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Contents

City Development Strategies , Technical Note	3
Slum Upgrading Technical Note.....	15
City Profiles Technical Note.....	29
Knowledge Products Technical Note.....	36
Paper Presented to Cities Alliance, March 6, 2009.....	53
University List.....	68
Revised University List.....	x
Process Floating Chart.....	78

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Technical Note – UURI and Assessments of Cities Alliance City Development Strategies

Introduction

The Cities Alliance (CA) is a global coalition of cities and their development partners. It was founded in 1999 with the purpose of scaling-up successful approaches to poverty reduction. To achieve this objective, the Alliance brings cities together with bi- and multilateral agencies and financial institutions, all committed to overcoming the limitations of sectoral approaches to development. The Alliance aims to promote learning among cities, governments, international development agencies, and financial institutions involved in formulating and enacting urban development strategies. The Cities Alliance recognizes the potential for positive impact through urbanization and thus supports local authorities as they plan and prepare for future growth.

In line with its mission, the Cities Alliance provides matching grants in support of two chief initiatives: City Development Strategies (CDS) and Slum Upgrading (SU). This technical note focuses on the former, describing the processes of CDS and assessing some of the lessons learned from projects that have been carried out since the founding of this organization. In preparation for the launch of the University Urban Research Initiative, this note will also address how UURI will benefit the creation and implementation of future CDS programs through its evaluations and critiques of current and past strategies.

City Development Strategies

A Cities Alliance CDS is a plan of action for equitable growth in cities and their surrounding regions. Its ultimate goal is to improve the quality of life for all urban citizens. A CDS is developed and sustained through committed collaboration among multiple stakeholders in the public, private, and civil society sectors. Local governments play an important enabling role, but they are not the sole drivers of this process. All parties involved must be truly frank and objective in assessing their city's situation so they may identify first, major impediments to equitable growth and, then, a limited number of customized actions (or strategic thrusts) that enable dramatic change in its performance. Implementation is the ultimate goal of a CDS.

Cities must be proactive; they must plan ahead in order to make well-informed decisions about their futures. The Alliance helps cities act now by supporting them in preparing tailored strategies that link economic growth to poverty reduction objectives. An effective CDS not only attracts capital but disciplines its use.

There Cities Alliance provides several reasons for a city to engage in the CDS process:

- It encourages stakeholders to invest and behave according to a vision, effectively pulling multiple sectors in one direction—getting priorities right is crucial to success;
- It allocates resources in a cost-effective manner, to key strategic areas;
- It assesses risk (anticipates future shocks to a city system its rapidly changing contexts) and raises awareness about stakeholders’ actions in response to various scenarios;
- It anticipates the rate, type, and physical direction of progress in order to develop infrastructure ahead of growth.

According to the Cities Alliance, in order to effectively promote equitable growth, a CDS should contain five crucial themes¹:

- Livelihood: job creation, business development, competitiveness of cities (including business climate, human resource development), and sources of household income;
- Environmental sustainability and energy efficiency: incorporate innovative thinking, suggesting incentive structures to induce more efficient use of energy in industrial processes, building construction and use (green buildings), household consumption, and urban form;
- Spatial infrastructure: infrastructure assessment and investment planning;
- Financial resources: it is the role of local government to mobilize financial resources, both from within and from outside the city, as well as from public (national government programs, for example), private (domestic and multinational companies), and civil society (voluntary organizations) sources;
- Governance: develop national policy frameworks, both explicit ones, such as urban infrastructure grants, and implicit ones, such as the effect of changes in tariff structures on key firms in the urban economy; address the changing role of urban government under conditions of decentralization.

Through a decade of experience, the Cities Alliance has developed a methodology for the CDS process to guide stakeholders in the conception of their strategies.

There are eight building blocks in this process¹:

- Initiating the process;
- Establishing the initial parameters and the scope of the CDS;
- Making an initial assessment;
- Formulating a vision;
- Identifying strengths–weaknesses– opportunities–threats (SWOT analysis);

- Setting strategic thrusts;
- Building awareness; and
- Starting the implementation.

The Cities Alliance has provided matching grants for sixty-three CDS projects to date². The following table describes these projects.

Cities Alliance CDS Projects

CDS Project	Country	Total Budget/CA Budget
Development Strategy for Greater Cotonou	Benin	US\$ 565,000 /US\$ 330,000
Bhutan National Urban Development Strategy (NUDS) and Thimphu City Development Strategy (TCDS)	Bhutan	US\$ 275,000/ US\$ 215,000
Preparation of Mostar’s Local Economic Development: Capacity-building and Business Improvement Program*	Bosnia and Herzegovina	US\$ 200,000/US\$ 75,000
Recife Metropolitan Region Development Strategy*	Brazil	US\$ 220,000/ US\$ 180,000
Anti-poverty and Anti-exclusion Socio-economic Action Plan – City Networks for Development and Social Inclusion (Rio Grande do Sul)*	Brazil	US\$ 291,700/ US\$ 165,700
Sofia City Development Strategy*	Bulgaria	US\$ 421,700/US\$ 249,800
City Development Strategies and local Poverty Reduction Strategy Papers (PRSP) for the local governments of Bobo-Dioulasso, Banfora and Ouahigouya*	Burkina Faso	US\$ 531,140/US\$ 380,640
Strategy for developing Greater Ouagadougou and improving basic infrastructure and city services in underprivileged areas	Burkina Faso	US\$ 580,000/US\$ 330,000
Scaling up Community-driven Development Process in Phnom Penh*	Cambodia	US\$ 200,000/ US\$ 185,000
Urban Development and Poverty Reduction Strategy: City of Douala and its Greater Urban Area	Cameroon	US\$ 1,161,000/ US\$ 500,000
City-Regional Development Strategies in China*	China	US\$ 1,100,000/ US\$ 900,000
Metropolitan Level CDS in One Major City-Region and One Provincial Capital*	China	US\$ 500,000/ US\$ 500,000
Changsha City-Region, Guiyang and Shenyang City Development Strategies: Urban Indicators Project*	China	US\$ 330,000/ US\$ 250,000

Economic Revitalization by Cities in Heilongjiang Province	China	US\$ \$ 1,020,000/ US\$ 500,000
Alexandria City Development Strategy for Sustainable Development I*	Egypt	US\$ 275,000/ US\$ 200,000
Alexandria City Development Strategy for Sustainable Development - Phase II	Egypt	US\$ 632,000/ US\$ 350,000
City Development Strategy for Ethiopia (Addis Ababa)*	Ethiopia	US\$ 359,000/ US\$ 249,000
Participation of the Cities of Johannesburg and Addis Ababa in the Johannesburg – Addis Ababa Partnership Programme (‘JAAPP’)	Ethiopia	US\$ 1,002,724/ US\$ 500,000
City of Kumasi, Ghana	Ghana	US\$ 100,000/ US\$ 75,000
Preparatory Assistance for Ghana Municipal Finance and Management Initiative (MFMI)	Ghana	US\$ 90,000/ US\$ 75,000
Local Partnership for Poverty focused CDS in Hyderabad*	India	US\$ 350,000/ US\$ 226,000
Visakhapatnam City Development Strategy and Slum Upgrading Action Plan	India	US\$ 337,200/ US\$ 154,700
Transformation of Mumbai into a World Class City	India	US\$ 4,690,000/ US\$ 495,000
City development strategy for Hubli-Dharwad	India	US\$ 235,824/ US\$ 184,268
Institutionalizing Poverty-focused City Development Strategies in Indonesia*	Indonesia	US\$ 1,200,000/ US\$ 600,000
Regional Development and Poverty Reduction Plan through Strategic Urban-Rural Linkages and Regional Integration*	Indonesia	US\$ 620,000/ US\$ 250,000
Preparatory assistance to the Ministry of Housing and Urban Development (MHUD) for the institutionalization of the CDS into the urban planning process in Iran	IR of Iran	US\$ 110,000/ US\$ 75,000
The Kingston and St. Andrew Sustainable Development Plan*	Jamaica	US\$ 592,765/ US\$ 256,445
Greater Amman Development Strategy	Jordan	US\$ 305,000/ US\$ 200,000
Latvia Cities Program- CDS for Economic Development	Latvia	US\$ 940,849/ US\$ 458,427
Slum Upgrading and City Development Strategy in Four Major Cities: Antsirabe, Antsiranana, Mahajanga and Toamasina*	Madagascar	US\$ 211,000/ US\$ 176,000
City Development Strategy for Antananarivo - Infrastructure Development, Urban Services Improvement and City Poverty Strategy*	Madagascar	US\$ 372,000/ US\$286,000
Municipality of Chisinau - City Development Strategy	Moldova	US\$ 101,000/ US\$ 71,000
Mongolia: Development Strategy for Secondary Cities*	Mongolia	US\$ 316,000/ US\$ 250,000
Metropolitan Cooperation in the Tetouan region:	Morocco	US\$ 470,000/ US\$ 245,000

the Role of CDS

City Development Strategy and Informal Settlement Study for Kathamandu*	Nepal	US\$ 225,000/ US\$ 160,000
City Development Strategies for Poverty Reduction: Dosso and Maradi*	Niger	US\$ 352,700/ US\$ 247,700
Scaling up Upgrading through a CDS Approach in Karu*	Nigeria	US\$ 489,000/ US\$ 254,000
Preparatory Assistance for Lagos Strategy Development*	Nigeria	US\$ 236,750/ US\$74,750
City Development Strategy and City Without Slum Initiative for Peshawar*	Pakistan	US\$ 220,000/US\$ 150,000
Towards a CDS System in Punjab	Pakistan	US\$ 110,000/ US\$ 75,000
Establishment of an Integrated Strategic Planning Process for the Neighbouring Towns of Ramallah, Al-Bireh and Beitunia	Palestine	US\$ 350,000/ US\$ 250,000
Metropolitan Lima City Poverty Strategy*	Peru	US\$ 1,390,500/ US\$ 250,000
Upscaling Poverty-focused City Development Strategies in the Philippines*	Philippines	US\$ 1,154,000/ US\$ 600,000
CDS in the Philippines: An Enabling Platform for Good Governance and Improving Service Delivery	Philippines	US\$ \$1,406,100/ US\$ 541,100
Aden Medium- to Long-term City Development Strategy for Local Economic Development*	Rep of Yemen	US\$ 200,000/ US\$ 150,000
Medium to Long Term CDS for Local Economic Development for Hodeidah and Mukalla Cities	Rep of Yemen	US\$ 357,500/ US\$ 200,000
Sana'a City: Medium to Long-Term City Development Strategy for Sustainable Development	Rep of Yemen	US\$ 386,100/ US\$ 280,000
Vologda Development Strategy Alliance	Russian Federation	US\$ 400,000/ US\$ 230,000
Stavropol Regional Development Strategy	Russian Federation	US\$ 370,000/ US\$ 250,000
Chuvash Republic Regional Development Strategy	Russian Federation	US\$ 370,000/ US\$ 250,000
Kigali Economic Development Strategy*	Rwanda	US\$ 305,000/ US\$ 165,000
Financial Management Modernization and Development Strategy for Kigali	Rwanda	US\$ 483,000/ US\$ 240,000
Greater Dakar Urban Development Strategy	Senegal	US\$ 645,000/ US\$ 380,000
Johannesburg City-level Comprehensive Development Framework and Slum Upgrading*	South Africa	(The World Bank) US\$ 400,000/ US\$ 350,000
Establishment and Operation of the South Africa Cities Support and Learning Network (SACN) and the SA Cities Network Service Company (SACNC) in South Africa*	South Africa	US\$ 2,395,000/ US\$ 450,000 + US\$ 300,000
Participation of the Cities of Johannesburg and Addis Ababa in the Johannesburg – Addis Ababa Partnership Programme ('JAAPP')	South Africa	US\$ 1,002,724/ US\$ 500,000

The Tshwane Comprehensive Sustainable Human Settlement Strategy and Financing Plan	South Africa	US\$ 1,276,780/ US\$ 535,000
Upgrading for Growth: Implementing the Breaking New Ground Policy within Ekurhuleni's City Development Strategy	South Africa	US\$ 1,100,940/ US\$ 500,000
Support for the Preparation of 2006 State of South African Cities Report	South Africa	US\$ 1,400,000/ US\$ 500,000
City Development Strategies in Medium-Size Cities in Vietnam	Vietnam	US\$ 315,000/ US\$ 250,000
Linking CDSs to Zambia's Emerging Intergovernmental Fiscal System	Zambia	US\$ 100,000/ US\$ 75,000
"1234" – No details	Zimbabwe	N/A
Total Projects: 63	Total Countries: 37	Total CA Budget: US\$ 18,345,530

