand?</p>	<ul style="list-style-type: none"> – Digital tools help making abundant and complex data visual and even experiential, if not intuitively accessible. – The classic tool with much further potential is GIS. The visual representation of multiple layers of data, the arithmetical aggregation of large quantities of spatial data generates images, which intuitively can be understandable. Suitable images can be highly informative even for non-specialised recipients. – ur-scape: this is an advanced tool, which among others is designed to facilitate and feed the dialogue between decision-makers and stakeholders/partners by making spatial indicators, analysis and simulations instantly available in visual and interactive ways: https://urs.sec.sg
<p>A special case: How can future visions, scenarios and alternative realities be made comprehensible and foreseeable in a manner that is accessible and comprehensible for a vast majority?</p>	<ul style="list-style-type: none"> – Given the cognitive predispositions and limitations, the big challenge is to make the future implications and consequences of decisions comprehensible. Scenarios are a way to do so, but can be very resource-intensive to create and hard to “read”. Likewise, creating future visions of spatial developments often stretch beyond cognitive capabilities. A degree of gamification can make such vision and planning processes accessible to a broader community. Digital means can support these processes. – The “Mixed reality” instrument (developed by UN-Habitat and Ericsson) employs augmented reality to make plans and data visible in the real world: https://unhabitat.org/sites/default/files/2019/06/mixed_reality_2019_0.pdf – The “Block by Block” project uses the virtual world of the Minecraft Gaming Platform to create and play with virtual prototypes of urban developments and projects; the playful approach using a widely known and simple user interface opens the door for “normal citizens” to create new realities in a very visual and experiential manner: https://www.blockbyblock.org
<p>How can big numbers of citizens’ ideas and opinions be collected, gathered, and aggregated to quickly draw representative and holistic pictures?</p>	<ul style="list-style-type: none"> – Gathering big amounts of citizen-generated data addresses two potentials: a) broad consultation of a significant segment of society to ensure a certain degree of representation and inclusion (as a democratic imperative) and b) crowdsourcing of data to ensure that a complex issue is adequately captured, represented, and portrayed. – The spectrum of applications is vast, from simple things like reporting maintenance incidents (e.g. potholes in streets) to gathering ideas to improve urban conditions (e.g. “Making New York greener and greater” https://blog.allourideas.org/post/6326304438/making-new-york-greener-and-greater) – A series of citizens’ crowdsourcing platforms has emerged over the past years, some of public nature – e.g. allourideas developed by a consortium of international organisations and public institutions, https://allourideas.org, or Smarticipate developed by the EU; https://www.smarticipate.eu/platform/), some private-commercial. Many cities are experimenting with their own solutions and tools, too.
<p>How can digital means bridge spatial, socio-cultural (including psychological) and resource-generated trenches, which keep people from participating?</p>	<ul style="list-style-type: none"> – Active participation of citizens is often impeded if not made impossible by manifold causes: people may be spatially too remote to actively contribute in conventional manners; they may experience situations and channels to be intimidating or even threatening (due to breaking cultural norms) or there may be legal, political, hierarchical, or other challenges. – Digital means can overcome these situations by providing cheap, fast, easier access, which can conceal the identity of persons contributing to varying degrees and as a result make it more affordable, appropriate, even safer for people to actively participate. These virtual means can be combined with conventional ways, e.g., by using digital tools during face-to-face gatherings as a way to anonymously gather voices, rate, or vote and instantly feed aggregated results to a group of people. Many online polling tools (again, many of a commercial nature, but some public and free; see e.g. https://mieuxvoter.fr/) find broad application.
<p>Further examples about digital tools in urban development and governance in Africa, Latin-America and India can be found here</p>	<ul style="list-style-type: none"> – https://www.giz.de/expertise/downloads/giz2018-en-case%20book-Lets%20Talk%20Digital.pdf – A compendium of digital applications worldwide (giz), concerning urban data, transparency of governance, public safety, urban services etc. – City Scope (Hafen-City University, Hamburg); the project experimenting with digital methods and tools for interactive (participatory) urban planning is currently piloted in India and Ecuador. https://www.hcu-hamburg.de/index.php?id=9149&L=1

A further useful way to systematise digital tools is by locating their function along the default democratic process, structuring different kind of interactions between those in power and citizens:



Julie Simon, Theo Bass, Victoria Boelman, and Geoff Mulgan.
 Digital Democracy: The tools transforming political engagement. Nesta, February 2017, p. 13)

To end, it may be worthwhile returning to the opening question: are digital tools a curse or blessing for broad, inclusive and equitable participation? It is clear that there is no question about legitimate concerns around the remaining difficulties for the big majority to benefit from these new possibilities. And yet, the real question is not whether digital means do or don't exacerbate the gap in participation; the real question is how they can be used to leverage their potential in equitable and inclusive ways and how to mitigate the challenges that come with it. In other words, the primary inquiry is not a jury pro or contra digital means - this would be futile because they are (becoming) an unstoppable reality. It's an inquiry into finding new ways to harness them for greater inclusivity and equity.