*= Indicates projects that are "completed" (29 out of 63)

Countries with more than 2 CDS projects:

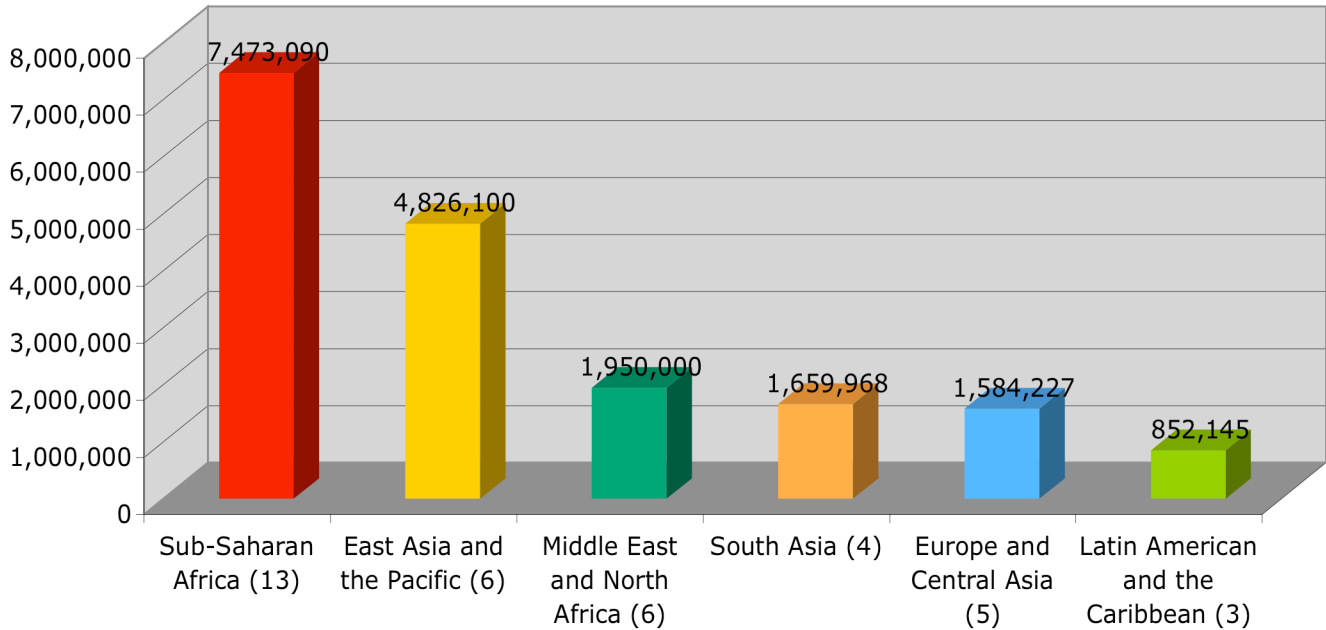
- South Africa: 6 (CA Budget: US\$ 3,135,000)
- China: 4 (CA Budget: US\$ 2,150,000)
- India: 4 (CA Budget: US\$ 1,059,968)
- Rep of Yemen: 3 (CA Budget: US\$ 630,000)
- Russian Federation: 3 (CA Budget: US\$ 730,000)

CDS Activity By Region

- Sub-Saharan Africa: 13 countries, 24 projects (CA Budget: US\$ 7,473,090)
- East Asia and the Pacific: 6 countries, 11 projects (CA Budget: US\$ 4,826,100)
- Middle East and North Africa: 6 countries, 9 projects (CA Budget: US\$ 1,950,000)
- South Asia: 4 countries, 8 projects (CA Budget: US\$1,659,968)
- Europe and Central Asia: 5 countries, 7 projects (CA Budget: US\$ 1,584,227)

- Latin American and the Caribbean: 3 countries, 4 projects (CA Budget: US\$ 852,145)

CA-CDS funding by Region (US\$) -- Region (# of countries with CDS)



The Cities Alliance has determined characteristics of effective City Development Strategies¹. A high-quality CDS will have the following attributes:

- It is internally consistent (e.g., strategic thrusts follow the Vision and SWOT analysis);
- It has only a few strategic thrusts (products of tough choices, with nothing being of equal importance);
- It is realistic but challenging;
- There is a high probability for success;
- Its achievements can be measured by lean, powerful, results-oriented indicators;
- Its strategic thrusts cross sectoral boundaries and rely on a variety of activities and agencies;
- It clearly identifies responsibilities for implementation, definitive targets, and timelines;
- It contains incentives that drive performance (e.g., financial, awards, and community recognition);
- It has a flexible strategic framework that can adapt to changing conditions and tactics, while maintaining a constant Vision over the medium run;
- Its priorities are reflected in budgeting and investment strategies.

Ultimately, an effective CDS enhances sustained urban performance and is measured by (1) economic growth, linked to improved livelihood opportunities; (2) poverty prevention and alleviation; and (3) improved environmental and public health, which includes that of poor and informal communities¹.

CDS Evaluations

Internal

In 2004, the Cities Alliance Secretariat performed evaluations of twelve of its completed city development activities in order to assess their impacts and to learn from their outcomes³. These evaluations were undertaken as desk studies, complemented by one on-site evaluation.

Of the twelve strategies that were evaluated, the shortest time from date started until completion was one year, while the longest was three years. The total budget for CDS implementation does not seem to be related to the time elapsed for completion. Eight of these projects were sponsored by two organizations, and four ventures had single sponsors. The World Bank sponsored ten of the twelve projects, and UN-HABITAT sponsored eight.

The Cities Alliance learned several lessons from these projects and identified several necessary traits of a high-quality CDS²:

- Strong and continuous involvement of the co-sponsoring CA members;
- Strong national and local ownership of—and political support for—the project;
- Early identification of and involvement by potential investors;
- Clear assessments of the roles of different partners throughout implementation;
- Involvement of multiple national and international partners from the beginning;
- Coherent efforts and communications amongst international development partners and donors;
- Concrete, short-term results in order to maintain participants' interest and commitment;
- Accurate appraisals regarding local capacity as the CDS is developed;
- Consideration *and* involvement of the urban poor throughout the CDS process (1) to ensure a strong urban poverty focus and (2) to promote collaborative action over merely collaborative communication (e.g., holding hearings).

Upon evaluation of CDS implementations, it is apparent that the CDS process is a powerful tool for introducing participatory strategic planning as an approach to urban planning and management, and it is an effective method for mobilizing financial resources. Furthermore, it is evident that CDS activities are mutually beneficial to the cities and development agencies that undertake them. These considerations raised by the internal evaluation led the Cities Alliance to conclude that evaluations should be institutionalized into its annual work program and that the

knowledge products, including data pertaining to the various stages of a given CDS, need to be more broadly disseminated.

External

In much the same way that the Cities Alliance itself undergoes objective evaluations, the City Development Strategies can benefit from outside appraisal. The purposes of evaluation are to gauge the sufficiency and effectuality of a CDS in achieving its desired goals within the realm of the Cities Alliance mandates. When possible, assessments should offer examples of good and bad practices and outcomes of particular CDS implementations. A uniform critique of the effectiveness of each CDS will allow for beneficial comparisons across a wide spectrum of indicators, useful for the creation of future strategies (based on size, resources, and other characteristics shared by specific cities).

In 2006, an independent evaluation of the work of the Cities Alliance⁴ confirmed some of the challenges observed by Cities Alliance in its 2004 internal evaluation. The independent evaluation pointed out that:

- The interaction and coherence between CA Members during the implementation of CDS and Slum Upgrading projects has been superficial and limited;
- Follow-up investment for CDS implementation is an area that still needs to be strengthened;
- While the Cities Alliance has achieved a degree of success in leveraging financial support from IFI and bilateral partners, it has not been similarly effective in encouraging or mobilizing domestic capital resources—including private sector capital investment—in the cities where it has supported CDS or SU;
- The environmental component of urban development has not been given the attention it needs in most CA projects and processes;
- CDS do not address urban poverty in the strong manner the general objectives of the CA would indicate, although projects that include both CDS and SU activities, illustrates a positive shift in the effort to integrate a poverty focus in CDS projects.

Evaluations are very useful in informing the work of the Cities Alliance, and thus should be prioritized. More in-depth assessment of past and on-going City Development Strategies can globally benefit cities that may be interested in embarking on a process of favorable urban change. Cities need to learn from other cities, particularly those in similar circumstances or those subject to comparable shocks. This learning needs to include not just the best practices but also cases in which activities and processes were not as successful.

The UURI Way

The University Urban Research Initiative can offer the Cities Alliance thorough assessments of its City Development Strategies from the past and those of today in order to help increase the impact of projects. These assessments and critiques will offer guidance to the

strategy developers and implementers of the future. They also work towards other goals of the Cities Alliance, such as increasing participation of multiple stakeholders into urban planning strategies, increasing local engagement, bringing more local knowledge to bear, and affecting/improving education within the urban planning fields. In the meantime, the evaluative process is also a learning process that builds capacity by motivating critical analysis of urban development strategies. UURI can thus enhance the work of the Cities Alliance by contributing to the issue of systemic change.

The amount of progress that can be achieved simultaneously, through concurrent research and evaluation across the globe, is tremendous and will position the Cities Alliance at the forefront of ideology development as the field of urban development continues to evolve. By utilizing the UURI network, the results of the research and evaluations can be disseminated quickly and easily, not only to local authorities and their partners, but also to the member universities, those being the institutions that will produce the global planners of the future. These planners will be, by way of CA relationship building, pre-equipped with the knowledge of effective development strategies and the logic behind them.

UURI assessments will address the performance of an individual CDS in achieving its desired goals and its ability to sustain its focus on prioritized actions. This can be judged based on (1) the apparent commitment of the actors involved in the CDS towards these priorities and (2) by the extent to which a CDS improves the ability of those actors to work together towards these goals. Of course, the scales of action of each CDS, the increase of investment in urban-poor initiatives, and the quality of those investments should be and will be taken into consideration by the UURI evaluators. Any differences between CDS-driven operations vs. those of other development strategies would be duly noted.

In addition, all measurable performance indicators of each CDS will be categorized and evaluated based on its successes and/or failures. It will be necessary to address each goal of each CDS, as well as the over-arching, collective impacts of the strategies. Furthermore, the relevance of each CDS to its specific city as well as to the mission of Cities Alliance will be evaluated, with recommendations for improvements being offered throughout each step of the evaluation process. Finally, assessments of CDSs performed by the UURI can also be specific to their treatment and inclusion of several topics such as employment and job creation, climate change and cities, spatial form and planning, inclusion of multiple social partners, etc.

The research and evaluation design will involve multiple methodologies in order to construct a holistic composite of the strengths and weaknesses of City Development Strategies. The Cities Alliance definition and expectations of CDS already provides a framework for analysis. Desk Reviews of reports documenting the entire CDS process will be teamed with thorough reviews and critiques of past evaluations. Interviews and/or questionnaires of current and former consultants, constituents, and task managers associated with a specific CDS will be administered and paired with personal interviews of the CA Secretariat involved with that CDS.

Any feasible quantitative data that can speak to the impact of the CDS within and outside the urban area can be collected and organized for interpretation in coordination with CA needs

and utility. Any additional sources of information can be appended to the report that will be produced so as to offer any other useful information about a specific CDS. Pending review (and based on its potential for global application) any such rubric may be incorporated into formal UURI methodology for future evaluations. As an initiative by and for the Cities Alliance, UURI fits the demands of the Cities Alliance's objectives and can broaden the scope of its impacts as it reinforces its directive to eliminate urban poverty.

Endnotes

¹Cities Alliance. 2006. Guide to City Development Strategies: Improving Urban Performance.

² Cities Alliance. City Development Strategies, <http://www.citiesalliance.org/activities-output/topics/cds/cds.html>

³Cities Alliance. 2005. Evaluation of Completed Cities Alliance Slum Upgrading and City Development Strategy Activities. A Synthesis.

⁴Cities Alliance. 2006. Independent Evaluation of the Cities Alliance prepared for the Consultative Group by Universalia.

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Technical Note on Slum Upgrading – Working Paper

1. Introduction

The main objective of this technical note is to identify knowledge gaps in Slum Upgrading (SU) work carried out by Cities Alliances (CA), as well as by several international development institutions. This review is grounded in a series of existing publications and evaluation reports on SU practices worldwide. These include work by the CA, the World Bank, UN-HABITAT, the Inter-American Development Bank, and the Asian Development Bank. A list of these publications is included in the bibliography.

An Independent Evaluation of the CA performed during 2006 has been used as the starting point in the elaboration of this paper, which is complemented by observations from the analysis of the documents consulted. Also, a 2007 Global Program Review of the Cities Alliance, in many ways a follow up to the 2006 evaluation, has provided significant information in terms of data and recommendations. It is worth noting that the sample under review is neither exhaustive nor representative of all SU assessments done by the organizations mentioned above due to constraints of accessibility to a wider range of documents and of time for a deeper analysis.

2. Revision of Cities Alliance’s Slum Upgrading (SU) Initiatives

2.1 Priorities and elements of SU programs

The case studies under examination provide numerous examples showing a shift in the nature of SU projects being implemented worldwide. First, there is a clear tendency in recent urban development policies, specifically rehabilitation projects targeting low-income populations of informal settlements, to implement integrated projects rather than single sector approaches. These multiple, simultaneous interventions include not only physical upgrading such as infrastructure and basic-services delivery, but also expand to incorporate socio-economic and environmental improvements as fundamental parts of the process.

Second, the documents revised point toward work methodologies based on multiple actor collaboration and mechanisms of decentralization. Although the degree of involvement of public organizations, the private sector, Community Based Organizations (CBO), neighborhood associations, NGOs, and international donors varies from one scheme to another, the review confirms the presence of these agents in at least one of the stages of SU project development.

From the analysis of the documentation on SU initiatives produced by the CA¹, a number of core areas of particular interest to its work have been identified. These focal points, as it has been observed in the majority of the cases, are described and assessed in an exhaustive manner in CA reports and studies. A good performance in these areas is considered of critical importance to endorse both delivering at scale, citywide and nationwide, and to bring about systemic change, the guiding principles of the CA to create sustainable cities.

- *Housing Policies and Land Tenure Regularization*: past housing policies are analyzed to demonstrate to what extent they have contributed to the formation of informal settlements. Current policies are assessed in terms of their responses to unsatisfied and increasing demands for housing. Building permits and standards, dynamics of the housing markets (supply and demand), regulations, rent control, access by the poor to subsidies and housing financing are elements considered during the assessment; as well as procedures for registration, land titling, land availability, land-use planning, land reforms, and secure of tenure.
- *Policy frameworks for upgrading*: Develop frameworks by assessing the institutional, administrative, and implementing capacity of the programs.
- *Collaborative Approach (building partnerships)*: The revised documents of CA prove a particular interest of the organization in intra-institutional collaboration among public entities involved in slum upgrading initiatives (at the local, state, and national level) to avoid any duplication or overlapping of activities; and inter-institutional coordination between public entities, international donors, and NGOs assisting in the design, implementation, monitoring, and evaluation of SU projects. Correspondingly, during the evaluation of the Ribeira Azul Program implemented in the city of Salvador da Bahia, Brazil, special attention was given to the interaction and coordination of activities between the implementing agents: AVSI (an Italian NGO), CONDER, (the Urban Development Company of the State of Bahia), and CDM (a local, community-based NGO).
- *Participatory model*: Assessing and analyzing mechanisms of inclusion of the urban poor in the planning process proves to be a relevant area of interest for CA, in part, to appraise the success of a project. Stakeholder consultation to identify problems and priorities, mechanisms of participation, levels of involvement in project planning and execution, as well as collaboration in monitoring and evaluation stages are considered essential elements in order to provide local communities with ownership to contribute to the sustainability of the project. For example, the Ribeira Azul and Guarapiranga (São Paulo) Programs both used this model.

¹ During the preparation of this paper, the following documents were consulted: “2008 Annual Report”; “Slum Upgrading Up Close: Experience of Six Cities; Evaluation of Completed Cities Alliance Slum Upgrading and City Development Strategy Activities: A Synthesis”; “Integrating the Poor: Urban Upgrading and Land Tenure Regularization in the City of São Paulo”; “Alagados: The Story of Integrated Slum Upgrading in *Salvador* (Bahia), Brazil”; “The Challenge of Scale – Nationwide Upgrading” 2003 Annual Report.

- *Capacity Building:* SU performance and sustainability is also measured against the ability of the project to forge local leadership and reinforce existing local capacity at both the institutional and community levels. Special consideration is given to supporting mechanisms to build managerial and technical capacity, promote community ownership of the project, skills training, involving the community in project design and implementation, attracting funding, and carrying out interventions.
- *Financial Sustainability of Projects:* Investment follow-up is part of the criteria used by CA while assessing project performance. Correspondingly, local financing mechanisms through public funds and private sector participation are seen as critical to determine long-term sustainability of the programs.

2.2 Knowledge Gaps

After reviewing various existing publications and evaluation reports on Slum Upgrading practices, we have identified the following points as areas in need of deeper assessment in order to get a more accurate measurement of effectiveness and sustainability of undertaken projects.

- *Long-term Impact of Upgrading Practices:* As previously mentioned by the Independent Evaluation of the CA, project design should incorporate indicators for the different groups of SU activities (social, economic, environmental, etc.) in order to facilitate progress, measure impacts, and obtain feedback for adaptation.
- *SU and Urban Poverty:* Millions of slum residents around the world live in extreme poverty and under strenuous, unhealthy conditions as a result of being excluded from the benefits of urban life. Hence, the socio-economic dimension of slum upgrading projects focuses on the integration and recognition of marginalized populations as citizens with rights and obligations. After a review of the cases presented by Cities Alliance, it is difficult to see by what measure SU projects specifically contribute to reducing poverty in a sustainable and effective manner. Qualitative and quantitative studies are necessary in order to assess the impact of urban upgrading practices on low-income populations. This type of data will establish linkages between the improvement of living conditions of slum dwellers and urban poverty reduction. For example, the study of social programs should be accompanied by indicators to monitor advances in income, health and education.
- *Impact of affordability for households:* More work needs to be done in reference to present and future affordability for households to cover expenditures resulting from upgrading interventions such as non-subsidized housing costs, housing maintenance, and basic service provision. A deeper analysis of this type is fundamental to predict turnover rates due to poor household affordability. Increases in the availability of and access to credit for the poor should also be considered when appropriate and/or feasible.

- *Thematic Level Evaluation:* The 2006 Independent Evaluation of the CA by Universalia also suggested grouping activities in clusters to facilitate comparisons across countries. The example given in the report proposes evaluating SU tools directed to improving the delivery and provision of basic services.² Another suggestion would be to assess cross-subsidized systems of housing supply in different contexts (comparing city and country initiatives would be very valuable in identifying best practices for scaling-up and replication).
- *Effectiveness of SU as a method for spatial, economic, and social integration of slum dwellers to the urban conglomerate:* Strategies used in the implementation of SU projects should be assessed according to their contributions to creating a more inclusive and functional city. For example, SU interventions that connect low-income populations to public transportation systems, road networks, and communication systems (telephone, internet, etc) will be more successful in integrating slum dwellers into the economy, social life, and spatial configuration of the city. Mapping the location of social clubs, community centers, educational institutions, hospital and medical centers, economic hubs, and main transportation terminals, etc, can complement and enrich the assessment process.
- *Effects of resettlement:* Relocation should be assessed in terms of distance to employment opportunities, schools, and health centers; access to mass transportation routes; and provision of basic services. Ideally, resettlement would also disrupt community cohesion and social networks as little as possible. Providing families who must be relocated with options (new housing, compensation, etc) can facilitate project implementation and improve community involvement.
- *Employment:* Descriptions of the economic dimension of SU interventions such as job training programs, business development support, and use of local labor in upgrading practices are insufficient to demonstrate a positive relationship between SU and employment. Employment creation should be targeted as a primary objective in upgrading initiatives, instead of merely a secondary or indirect goal (e.g. a component of a social program). Activities such as community contracting, skills training and local business development can help fill this gap. Indicators and criteria to measure effectiveness of SU projects in creating short-term and long-term economic opportunities for slum dwellers should be developed. Income creation is essential to improving living conditions and ensuring project sustainability and positive public opinion.
- *Environment:* While improving environmental conditions and providing basic sanitation are addressed by most SU initiatives, community involvement in project design and identification of priorities is often unsatisfactory. Environmental education, such as raising awareness in communities about proper waste disposal and environmental hazards should be given more attention. As global climate change will likely have the most negative effects on slum dwellers, added focus, funding and efforts should be given to mitigation and/or adaptation in vulnerable communities.

² Universalia, “Independent Evaluation of the Cities Alliance – Volume I: Final Report” (p. 55)

3. International Agencies

3.1.1 The World Bank: A Key Partner³

The World Bank plays several roles in the Cities Alliance: founder, co-chair of the governing body, host organization, trustee of the Alliance trust fund, and implementing agency of selected Alliance technical assistance activities. The Bank has had more than thirty years of experience in financing urban development programs worldwide, helping CA with both their infrastructure investment needs and their institutional development and technical assistance needs. It is therefore a highly qualified partner of the Alliance that has made valuable operational and intellectual inputs into the Alliance. As of 2006, World Bank lending to support improvement in shelter conditions totaled over \$16 billion for 278 projects in more than 90 countries. Independent evaluations show that over 83% achieved satisfactory outcomes.

As a partner to the CA, the Bank contributes to the assembly of appropriate partners and the formulation of appropriate strategies and policies. Meanwhile, this partnership has enhanced the Bank's own comparative advantage by enabling its staff to become involved in work outside the paradigm of project preparation more typical of the Bank's urban work.

At the country level, the Bank has been able to bring its country knowledge to facilitate the CA's Alliance work by deploying dynamic task managers to CA funded technical assistance and encouraging close interaction with CA staff. In Brazil and China for example, the Bank has identified opportunities for both SU and CDS technical assistance and alerted the CA of such opportunities. For CA, the Bank's project task managers in its country operations have served as important interlocutors to help share city experiences with the CA to benefit work in other locations, elevating them in some cases to the country level. When this works smoothly, some may see the CA as being a mere an instrument of the Bank, or (incorrectly) as part of the Bank itself. Both the CA and the Bank must work against this plausible perception of the Bank's dominant role to demonstrate the autonomy and distinct nature of each party's work.

In a June 2007 Global Program Review of the Cities Alliance by the Independent Evaluation Group (IEG) at the World Bank, the IEG made the following recommendations to the CA:

- *Maintain focus on the CA's core components of SU and CDS:* With its comparative advantage and proficiency in these areas, the CA should provide extra staffing to cope with the increased demand in both areas. It would be wise to avoid moving into other areas beyond its proven core expertise in order to develop and maintain its position as a renowned leader in these fields.

³ In preparing this section, the following references were consulted: Buckley, Robert M. and Jerry Kalarickal, *Thirty Years of World Bank Shelter Lending, What Have We Learned?*, Directions in Development – Infrastructure, The World Bank, Washington, D.C., 2006; Independent Evaluation Group, “Global Program Review: Cities Alliance”, The World Bank, Sector, Thematic and Global Evaluation Unit, June 28, 2007.

- *Ensure that its products are distinct from and complementary to those of the Bank:* Improving communication with the Bank and others why it must differentiate its deliverables.
- *Strengthen its work in:* Monitoring and evaluation of the achievement of its objectives; tracking the realization of its programs via annual reporting; more detailed annual reporting of its finances, together with routine account auditing; and financial analysis of resource mobilization to implement CDS and Slum Upgrading. Extra staffing will be necessary to address some of these areas.
- *Improve dissemination of its publications, resources and achievements:* To become the prominent global knowledge manager in Slum Upgrading and CDS, the Alliance must spread awareness of its accomplishments, improve understanding of its objectives, and increase recognition of its needs in order to fulfill its objectives.

In the World Bank publication entitled *Thirty Years of World Bank Shelter Lending: What have we learned?*, a review was conducted to focus on how the Bank can improve its delivery of shelter assistance towards better housing conditions in developing countries. After showing how the Bank's focus has evolved and shifted over the last three decades, it outlines the positive and negative consequences of the Bank's involvement and influence in the urban sector. These consequences, together with recommendations made by the publication's authors, provide an important set of conditions and principles that have unquestionably contributed to the CA's creation and influenced their areas of focus, and deserve more attention.

In the 1970s, the Bank's focus was on financing basic infrastructure and directly targeting assistance to the poor. In the 1980s, the focus began to shift away from public sector investments and supported increasing the involvement of local communities. Most shelter lending during this period was to support sites and services schemes and slum upgrading. In the 1990s, a focus on problematic housing and land markets revealed the need to rely more on the private sector, and much less state involvement. Since then, the Bank has moved away from mechanical prescriptions for solving housing problems.

A changing environment has affected the structure of Bank assistance and the outcomes of the Bank's shelter projects. The Bank now more typically provides large-scale, policy-related assistance to a variety of countries through sector-wide integrative strategies. Delivering largely satisfactory results, increase for this sort of lending has increased, and has attracted private sector investment. Demand for and investment in shelter lending has outpaced other infrastructure and urban development lending.