Addis Ababa Urban Age Task Force Reports

Theme 1 | Urban Housing and Retrofitting

Policy Brief 1 | *The Addis Ababa City Block: high-density, mixed-used and inclusive urban form*

Technical Report 1.1 | *The Addis Ababa City Block: inclusion and livelihood through the horizontal-above-vertical concept*, by Elias Yitbarek

Technical Report 1.2 | *Finding Housing Affordability: cost estimates and affordability paths for the Addis Ababa City Block*, by Jacus Pienaar

1.3 Sustainable Building Materials: *green construction for the Addis Ababa City Block*, by Hannah Langmaack, Peter Scheibstock, Thomas Kraubitz (Buro Happold)

Theme 2 | Transport and Mobility Services

Policy Brief 2 | *Beyond Car Growth: digital van service as alternative to private car use in Addis Ababa*

Technical Report 2.1 | *Digital Van Service Demand: Surveying the potential of replacing car ownership by mobility services in Addis Ababa*, by Philipp Rode, Bethany Mickleburgh, Jennifer Chan and Rebecca Flynn

Technical Report 2.2 | *Digital Van Service for Addis Ababa: operationalising digital bus aggregation in Ethiopia's capital*, by Chris Kost and Gashaw Aberra (Institute for Transportation and Development Policy (ITDP))

Theme 3 | Green and Blue Infrastructure

Policy Brief 3 | *Working with Nature: Next generation green and blue infrastructure for Addis Ababa*

Technical Report 3.1 | *Green and Blue Infrastructure in Addis Ababa: a review of challenges and response strategies*, by Hailu Worku

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Theme 4 | Urban Governance and Planning

Policy Brief 4 | *Urban Governance and Strategic Planning: spatial planning institutions, data management and strategic pilots for Addis Ababa*

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Technical Report 4.3 | *International Building Exhibitions (IBA): An approach to innovative city making in Addis Ababa?*, by Efrem Amdework, Anka Derichs, Timnit Eshetu and Michael von der Mühle

Technical Report 4.4 | *Addis Ababa Spatial Compendium: mapping and urban analytics for Ethiopia's capital*, by Alexandra Gomes, Philipp Rode (LSE Cities)

Addis Ababa Urban Age Task Force

Founding Partners

The Task Force is a partnership between the Addis Ababa City Administration Plan & Development Commission (AAPDCo), LSE Cities at the London School of Economics and Political Science, the Alfred Herrhausen Gesellschaft, and the Deutsche Gesellschaft für Internationale Zusammenarbeit (GIZ) GmbH.

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The Urban Age Programme, jointly organised with and supported by the Alfred Herrhausen Gesellschaft is an international investigation of the spatial and social dynamics of cities. The programme consists of conferences, research initiatives, task forces and publications. Since 2005, 17 conferences have been held in rapidly urbanising regions in Africa and Asia, as well as in mature urban regions in the Americas and Europe.

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Addis Ababa Plan Commission

Addis Ababa City Plan and Development Commission is committed and fully dedicated to preparing research-based city-wide short, medium and long term strategic development plans (both socio-economic and spatial) in order to transform the city to one among the middle-income cities in the world; create a liveable city for the citizen; and make Addis Ababa the best destination for investment in Africa. The commission is accountable to promote urban economy and jobs; deliver urban renewal and housing for citizens; improve urban environment and quality of life; and support policy decisions that will register accelerated, sustainable and equitable economic growth and a climate resilient green economy.

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The Alfred Herrhausen Gesellschaft promotes a free and open society and its cohesion. Democracy, the social market economy and sustainability are the foundations of such a society. Our work is based on the values of Alfred Herrhausen: on freedom and responsibility, on competition and compassion. Alfred Herrhausen thought and acted with the aim of crossing and overcoming boundaries. In his memory, the Alfred Herrhausen Gesellschaft creates platforms for discussions to enrich relevant discourses during selected events, and in publications and other media.

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LSE Cities is an international centre at the London School of Economics and Political Science that carries out research, conferences, graduate and executive education and outreach activities in London and abroad. It studies how people and cities interact in a rapidly urbanising world, focusing on how the physical form and design of cities impacts on society, culture and the environment. Extending LSE's century-old commitment to the understanding of urban society, LSE Cities investigates how complex urban systems are responding to the pressures of growth, change and globalisation with new infrastructures of design and governance that both complement and threaten social and environmental equity.

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