The Bank has however moved away from the poverty orientation, focusing less on low-income housing in low-income countries, with the largest loans going to middle-income countries. For example, shelter lending in Latin America and the Middle East has increased, while in Sub-Saharan Africa it has decreased. The latter may be due in part to the lower satisfaction rate of housing finance in "unstable, inflationary environments" or distorted housing markets.

This trend is visible in the CA's work as well, for despite the recent inception of SU initiatives in LDCs, the bulk of the CA's work and investment in SU remains directed towards middle-income countries.

In promoting the right policy environment, the World Bank recommends an active private sector, well-targeted and transparent public resources and a transparent regulatory environment. As market-based housing finance and market-oriented housing policies have been adopted; demands by borrowing countries to restructure national housing subsidy programs have increased. This is understandably more difficult in LDCs, and the geographic distribution of the CA's work reflects this reality.

In responding to increased demand for shelter assistance, the *Thirty Years of World Bank Shelter Lending* review suggests added emphasis in two main areas. These recommendations are also relevant to the CA's SU initiatives:

- *Improving the provision of housing subsidies:*
 - Linking subsidies and finance to improve the effectiveness of government expenditures to the poor
 - Cautiously expand the reach of housing finance and credit
- *Improve the Bank's approach to the Shelter Sector:*
 - Reinvigorate and retarget bank support for low-income housing. Scale-up and sustain the original focus on slum upgrading and poverty alleviation.
 - Become more responsive to borrowers and other donors. Attempt to short circuit the lengthy gestation period constraining project implementation.
 - Improve understanding of urban land markets and slum conditions. Identify and clarify constraints (the most important one being urban land market failings) to development effectiveness, such as better information, numbers, and understanding of regulations.

3.1.2 Impact Evaluation for Slum Upgrading Interventions

Specifically in the case of SU, an impact evaluation of studies performed by the World Bank⁴ has identified three broad categories of assessments used by the institution:

- *Direct program impact assessment:* This focuses on the physical aspect of the project by measuring quality of infrastructure and basic services, as well as access, affordability, and satisfaction by the targeted population.
- *Socio-economic impact assessment:* Indicators to measure health, education, employment, security of tenure, poverty, etc., are taken into consideration to assess the impact of SU projects on affected individuals and communities.

⁴ Erica Field et al., "Impact Evaluation of Slum Upgrading Interventions"

- *Indirect programs effects*: Such effects include changes in the constituency of the neighborhood due to migration of targeted poor population, as well as the settlement of better off people.

The study also points out certain SU components that should be given more attention while performing evaluations:

- *Sustainability*: In order to determine long-term impacts of SU interventions, the study recommends performing evaluations one year and five years after completion.
- *Complementary services and programs*: These should be brought into the communities as a direct result of upgrading interventions. For example, to what extent the improvement of local roads relates to a better provision of mass transportation services.
- *Quality control*: This can be done by appraising the amount and type of inputs used in the construction of infrastructure and provision of services.
- *Formal sector integration*: Evaluations should consider new opportunities presented to beneficiaries of SU interventions as a direct consequence of residential formalization. For example, access to credit, mail, and other formal sector services due to the regularization of property rights.
- *Gender issues*: Household-level data should be collected and disaggregated by gender when considering property titles, contributions for services, and community participation in the project.
- *Mobility*: Keeping track of residential mobility is important to measure program impact on targeted population as well as sustainability of the project – especially in the case of the participants active in project implementation.
- *Spillover effects*: Outcomes on neighboring communities should also be evaluated, such as increases in property values, crime reduction, health benefits and access to transportation services as a result of SU interventions.

3.2 Asian Development Bank

A recent *Project Performance Evaluation Report in India* prepared by the Asian Development Bank (ADB) has been reviewed in order to get a sense of the priorities of the organization while conducting assessments. The report appraises the outcomes of the Karnataka Urban Infrastructure Development Project implemented in selected cities in the state of Karnataka. The scheme has been classified as an integrated urban development plan including - but not limited- to SU. The following points have been given special consideration while performing the evaluation:

- *Project objective versus design*: Project objectives are measured against project components and outcomes.
- *Assessment of quality of physical outputs and work completed*: For example, operational performance and utilization of water supply, sewerage, and sanitation facilities; on-time completion of sub-projects such as allocation of residential sites and services.
- *Capacity building of Urban Local Bodies (ULB) and institutions involved in the project*: The evaluation takes into account technical assistance and training directed to strengthen the managerial capabilities of municipalities and implementing agencies.
- *Sustainability of the project*: Sustainability of the project is measured in terms of founding as well as operation and maintenance. Particular attention has been given to affordability and willingness to pay for services by the beneficiaries, cost-recovery through tariffs in order to operate and maintain the works, and capacity of the ULB in servicing the project debts.
- *Community development*: Participation of local NGOs in the implementation of social programs (health, education, skill-based training, and financial assistance) as well as formation of women self-help groups is an important component of the assessment.
- *Beneficiary involvement*: Beneficiary involvement (in the design and implementation of the project) is considered of importance to identify needs, provide ownership and increase post-project cost recovery, all of which is seen as contributing to project sustainability.
- *Socio-economic impact*: Improvements in infrastructure and access to services, as well as participation in community development programs are assessed in reference to their contribution to community well-being.
- *Environmental impact*: Improvements in sanitary conditions due to better provision – in terms of quantity and quality- of services and infrastructure are analyzed according to their positive impact on the environment.

Although this evaluation performed by the ADB seems to be very comprehensive by taking into consideration physical, social, economic, organizational, and environmental components of the project, there is a lack of analysis regarding the effective contribution of the scheme to poverty alleviation. In future evaluations, mechanisms such as surveys should be included in order to determine if participants in social programs or in women self-help groups have been able to move out of poverty.

4. Conclusions and Recommendations

After a review of the Cities Alliance's work, it is easy to conclude that the organization is performing well and plays a vital role in improving the lives of slum dwellers. Based on this review, we shall provide several recommendations to address the CA's need to strengthen its capacity and increase the impact of its Slum Upgrading initiatives. In addition, we shall provide suggestions of how the University Urban Research Initiative (UURI) can contribute to improving the CA's work with regards to Slum Upgrading.

Since the goal of SU assessments is to inform policy and to contribute to adaptation, scaling-up, and replication of activities, it is necessary to strengthen and enhance the monitoring and evaluation system of the organization. Consequently, more attention must be placed in the following areas:

- Long-term impact of upgrading interventions particularly in its contribution to poverty reduction and spatial, social, and economic integration of slum dwellers
- Thematic level evaluation to facilitate comparisons between projects, cities and countries
- Impact of upgrading on affordability, by household
- Impact of relocation and resettlement
- Employment creation as an upgrading project objective
- Environmental sustainability

The UURI Way: Contributions to improving Slum Upgrading

Increased targeting of low-income countries:

One way UURI can contribute to improving SU programs is to involve and work with universities in low-income countries which have been relatively underserved by CA initiatives. A greater presence in these countries and cities, where slum population growth is currently highest, can help target areas in greatest need of upgrading and capacity building.

Universities could conduct valuable research such as needs assessments, data collection and mapping, while also identifying key actors and organizations in locations where the CA has fewer connections or no presence at all. These activities could lead to expanded membership, future partnerships, and new SU interventions.

Increased local involvement in project design and implementation:

By identifying local actors, knowledge, and priorities, UURI will be able to more effectively target the greatest needs of different cities and communities, and develop channels to increase local participation in project design and implementation. Strong community involvement will enhance the impact and scale of future interventions, as well as ensure greater local project ownership and sustainability.

Capacity building for local institutions and residents

UURI Universities with relevant programs can contribute to training actors in local government, implementing agencies (i.e. local NGOs or contractors) and communities themselves with the necessary skills to participate more meaningfully in Slum Upgrading programs. University faculty or graduate students with proper training could replace expensive international consultants in capacity building efforts. This would also provide local institutions with valuable managerial skills, as well as empower communities and therefore decrease dependency on outside actors for certain aspects of technical assistance.

Assessment of Slum Upgrading projects by Universities

Strengthening the impact assessment system of the Cities Alliance will contribute to scaling up and forging the necessary systemic change to achieve global sustainable urban development worldwide. Universities should play a larger role in the execution of SU assessments. Because of their proximity to the areas in question, Universities have access to unique local knowledge and direct feedback which enable them to potentially more accurately assess project impact according to local realities. Universities, together with local governments, can then work towards creating valuable online resources such as city and community profiles, and digitize relevant key local information about slums, principal actors, and resources. Through the UURI network, resulting assessments can help develop revealing comparisons between different cities and communities, as well as the formulation of best practices.

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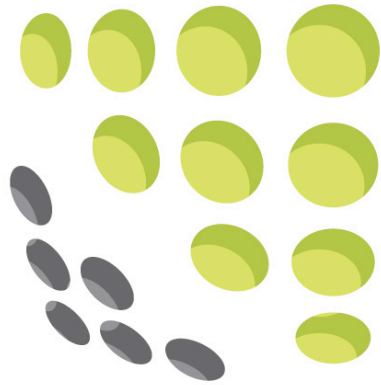
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UURI

University Urban
Research Initiative

THE NEW
SCHOOL

CITY PROFILES – TECHNICAL NOTE

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Technical note on City Profiles

The creation of an easily navigable, user friendly, coherent and cohesive online database of city profiles would be a valuable asset to the University Urban Research Initiative (UURI). Online resource databases such as UNdata (<http://data.un.org/>) and the World Bank's Data and Statistics website (www.worldbank.org/data) are valuable tools for compiling information on indicators at country, regional, continental and global levels; however, they do not provide any information at the city level.

As the world continues to rapidly urbanize, the importance of better understanding cities becomes all the more apparent. Country level indicators provide limited insight and can only speculate as to the function and role that the major urban centers play. Moreover, it could be argued that to fully understand a country, one must have a deep working knowledge of the cities as they are often times the financial, cultural and political centers of a respective place. Cities are uniquely different and complex making it challenging to generalize their function and existence. Providing an arena for comparison and analysis would be practical and beneficial to all parties involved in the process. A product such as a city profile database could prove to be invaluable as a research tool and would ultimately be a major feature of the UURI.

This is not to say that city knowledge products do not exist, far from it. Information concerning city-level indicators is widely available on the Internet. Attempts to assemble this information in a coherent, cohesive and comparative manner have, for the most part, been fruitless. It is relatively easy to search for city-level indicators by sifting through information provided on city/national government websites as well as other online resources; however, it becomes exhaustive, when attempting to compile data for several different cities from different regions at once.

UN-Habitat's Global Urban Observatory (<http://ww2.unhabitat.org/programmes/guo/>) has attempted to provide a comparative city profiles product, however, as it stands now, the profiles provided are either dead links or limited in their scope. Furthermore, they do not offer any useful tools for comparison, such as those found on the UNdata website, where several indicators following multiple countries can be followed over different time-series.

Urban Age (<http://www.urban-age.net/>), developed by the London School of Economics, provides city profiles in a relatively coherent and organized manner, however, the scope of the product is extremely limited. In total only nine cities are examined and only 5 of them are from the developing world, a major component of UURI. Moreover, while the analysis on the cities excellently examines labour markets; mobility and transport; public life and urban space; and housing in time-series, it fails to recognize any social indicators such as health and education.

The Global Cities Program (<http://www.globalcities.ca>), established by Patricia McCarney at the University of Toronto, is another ongoing urban research facility. While the website does provide a collection of valuable research compiled on large global cities, there is no indication of any sort of city profile product with searchable database. Aside from a list of the world's most populous cities, most of the available information is website links to other sources.

UURI's city profile product would attempt to fill these obvious gaps by examining several key indicators over several time-periods for a much wider set of global cities, especially those in the developing world. Furthermore, the city profiles would include features that allow one to compare multiple cities/indicators/years at once making it a valuable resource/research tool.

Benefits for Cities Alliance

- Be the first organization with a complete and interactive database on cities.
- Indicators that can be pulled by any user from anywhere in the world and create tables and graphs for easy research and study
- The name of Cities Alliance cited as a source.
- Become a well recognized name in the education and research field.
- Serve as a tool for local governments to get to know their cities
- A tool to monitor the progress of cities and projects
- Easy access to data at city level for CDS with 10 or more indicators
- Data at city and community level for slum upgrading
- **Enhancing Cities Alliance’s work by increasing local knowledge through this database**

Changing the way we do research, the UURI’s way

Hundreds of cities are experiencing changes every day. There are so many things taking place in the urban arena that there is a great need for a fully equipped and interactive database. The findings and data contained in the data base will be provided through partnerships with local governments, universities and the Cities Alliance.

The UURI’s database will influence the knowledge of local governments to understand their cities and make changes to their policies to address the needs. It will also be tool for students and researchers to better documents and understand the issues of urbanization and be able to provide with their findings a more concrete solution to the problems. It will serve the general public in an interactive way to be well “informed” about what trends and changes are happening in the urban settings of these cities.

Through this database, the initiative will produce tangible information that will enable the Cities Alliance to make real progress to achieve its objectives of creating systemic change within cities and achieving greater scale in their work. This user-friendly database will also showcase the latest information on current programs taking place within the city, in addition, to information on past successful and not successful programs.

Indicators at city level

The following is a list of potential/suggested indicators to be used in the city profile product. The majority of the indicator definitions used have come from the UN Human Development Report Website (<http://hdr.undp.org/en/>), although the authors have interpreted some. All indicators are meant to represent statistics taken at a city level only. None of these refer to national indicators.

Demographic and Social

Population

- Total (thousands)
- Land Area/ Population density (net per sq. km)
- Population Growth (annual %)
 - o Migration as % of population growth
- Density (sq. km)
- Age Structure (Population Pyramid)
- Female Population as % of total

Health

- Life Expectancy at birth (years)
- Infant mortality rate (per 1000 live births)
- Fertility Rate, total (births per woman)
- Prevalence of HIV, total (% of population ages 15-49)
- Malnutrition prevalence, weight for age (% of children under 5)
- Immunization, measles (% of children ages 12-23 months)
- Population using an improved water source (%)
- Population using improved sanitation (%)
- Prevalence of smoking (%)
 - o Men
 - o Women

Education

- Literacy Rate:
 - o Adult literacy rate (% aged 15 and older)
 - o Youth Literacy rate (% aged 15-24)
- Net Primary Enrollment Rate (%)
 - o Boys/girls
- Net Secondary Enrollment Rate (%)
 - o Boys/girls
- Net total Enrollment Rate (%)
 - o Boys/girls

Slums

- Slum prevalence as % of Urban Area
- Slum Population (% of total Urban)
- Slum Growth (annual %)
- Upgraded Slums population (% of total slum population)
- Slum Removal (annual % of total)

- Life Expectancy at Birth (years)
- Literacy Rate (% aged 15 and over)
- Net total Enrolment rate (%)

Crime

- Homicides (per 100,000 people)
- Prison population (per 100,000 people)
- Rate of crime (per 100,000 people)

Economic

Performance

- GDP (Current US\$)
- GDP per Capita, PPP (US\$)
- GDP growth (Annual %)
- Primary Industry (% of GDP)
- Secondary Industry (% of GDP)
- Tertiary Industry (% of GDP)

Poverty

- Population living below national poverty line (%)
- Unemployment people, total (between 15-65)
- Unemployment Rate (% of total)
 - o Female/Male
- Youth Unemployment Rate, total (% of labour force aged 15-24)
- Employment in Informal Sector, total
- Informal employment rate (% of total employment)

Inequality

- Gini Coefficient
- Share of Income, poorest 20%
- Share of Income, Richest 20%

Physical/Built Environment

Infrastructure

- Airports, total (international, domestic)
- Roads paved (% of total)
- Roads, commuter (% of total)
- Roads, total network (Km)
- Number of cars
- Public Transportation, usage (per 1000 people daily)
- Average walking distance from public transportation (meters)
- Water Supply (% with access to running water)
- Internet users (per 1000 people)
- Telephone mainlines (per 1000 people)
- Cellular subscribers (per 1000 people)
- Banks, total (formal/informal)

Housing

- Population living in formal housing (%)
- Permanent housing (% of total)
- Semi-permanent (% of total)
- Temporary housing (% of total)
- Unmet housing demand
- Housing with Electricity (% of total)
- Population Squatting (%)
- Population living in low-income housing (%)
- Low-Income Housing Units added annually (total number of units)
- Population with land Tenure (%)

City area / Spatial

- Spatial size (sq. km)
- Area of land below sea level (% of total sq. km)
 - o Population (number living below sea level)
- On waterway? (Y/N)
- In floodplain? (Y/N)
 - o If so, size (sq. km)
 - Population affected (number)

Environment

- Electricity consumption (kilowatt-hour)
- CO2 Emissions, annual total (Mt CO2)
- CO2 Emissions per capita
- Water Sanitation Facilities, total
 - o % of population served
- Coal (% of energy supply)
- Oil (% of energy supply)
- Alternative energy sources (% of energy supply)
- Amount of solid waste collected (tons per capita per annum)
- Green space (as % of total city area)
- Trees planted, annual (number)
- Is the city monitoring CO2 emission? (Y/N)
- Number of Environmental NGOs

Governance

- City Budget (US\$, annual)
 - Expenditure (US\$, annual)
 - o Health (% of total)
 - o Education (% of total)
 - o Housing (% of Total)
 - Debt (total US\$)
 - FDI, net inflow (% of City GDP)
 - Elected Government (Y/N)
 - Municipal/Metropolitan or other city structure
-

The Look

Map showing general location of urban zone within the city/country, plus an enlarged map of the zone itself with an overlay of district boundaries and images of the slums, projects, etc.

The text: a basic introduction to the urban/slum zone including:

- Basic geography: physical features (rivers, etc), climate and temperature by season, population density, etc

- Basic characteristics of the zone: economic activity, overall poverty level, etc.

- Images of the area

- Crisis warning indicators (landslide, monsoon, etc)

- Current projects taking place in the area

Questions that should be answered in this section: What is the basis of urban economy, and how does this affect the livelihood of the population?

The maps: Map showing the location of slums and a box to the right showing the main indicators (max of 5)

By clicking each slum area, a picture of the slum will appear and a box with 5 indicators with data pertaining to that specific slum.

A bolded link that says “**More info**” that takes the reader to a new page with background information of the slums and many other indicators listed. Including, current and past Cities Alliance projects (CDS, slum upgrading, etc), local government projects, current work in the area done by local universities.

Interactive and user friendly database

To achieve greater success, it is very important, that the data produced be shared widely through an interactive and user friendly way. The goal is to make solid database available to the world with the options of viewing statistics at region, country and city level with the option to download it as an excel document.

Another option, highly recommended, is the UURI way of presenting the statistics through tables, GIS mapping, graphs and the option for users to build their own tables or graphs by selecting the indicators of their choice.

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Technical Note: Cities Alliance Knowledge Products

By: The New School, Graduate Program in International Affairs

Introduction

This technical note reviews Cities Alliance knowledge products and identifies ways that Universities Urban Research Initiative (UURI) can expand their use, improve their quality and quantity, and increase dissemination. The Cities Alliance produces and receives a great deal of data, reports and evaluations some of which are published in Cities Alliance Reports and publications and some of which never leave the office. It has come to the attention of the Cities Alliance that a more productive use of data, information and analysis would help promote and achieve their goals and foster urban development capacities, especially in developing countries.

UURI can assist the Cities Alliance by accomplishing the following goal: **Over three phases and 5 years, to increase the dissemination and productive use of Cities Alliance knowledge products, thus generating local capacity in urban development.**

To do so the following objectives are proposed.

- 1) Increase classroom use of publications by transforming knowledge products into pedagogical format.
- 2) Increase accessibility of knowledge products by translating them into additional languages.
- 3) Increase municipal and general use of publications by coding and cataloging them into database format.
- 4) Improve the quantity and quality of urban indicators and perform monitoring and evaluation of Cities Alliance projects by gathering quantitative and qualitative data.
- 5) Generate new knowledge products through local participation and endemic information.
- 6) Increase local and UURI capacities by meeting the above objectives.

These objectives are explained in greater detail on pages 5-10 of this note.

Background

These objectives draw on lessons learned from Cities Alliance publications, conclusions presented by the Cities Alliance Secretariat⁵, an independent evaluation of the Cities Alliance,⁶ and from a roundtable meeting with the Cities Alliance, 6 March 2009. These documents and discussions highlight some general weaknesses of the Cities Alliance. They include: a lack of scale and systemic change in their work plan and a need to improve advocacy and knowledge sharing. Through their work Cities Alliance recognizes a lack of urban professionals trained in urban planning, architecture, engineering, and other fields needed in urban environments as a key

⁵ Cities Alliance Secretariat, "Evaluation of Completed Slum Upgrading and City Development Strategy Activities; A Synthesis," *Cities Alliance* (2005)

⁶ "Independent Evaluation of the Cities Alliance Volume I: Final Report." Universalialia 17 Oct. 2006.

obstacle to positive urban development; this is especially true in the least developed countries.⁷ Universities appear to be somewhat of an untapped resource for development.⁸

- *Dissemination*: Increased dissemination of knowledge products, especially in institutions of higher learning, will advance the Cities Alliance mission.
- *Documentation*: "Documentation is critical to institutionalizing knowledge gained and enabling interventions to build upon accumulated knowledge." (CA Secretariat 2005, 3)
- *Consultancy*: Consultants are needed to perform baseline studies, and conduct monitoring and evaluation during and after implementation.
- *Capacity Building*: Increased local capacity is needed to generate projects of a large enough scale to catch up to the rapid pace of urbanization.
- *Horizontal Learning*: "Horizontal learning among cities has proved to be a highly valued outcome of City Development Strategies." (CA Secretariat 2005, 31)
- *Community Engagement*: Community engagement is an important part of the Cities Alliance's work.
- *Accessibility*: Cities Alliance publications and evaluations should be more accessible.

It is out of this background that the UURI emerged in an effort to simultaneously confront many of the weaknesses of the Cities Alliance's work portfolio. The UURI brings universities into the development process and both creates and transforms knowledge products into pedagogical material to improve the way in which urban issues are taught, develop the capacity of local urban practitioners and increase knowledge and understanding of local urban issues. This unique initiative widens the focus of Cities Alliance from knowledge production to include and highlight the process of knowledge generation.

Methodology

The methodology for this assessment consisted of a document review of all knowledge products available on the Cities Alliance website. The knowledge products were categorized by topic and region of focus when applicable. The languages and type of document (case study, report, PowerPoint) were also noted (Appendix A). An overall assessment of the knowledge products as a body of work and individual assessments of selected knowledge products was carried out. The focus of the assessment was how the UURI can make existing Cities Alliance knowledge products more useful and accessible to cities (for policy making) and universities (for teaching), make a more productive use of currently unpublished data and reports, and how to generate constructive and beneficial knowledge products in the future.

Profile of Knowledge Products

The Cities Alliance website lists Cities Alliance publications including: Annual Reports, Facts Sheet, Brochure, e-Newsletters and CIVIS (a short note series that showcases learning from

⁷ Cohen, Michael. "Establishing the University Network on Urban Assistance: A Proposal to the Cities Alliance." 15 Nov. 2008.

⁸ Cohen, Michael. "Establishing the University Network on Urban Assistance: A Proposal to the Cities Alliance." 15 Nov. 2008.

Cities Alliance partners). The site also lists other knowledge resources under the categories: Slum Upgrading, City Development Strategies (CDS), Financing for Cities and the Urban Poor, Video, and other papers and presentations. In this second category some of the documents are Cities Alliance publications while others are articles, reports and presentations made by Cities Alliance collaborators.

The majority of the Cities Alliance publications focus on slum upgrading or CDS. While their collaborators have produced several documents under the category "Financing for Cities and the Urban Poor," the Cities Alliance itself has only produced a few short CIVIS that relate to this topic.

All knowledge products are available in English (with the exception of one report in Spanish⁹). Of the knowledge products offered in a second language, French is the most common, although the majority of publications are offered in English only (a few are offered in Spanish and Portuguese as well as English).

Of the knowledge products many are reports of case studies or best practices. There are also several power point presentations, links to project or organization websites with which Cities Alliance collaborates, and summaries of conferences.

Summary of Findings:

- 65 listed knowledge products,¹⁰ 11 of which are available in second language in addition to English.
- 20 knowledge products are directly associated with the Cities Alliance, 45 are shared resources from Cities Alliance collaborators (16 are PowerPoint).
- Regions of focus: Africa (10), Asia (7) and Latin America (6).¹¹

The Cities Alliance knowledge products offer a wealth of information on topics related to Cities Alliance work, however the knowledge products page of the web site is not well organized and it is difficult to locate specific information about certain cities, programs or cases. For example, at present the knowledge products are not presented in such a way as to distinguish audiences. Certain material was perhaps created for different groups thus some knowledge products are ideal for city governments, others for students and researchers, policy makers, etc. It would be useful if this information was available in a searchable format so that students, program directors and policy makers could look up best practices and suggestions that might be applicable to their own city.

⁹ Entre la Exclusión Financiera y el Desarrollo Comunitario - Acceso al Financiamiento Privado para la Infraestructura Básica Comunitaria y el Mejoramiento de Vivienda (Financial Exclusion and Community Upgrading). See Appendix A.

¹⁰ Break down by category is as follows: slum upgrading, 18; CDS, 21; financing for cities and the urban poor, 21; other papers/presentations, 5. The 65 excludes Annual Reports, brochures, Cities Alliance Factsheet, Guide: Working with Cities Alliance, e-newsletter and CIVIS (9 issues).

¹¹ Numbers represent the number of knowledge products specifically regarding a particular region or country. Of the 6 knowledge products specifically about Latin America 3 are case studies from Brazil. 4 of the 7 knowledge products related to Asia have to do with China either partially or in their entirety.

The annual reports clearly articulate the myriad activities supported by the Cities Alliance, however the information is not in a format that is productive and useful to cities. The reports highlight best practices and successes as well as recommendations for improvements, but they are presented in a somewhat haphazard manner. The CIVIS on the other hand are short papers that highlight best practices and successful programs in a more accessible and searchable way. The format of these papers would also make them good material for classrooms.

Overall, most of the knowledge products are focused on big cities. There is very little about secondary cities, which is alarming because they are the fastest growing.¹² Similarly, the focus is on larger developing countries rather than the least developed countries that have fewer resources.¹³ The knowledge products in the category of slum upgrading are primarily focused on Brazil and African cities; there is a particular lack of case study information for Asian cities. The situation is the opposite for the CDS portfolio where there is little city specific knowledge products outside of China.

Despite the high quality and considerable quantity of knowledge products, the challenge facing the Cities Alliance is how to make them more productive and useful to cities as well as students and teachers of urban issues. The knowledge products should be more relatable and comparable across cities. There are many great case studies but this information needs to be presented in a better format so that it may be utilized.

Financial Considerations

The analysis in this section will be improved upon review of current Cities Alliance expenditures for knowledge product translation and dissemination.

UURI can help Cities Alliance keep costs down and thus increase Cities Alliance productivity. Classroom materials are increasingly expensive, therefore there is a market for Cities Alliance knowledge products made available free or at a cost below the market rate for textbooks, journals and other pedagogic materials.

The objectives proposed in this technical note rely on UURI labor -student labor- available at relatively low cost.¹⁴ The lower cost of UURI labor will result in lower per-unit (i.e. translating 1 document) expenditures by the Cities Alliance. Even when consultants are needed to perform quality control on UURI work, this UURI/Consultant division of labor is expected to result in lower costs.

There is a market for Cities Alliance knowledge products especially in universities. The costs of textbooks, journals and other pedagogical materials are increasing at an alarming rate.¹⁵ This is

¹² UN-Habitat. *State of the World's Cities 2006/2007: The Millennium Development Goals and Urban Sustainability: 30 Years of Shaping the Habitat Agenda.* Earthscan Publications, Ltd.

¹³ The lack of knowledge products directly addressing least developed countries reflects an overall critique of the Cities Alliances' lack of focus on least developed countries from the Universalia 2006 Independent Evaluation.

¹⁴ Students are generally happy to work on projects believed to advance their professional opportunities.

¹⁵ Marketplace. "Textbook Costs Getting Hard to Cover" *National Public Radio*, 15 April, 2008

especially true in developing countries where increased access to educational materials is- not surprisingly- linked to greater educational attainment;¹⁶ consequently creating a demand for low-cost pedagogical material.¹⁷ Demand for good urban development material remains strong at the professional level as well. The Cities Alliance’s knowledge products can meet this demand for urban development resources and UURI is a valuable tool to get these knowledge products to “market.”

UURI’s Way is efficient and achieves a certain scale. The objectives detailed below are integrated; for example, a UURI member translating a document line by line should so be encouraged to code the text for pedagogical transformation and database inclusion. Similarly, as a student translates a report, they will indentify subjects to comprise the report’s index. UURI members creating and maintaining the proposed database are in a better position to utilize and benefit from this index. In the end dissemination is happening throughout each process as UURI members will be internalizing the texts as they “work” with them. The overall result is that UURI will attain a certain economy of scale; required resources and interactions will overlap and be made available through UURI itself.

Objectives...UURI’s Way

1) Beginning in the first phase, to increase classroom use of publications by transforming knowledge products into pedagogical format.

Outcomes

- dissemination
- capacity building
- horizontal learning
- accessibility

Making Cities Alliance knowledge products more teacher-friendly will increase their use in classrooms throughout the world. To accomplish this, it is proposed that UURI member schools modify knowledge products to make them more textbook-like. This entails the creation of defined tables of contents, indexes, bibliographies, formatting publications into clear chapters if not done so already, and adding chapter summaries, questions for review and practice exercises.

It would also be useful to create teacher and student versions of these pedagogical texts. For example, one chapter in a student version would describe a slum-upgrading case study complete with analysis, conclusions and recommendations. Subsequent case studies may omit certain analysis included only in the teacher version, thus allowing the students to formulate their own critiques based on the example case study presented. Furthermore it could be useful to present raw data or survey material in order for students to conduct their own analysis of a city or issue within a city.

¹⁶ Kramer, Michael. “Randomized Evaluations of Educational Programs in Developing Countries: Some Lessons.” *American Economic Review* Vol. 93 No. 2, May 2003 (104)

¹⁷ US Government Accountability Office. “College Textbooks: Enhanced Offerings Appear to Drive Recent Price Increases” July 2005 (22)

Making knowledge products more accessible to academic environments will, in effect, serve to educate commissioned universities as they interact with the material; both the process and effect of pedagogical transformation will help build university capacities and the reputation of Cities Alliance and its members. Subsequently texts books produced will improve the manner in which urban issues are taught, thus improving curriculum.

UURI members may transform Cities Alliance and collaborators' knowledge products as individual departments or in "teams" of departments from various UURI schools. The advantage of the former is a streamlined approach that may be more efficient in certain circumstances. The advantage of the latter is to foster horizontal learning and connections between universities and other UURI members, and to draw on diverse expertise. For example, if one university has a better Education or Publishing department and another has a stronger Urban Development department, a partnership between the two would be beneficial.

An important next step for UURI is to standardize the process of pedagogical transformation of Cities Alliance publications. There should be a clear method to transform knowledge products into a defined "textbook format."

2) Beginning the first phase, to increase accessibility of knowledge products by translating them into additional languages.

Outcomes:

- dissemination
- capacity building
- horizontal learning
- accessibility

UURI member schools are positioned to effectively translate Cities Alliance knowledge products into different languages. A review of Cities Alliance knowledge products reveals that few longer publications are available in languages other than English. Translating selected texts into French, Arabic, Chinese and other languages will go a long way towards promoting Cities Alliance, their publications and the valuable information within.

As an added bonus, UURI members commissioned to translate texts- working within individual departments or in teams with other network members- will, by the nature of the work, be internalizing Cities Alliance knowledge and building up their universities capacity to address urban development issues in their cities and beyond.

Grants or other funding should be allocated to schools translating Cities Alliance and collaborators' knowledge products. After Cities Alliance provides initial funding, and as UURI capacity increases, other organizations could be encouraged to commission UURI translation services for their own documents.

In this aspect of the initiative, quality control is extremely important. Quality control, ensuring that translations are accurate and engaging, can be accomplished in a number a ways. After an

initial translation by the primary translating university, a subsequent review (or reviews) by other UURI members will confirm the accuracy of translation. This peer-review mode of translation will foster working connections and horizontal learning among universities. Grants should be dispersed based on criteria to minimize conflict of interest or unproductive competition among schools. In UURI's first and second phase, reputable schools known for their translation abilities should partner with less established programs to achieve the highest quality of translation and coalesce institutions of varying capacities.

Another mode of quality control is to hire private consultants to review translations. Even in this case, Cities Alliance can expect overall translation costs to be less than conventional document translation modes because consultants will require far fewer hours to review and perhaps edit a translation than to perform the entire translation. Their reduced fees plus the relatively inexpensive student rate is expected to result in less overall costs.

3) Beginning in the first phase, to increase municipal and general use of publications by coding and cataloging them into database format.

Outcomes

- dissemination
- capacity building
- horizontal learning
- accessibility
- documentation (second phase)

The Cities Alliance makes public a tremendous amount of information; however this information is in a format that is difficult to access or utilize. Compiling and organizing Cities Alliance knowledge products in a way that is easily accessible is an important task to improve its dissemination and productivity. This task may be integrated with the projects of pedagogical transformation and language translation for greater efficiency.

A logical mode of organization is to create an online database. Cities Alliance and collaborators' publications should be coded and given tags, referencing particular information about urban development topics, locations, projects, stakeholders, etc. These subjects would then be accessible through an Internet-based database comparable to the World Bank's World Development Indicators¹⁸ or the Human Development Report's "Build your own table" database¹⁹. For example, someone seeking information on water projects in secondary cities could search under these topics to reveal Cities Alliance reports on the subject. This database could be extended to include knowledge gathered by other organizations and UURI itself. And it should be created in such a way that allows users to compare data across cities.

18

<http://web.worldbank.org/WBSITE/EXTERNAL/DATASTATISTICS/0,,contentMDK:21725423~pagePK:64133150~piPK:64133175~theSitePK:239419,00.html>

¹⁹ <http://hdrstats.undp.org/buildtables/>

Outside IT consultants will be needed to construct this Internet database in a user-friendly and interactive format requiring the least possible administration. A capable UURI member or group of members should provide the required administration, such as uploading new data.

As with other suggestions, UURI schools would be commissioned to code texts as individual urban development departments or as a team along with other universities and organizations, thereby encouraging horizontal learning. Additionally, through the process of coding and cataloging, students will engage with the material and learn from it.

4) Beginning in the second phase, to improve the quantity and quality of urban indicators, and perform monitoring and evaluation of cities alliance projects by gathering quantitative and qualitative data.

Outcomes

- dissemination
- capacity building
- horizontal learning
- accessibly
- documentation
- consultancy
- community engagement

As the UURI becomes more established, it should be encouraged to produce new data on urban development. Quantity and quality of data is essential for program development and evaluation. As Mayor Sigfrido R. Tinga of Taguig, Philippines, said at a Cites Alliance conference, “What you cannot measure you cannot manage.”²⁰ The Cites Alliance recognizes the importance of monitoring and evaluation, noting that it should “not be treated separately” from Alliance activities.²¹

UURI students, faculties and members are valuable resources to produce this information. The value of local individuals and institutions in generating data is increasingly apparent. In many circumstances, local consultants are best equipped to exhibit the interpersonal skills and cultural sensitivities to acquire reliable information.²² And the global expanse of the UURI network will extend the reach of the Cities Alliance to monitor and evaluate their activities.

Furthermore, UURI members should be commissioned to create new data. This effort should begin with UURI members having access to reputable demographic, geographic and statistical units or affiliates. When this type of work is being commissioned, additional UURI members

²⁰ Cities Alliance. “Slum Upgrading Up Close: Experiences of Six Cities.” (Presentation at Challenges of Slum Upgrading: Sharing São Paulo’s Experience, São Paulo, Brazil, March 10-14, 2008)

²¹ Cites Alliance Secretariat, "Evaluation of Completed Slum Upgrading and City Development Strategy Activities; A Synthesis," *Cities Alliance* (2005): 30

²² Garrett, James L., and Jeanne Downen. “Strengthening Rapid Assessments in Urban Areas: Lessons from Bangladesh and Tanzania.” *Human Organization*, November 2, 2004

should review the research design of proposed information generating processes to assure quality and foster network connections.

UURI is especially well positioned to gather urban development indicators because of the resources available to them as universities, especially larger and reputable universities. Over time, rigorous and standardized data gathering practices will trickle down to less established schools and to countries with fewer resources. The resulting increased capacity to generate local data for local improvements will be valuable to local cities, the Cities Alliance and the development community at large.

5) Beginning in the third phase, to generate new knowledge products through local participation and endemic information

Outcomes

- dissemination
- capacity building
- horizontal learning
- legibility
- documentation
- consultancy
- community engagement

UURI's intention is that participating universities have the capacity to develop knowledge products of their own, within individual programs or as teams of universities. Among others, these products may be: evaluations of non Cities Alliance local or regional urban development initiatives, best practices analysis, recommendations to scale up successful Cities Alliance projects, sustained critique of Cities Alliance Slum Upgrading and City Development Strategies and studies of topics of local importance.

Furthermore, given certain capacities, UURI's proximity to the issues at hand, local knowledge and level of access to local institutions, means it is particularly well positioned to propose new projects to the Cities Alliance or other development agencies. Additionally, their natural links to areas where they work, UURI members would be particularly adept at engaging communities in initiatives. UURI's global expanse will allow the Cities Alliance to extend their work to additional countries.

This objective encompasses the goal of UURI to both disseminate Cities Alliance knowledge products while simultaneously universities and the localities in which they are located benefit from this knowledge. The generation of new knowledge products, especially regarding proposed improvements to urban environments, represents the fulfillment of all the outcomes identified in this technical note. Local capacities will be built and continue to grow, interaction and horizontal learning will be fostered and UURI members will establish and continue to establish their reputation as effective consultants, documenting urban development initiatives new and old.

Conclusion

A review of Cities Alliance knowledge products and discussion with the Cities Alliance reveals that is necessary to increase knowledge product dissemination in order to advance the Cities Alliance's goals. Cities Alliance knowledge products are vastly underutilized resource. Establishing UURI- to coalesce universities and other organizations working on urban development- has tremendous promise to advance Cities Alliance's goals.

UURI would be especially effective in the areas of transforming knowledge products into pedagogical format, language translation, coding and cataloguing information into database format, and eventually as monitoring and evaluation consultants and generators of new quantitative and qualitative urban development knowledge.

The role of the UURI proposed in this technical note, enables the Cities Alliance to meet their targeted improvements, expand their scope of work and generate local capacities to address urban development issues. This is the reciprocal and mutually benefiting relationship directly benefits cities, Cities Alliance, universities and their students.

Appendix A

Cities Alliance Knowledge Products

**Denotes Cites Alliance publication

* Denotes knowledge product directly associated with Cities Alliance

Slum Upgrading

a. City Projects

i. Metropolis

1. Integrating the Poor: Urban Upgrading and Land Tenure Regularisation in the City of São Paulo - Sao Paulo: Cities Alliance, 2004.**

ii. Large cities

1. A vez dos Alagados: A construção de um programa integrado de urbanização de favela em Salvador. -Lessons learned from Bahia Project (from 2001 to 2006). English and Portuguese. **
2. Sustainable Urban Conservation of the Old City Yangzhou - The Eco City Planning & Management Programme. Website, English and Chinese.*
3. Integrated Urban Upgrading for the Poor: the Experience of Ribeira Azul, Brazil. Judy L. Baker, World Bank. (Salvador, Bahia)

iii. Secondary cities

iv. Multiple City Experiences

1. Country Assessments in Africa - 10 Country Assessment Reports on experience in urban upgrading. Massachusetts Institute of Technology (MIT) site.
2. Slum Upgrading Up Close: Experiences of Six Cities- The publication captures some of the key knowledge and shared learning from an international policy dialogue on the “Challenges of Slum Upgrading: Sharing São Paulo’s Experience” held in São Paulo from March 10 to 14, 2008**
3. Experience with Urban Upgrading in Africa - MIT-Cities Alliance course on Upgrading Urban Slums, June 10 to 14, 2002. Power Point, English.

b. Important Issues Important to Slum Upgrading

1. The Inclusive City - Documentation of a joint networking event of the German Federal Ministry for Economic Cooperation and Development (BMZ) and the Cities Alliance at the World Urban Forum 3, 21 June 2006 in Vancouver.*

2. Community-Led Infrastructure Financing Facility (CLIFF) by Homeless International published in the June 2005 newsletter of the International Association of Development Funds (IADF)
 3. Entre la Exclusión Financiera y el Desarrollo Comunitario - Acceso al Financiamiento Privado para la Infraestructura Básica Comunitaria y el Mejoramiento de Vivienda (Financial Exclusion and Community Upgrading) -Tova M. Solo, World Bank. Spanish.*
- ii. Urban Expansion and Urban Development
1. The Dynamics of Global Urban Expansion. Shlomo Angel, Stephen C. Sheppard and Daniel L. Civco. World Bank, 2005
 2. Urban development: promoting jobs, upgrading slums, and developing alternatives to new slum formation. -Excerpt on urban development from Chapter 5 (pp 72-77) of the UN Millennium Project's Report to the UN Secretary-General, Investing in Development: A Practical Plan to Achieve the Millennium Development Goals, reproduced with the kind permission of the Millennium Project.
 3. Expert Group Meeting on Urban Indicators: Secure Tenure, Slums and Global Sample of Cities - Draft Report, UN-HABITAT, November 2002
- iii. Resources for Practitioners
1. The Challenge of Scale - Nationwide Upgrading. -Cities Alliance Annual Report 2003.*
 2. Guidelines: Operational Definitions for Household Surveys in Cities on Secure Tenure and Slums - Draft Guidelines, UN-HABITAT, November 2002
 3. Lessons Learned On Urban Upgrading - World Urban Forum in Nairobi, Kenya, April 29 to May 3, 2002. Alan Carroll, World Bank. Power Point, English.
 4. Upgrading Urban Communities: A Resource for Practitioners. With funding from the Cities Alliance, the Massachusetts Institute of Technology has developed an interactive tool with choices, tradeoffs, tools, and 'hints' targeted to administrators and practitioners involved in urban upgrading. Website.
 5. Upgrading for Kids - Slum Upgrading to Children. Power Point, English.

City Development Strategies

- c. Specific CDS's
 - i. Urban Development Strategy and City Assistance Program in East Asia. Final Draft Report, September 2000. Pacific Consultants International, ALMEC Corporation and Nikken Sekkei Ltd.
 - ii. Asian City Development Strategies Fukuoka Conference 2000. Implementation of City Development Strategies in Urbanizing and Decentralizing Asia.
 - iii. Formulating City Development Strategies in China. Douglas Webster, Stanford University. Power Point, English.
- d. Resources for creating and utilizing CDS
 - i. CDS Training Resources: City Management and Urban Development - World Bank Institute (WBI) Learning Programs.
 - ii. City Development Strategies - The Cities Alliance Approach. A discussion paper summarizing the most important characteristics of a city development strategy.*
 - iii. CDS - Taking Stock and Signposting the Way Forward. A discussion report for DFID (UK) and the World Bank, July 2000.
 - iv. Guide to City Development Strategies: Improving Urban Performance - Cities Alliance**
 - v. Liveable Cities: The Benefits of Urban Environmental Planning. A Cities Alliance Study on Good Practices and Useful Tools.**
 - vi. How to integrate environment into city planning? -International City Development Policy Conference, Cities Alliance and Bibliotheca Alexandrina, Alexandria, Egypt, March 20 – 21, 2006.*
 - vii. City Development Strategies - Douglas Webster. Power Point, English.
 - viii. Cities Alliance and City Development Strategies. Ahmed Eiweida, World Bank. Power Point, English and Arabic.
 - ix. Introduction to the South African Cities Network (SACN). Andrew Boraine, South African Cities Network. Power Point, English.
- e. CDS monitoring and evaluation
 - i. CDS ME Guidance Framework. ECON Analysis and Centre for Local Government, UTS. Commissioned by Per Anders Persson, Senior Programme Officer, Cities Alliance.**
 - ii. CDS Impact Study Final Report. ECON Analysis and Centre for Local Government, UTS. Commissioned by Per Anders Persson, Senior Programme Officer, Cities Alliance.**
- f. CDS as instruments of Urban Development
 - i. Local Economic Development / Le développement économique local. Villes en développement, no. 80, June 2008. English and French.

- ii. [Understanding Your Local Economy: A Resource Guide for Cities](#). English and French. **
- iii. [City Development Strategies](#). *Villes en développement*, no. 75, March 2007. English and French.
- iv. [City Development Strategies to Reduce Poverty](#) - Asian Development Bank.
- v. [Local Economic Development](#) - World Bank Local Economic Development site. Briefly explains what LED is and how to organize and implement a LED strategy with links to case studies and other World Bank resources.
- vi. [Cities as Economic Development Tools](#). Nigel Harris, University College London. Brief for the Comparative Urban Studies Project (USAID).
- vii. [International City Development Policy Conference](#), Cities Alliance and Bibliotheca Alexandrina, Alexandria, Egypt, March 20 – 21, 2006.

Financing for Cities and the Urban Poor

g. Case Studies/Existing Programs

i. Attracting Financing

1. [Ghana Municipal Finance and Management Initiative \(MFMI\)](#) - an innovative mechanism of the Government of Ghana which aims to empower municipalities to attract funds from the capital market for long-term financing of infrastructure and other services.
2. [Financing City Infrastructure](#). *Villes en development*, no 69, September 2005. English and French. Cases from the Philippines and South Africa.
3. [City of Johannesburg Municipal Bond Issue](#). -Presentation given at IADF's Second Conference on Financing Municipalities and Sub-National Governments Conference, Washington, DC, October 2004. Roland Hunter, City of Johannesburg. Power Point, English.

ii. Housing Finance Programs

1. [Getting to Scale in Housing Microfinance: A Study of ACCION Partners in Latin America](#). -Seeking to better understand the potential for scale in housing microfinance, ACCION International and Habitat for Humanity International joined efforts to conduct a study in conjunction with Cities Alliance financial support. This study covered ten of ACCION's partners in Latin America, representing more than 90 percent of the ACCION Network's housing portfolio. The objective of this research was to understand the key success factors as well as challenges and barriers for reaching scale in housing. English and Spanish.

2. A Comparison of Housing Finance Programs for Low Income People in Peru- This paper addresses the attempts of one country, Peru, and the various actors in the housing finance arena there, to improve access to housing finance at the bottom of the pyramid. It focuses on a comparison of three approaches to low income housing finance: the Mivivienda and Techo Proprio programs of the Government of Peru and the Micasa loan product of microfinance institution Mibanco.*
3. Micasa: Financing the Progressive Construction of Low-Income Families' Homes in Peru*
4. FUNHAVI's Housing Microfinance Program in Mexico*
5. SEWA bank's housing microfinance program in India*
6. The enabling environment for housing microfinance in Kenya*

General Information on Financing for Municipalities and Local Needs

- iii. Obtaining a Municipal Credit Rating. An introduction to the principle of municipal credit ratings and how they can benefit local authorities, with case studies of good practice. Produced by the Commonwealth Local Government Forum (CLGF) in partnership with the Development Bank of Southern Africa (DBSA). Published by Publications UK for CLGF, November 2006.
- iv. National Enabling Framework for Municipal Finance- Presentation given at IADF's Second Conference on Financing Municipalities and Sub-National Governments Conference, Washington, DC, October 2004. Brad Johnson, Resource Mobilization Advisors. Power Point, English.
- v. Effective Catalysts for Private Investment in Municipal Finance- Presentation given at IADF's Second Conference on Financing Municipalities and Sub-National Governments Conference, Washington, DC, October 2004. John Wasielewski, USAID. Power Point, English.
- vi. Linking Cities With Domestic Capital -Presentation given at Cities Alliance Consultative Group Meeting, Durban, November 2004. Krishnaswamy Rajivan, Cities Alliance. Power Point, English.
- vii. Policies of Bilateral and Other donor Institutions in financing Local Government Infrastructure. -Presentation given at IADF's Second Conference on Financing Municipalities and Sub-National Governments Conference, Washington, DC, October 2004. Mihaly Kopanyi, World Bank. Power Point, English.
- viii. Promoting Private Finance for Local Government Infrastructure. Presentation given at IADF Conference, Washington, DC, October 2004. Ranjit Lamech, World Bank. Power Point, English.

- ix. Municipal Fund - Global Finance for Local Needs. -Presentation given at IADF's Second Conference on Financing Municipalities and Sub-National Governments Conference, Washington, DC, October 2004. Sumeet Thakur, IFC. Power Point, English.
- x. Community-Led Infrastructure Financing Facility (CLIFF) -by Homeless International published in the June 2005 newsletter of the International Association of Development Funds (IADF)
- xi. Local Governments: Facilitating Framework and Enabling Policies for Accessing Debt Finance. -Presentation given at IADF's Second Conference on Financing Municipalities and Sub-National Governments Conference, Washington, DC, October 2004. Elio Codato, World Bank. Power Point, English.
- h. Other Resources/Knowledge Sharing
 - i. Agence Française de Développement (AFD's)- Launched in 2003, Notes and Documents series is a regular publication on research carried out within AFD. It specifically aims to strengthen links between academic research and operational expertise on development strategies. This research is carried out by AFD's Research Department, experts from other AFD departments or in collaboration with external researchers, consultants or French and foreign research centers.
<http://www.afd.fr/jahia/Jahia/lang/en/home/NotesDocuments>.
 - ii. Municipal Finance Task Force (MFTF) Website
 - iii. Mibanco's MICASA Housing Loan for the Poor. More information on Mibanco and Micasa:
http://www.swwb.org/English/1000/address/gnbi/add_gnbi_mibanco.htm,
<http://www.accion.org/Page.aspx?pid=191>.

Other Papers and Presentations

- i. The urban transition in Sub-Saharan Africa: Challenges and Opportunities. Environment and Planning C: Government and Policy 25(4) 466 – 485.
- j. The Urban Transition in Sub-Saharan Africa: Implications for Economic Growth and Poverty Reduction. Christine Kessides, Urban Development Unit, Transport and Urban Development Department, The World Bank. English and French.**
- k. Global Urban Poverty Research Agenda: The African Case. Akin L. Mabogunje, Presidential Technical Committee on Housing and Urban Development, Abuja, Nigeria.
- l. Brazil: How do the Peri-Urban Poor Meet their Energy Needs: A Case Study of Caju Shantytown, Rio de Janeiro. ESMAP Technical Paper 094.

- m. Developing Enterprises Locally Through Action and Alliance (DELTA) - A pilot Local Economic Development project by the World Bank and the Open Society Institute. Scott Abrams. Power Point, English.

Other Knowledge Products

- a. Annual Reports
2001-2008
- b. Brochure. English, French, Spanish, Arabic.
- c. Cities Alliance Factsheet
- d. Guide: Working with Cities Alliance
- e. E-Newsletters: June 2005- December 2008, 10 editions
- f. CIVIS-short note series that showcases learning from CA partners.

Issue 1: The Cities Alliance "Vision", October 2000.

Issue 2: How Swaziland is Upgrading Its Slums, January 2001.

Issue 3: Secure Tenure for the Urban Poor, September, 2002.

Issue 4: Shelter Finance for the Poor Series.

Issue 4i: FUNHAVI's Housing Microfinance Program, November 2002.

Issue 4ii: Micasa: Housing Financing in Peru, November 2002

Issue 4iii: SEWA Bank: Housing Finance in India, November 2002.

Issue 4iv: The Enabling Environment for Housing Microfinance in Kenya,

April 2003.

Issue 4v: Shelter Finance for the Poor Series Synthesis, April 2003

***Brainstorming Session: New School, Graduate Program in International Affairs and the
Cities Alliance Secretariat
March 6, 2009***

Table of Contents

Context	1
Mission Statement	2
Objectives and Outcomes	3
Organizational Framework	4
Timeline	5 - 6
Design Questions	7 - 10
Possible Network Names	11
Draft Letter of Invitation to Planning Meeting	12
List of Potential Invitees to Marseille Meeting	13
Network Planning Meeting Draft Agenda	14

Context

The growth in urban development assistance since the 1970s has resulted in thousands of projects and initiatives in this sector in developing countries. Development assistance in the urban sector has proliferated, and yet the aggregate impact of such assistance remains uncertain and relatively little is known about the effectiveness and impact of urban aid. It is recognized that the impact of specific urban aid programs and projects, whether past or ongoing, have in most cases not been evaluated. When such evaluations are done, the sheer volume of data and diversity in methodology, among other factors, often prevent any wide-ranging and useful learning resulting from past lessons.

Despite the multiple initiatives at outreach and involvement of civil society in urban development programs since Habitat II in 1996, there has been a relative absence of discussion with, and inclusion of, higher education institutions in development assistance in general. Recently, there has been greater recognition of the potential role that universities could play in building capacity and awareness of the importance of urban development in national economic growth and poverty alleviation.

Reflected in the guiding principles and goals of the Cities Alliance is the understanding that it is necessary to more effectively manage knowledge that is generated through projects and programs broadly undertaken for urban development. Additionally, it has been recognized that universities and research institutes have not been accessed and utilized as a resource in studies of the city. Such institutions may prove to be indispensable resources in the collection, analysis, and dissemination of invaluable information pertaining to their cities.

It is proposed, therefore, that the Cities Alliance establish a university network on urban assistance to involve universities and research institutes in both developing and developed countries. Such a network would serve to bridge the knowledge gap between the experiences of cities in urban development and the extrapolation of lessons learned, which could then inform future work and policy. Such a network would provide an essential means for the dissemination of accumulated knowledge and experience. Importantly, such a network would increase the effectiveness of urban assistance by undertaking research and evaluation aimed to learn the long-term impacts of projects and programs. In addition, in the long-term such a network would serve to strengthen and support the study, teaching, advocacy, and networking opportunities at universities and research institutes concerning issues in urban development.

Mission Statement

The Network for Urban Research, Action and Development (NURAD), to be established by the Cities Alliance, is a global network of universities and other urban focused partners. NURAD will support capacity building in its member institutions and among professionals in urban fields through evaluation and analysis, training, and the exchange of research and lessons learned. This inclusive coalition offers its members opportunities for experience- and information-sharing and equips them with an increased ability to address issues of urbanization. NURAD responds to the needs of institutions and cities of all sizes for improved information and practical training. Ultimately, this will produce and enable professionals that can, in an informed manner, advocate urban agendas and make educated decisions which will impact the world's growing urban population.

Primary Objectives	Outputs
1. Promote an urban agenda locally, nationally, and globally and to generate intellectual and institutional capacity	1.1 Identify information gaps 1.2 Improve the ability of institutions to meet local and national needs 1.3 Increase the application of university research products in urban development and urban planning initiatives
2. Increase capacity within institutions of higher education and integrate their expertise into urban development strategies	2.1 Generate a larger body of urban professionals prepared and equipped with practical tools to address pertinent urban issues 2.2 Develop new approaches for understanding and teaching urban issues and for applied urban research 2.3 Improve tools and methodologies, which are utilized by those engaged in the study of urban issues

Secondary Objectives	Outputs
3. Evaluate past urban-related projects to generate data and case study analyses that provide useful information to the locality and urban studies in general	3.1 Sound assessments of outcomes of past urban projects 3.2 Increased local knowledge of urban environment 3.3 Heightened understanding of the complex nature of urban issues 3.4 Improved ability to address urban well-being
4. Facilitate dissemination of case material and urban research	4.1 Increased focus on urban issues 4.2 Improved learning across cities 4.3 Increased ability to make comparisons throughout the developing world 4.4 Creation of a knowledge-sharing database
5. Provide support to governments and civil society institutions working in cities of all sizes around the world	5.1 Improved urban policy that reduces urban poverty and increases the sustainability of cities 5.2 Implementation of projects better-suited to the needs of cities 5.3 Increased dialogue among cities who share characteristics and similar challenges
6. Increase cities' awareness of available resources and improve access to and utilization of those resources	6.1 Increased information sharing 6.2 A more efficient and productive use of resources 6.3 Governments and civil society organizations in poor cities who are better able to formulate and implement more appropriate strategies & policies

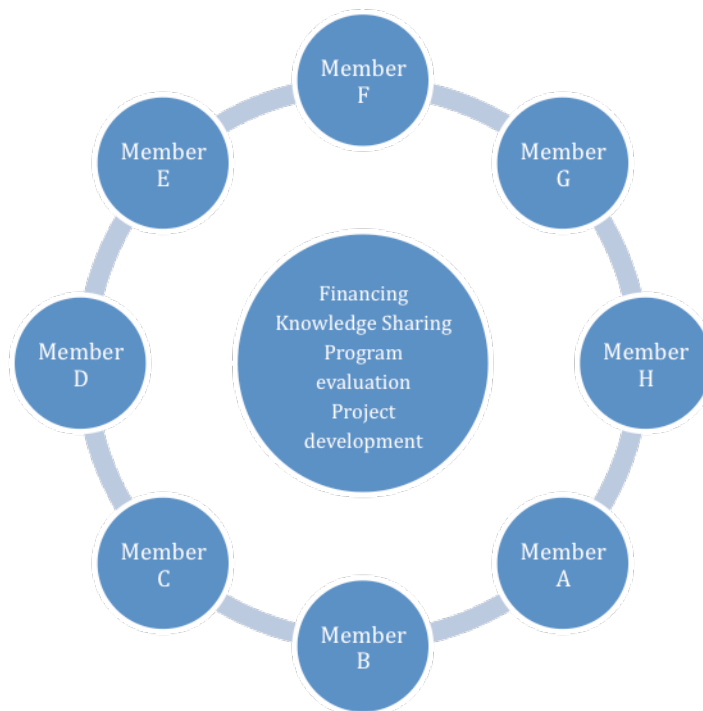
Organizational Framework

The Network for Urban Research, Action and Development (NURAD) is a global network of universities and member organizations united to evaluate urban development initiatives and to apply this knowledge to future improvements. NURAD is an initiative of the Cities Alliance and is consistent with their agenda for improving the living conditions of the urban poor.

NURAD's structure is international in scale but regional and decentralized in form. It encourages universities and other institutions, especially in developing countries, to link regional and national associations, thereby collectively evolving NURAD's structure.

A primary objective is to connect universities and other urban development partners; therefore a non-hierarchical organizational framework is appropriate. Thus, NURAD maintains a non-proprietary, inclusive, and interactive framework that invites universities and member organizations to be equal partners working to improve city life.

The following diagram depicts an initial organizational framework for the network.



- Network members include: universities, pre-existing networks, research institutions, nongovernmental organizations, and professional associations.
- The New School's Graduate Program in International Affairs, New York City, will provide administrative and logistical support during the launch phase.
- The Cities Alliance will mobilize the initial financing for the network.
- Together these contributors form a complementary unit, advancing the goals of urban focused knowledge sharing, program evaluation and project development, particularly in regard to developing countries.

Timeline

I. Preparatory Phase: March to December 2009

A. Planning Meeting Preparation: March-June 2009

1. List of invitees
2. Logistics of meeting
3. Background documents

B. Planning Meeting: June 26-27, 2009, Marseille, France

1. Agreement on:
 - a) Mission
 - b) Objectives
 - c) Governance
 - d) Criteria for membership

C. Post Planning Meeting Follow-on Activities: July-December 2009

1. Website launch
 - a) Will feature network news and updates, interactive communication tools, and database for completed projects
2. Preparation for network launch at the Cities Alliance Annual Meeting in Maputo, Mozambique, January 2010
 - a) Logistical planning for launch
 - b) Finalize list of invitees (founding members of the network)
 - (1) Invitees will be asked to prepare background documents and proposals
 - c) Preparation of call for future grants
3. New School Support Center
 - a) Website management
 - b) Help with the planning and organization of meeting in Maputo
 - c) Resource center for network invitees

II. Launch of Network: January 2010

A. Global Meeting in Maputo, Mozambique, January 2010

1. Founding members collectively launch Network
 - a) Ideas presented for the evolution of the network
2. Future expansion and decentralization
3. Presentation from founding members
4. Outline proposals for future projects
5. Selection of global headquarters and regional hubs

III. Phase 1: January 2010 – December 2012

A. Year I – January 2010 – December 2010

1. Members will be encouraged to commence urban capacity building
2. Members will be encouraged to initiate evaluative studies
3. Graduate training
4. Regional and international communication
5. Grant awards and evaluations (6 month intervals)

B. Year II – January 2011 – December 2011

1. Expansion of the network and regional decentralization
2. Members will be encouraged to incorporate other organizations into the network
3. Formation of regional hubs
 - a) Regional meetings to be held every 6 months
4. Website expansion
 - a) Publishing materials
 - b) Keeping members up-to-date with network news and developments

C. Year III – January 2012 – December 2012

1. Continuation of evaluative studies, capacity building, decentralization

IV. Annual global network meeting held each January

Items to consider will be:

1. Location
2. Evaluations
3. Member presentation
4. Grant Proposals
5. Future plans

V. Phase 2: January 2013 –

List of Design Questions

1. Governance

- a) Option 1: Operational Model: the board manages the work of the organization by setting strategies and courses of action, and monitoring the performance of the network.

Who decides the constitution of the board?

- Cities Alliance
- Cities Alliance and its members
- Cities Alliance, its members, and additional donors

How many members should the board have?

Are the board members permanent or are they temporary?

In case they are temporary, for how long should they be on the board?

How often should the board meet?

Will the board directly manage the finances?

Will Cities Alliance manage the finances?

Will there be a Committee of Finances responsible for the money?

- b) Option 2: Collective Model: the board consults members (for example: each member or a representative from each regional-hub) or an advisory group when making decisions about governance and the work of the organization.

How would the advisory group be formed? (universities in developed and developing countries, research institution representatives, Cities Alliance, Cities Alliance's partners, urban experts).

- c) Option 3: Advisory Board Model: the board functions mostly as an advisory group to the Cities Alliance who is responsible for decision-making.

2. Network Design

- a) The network is not hierarchical, but an egalitarian organization without distinction between developed and developing members.
- b) The network is not exclusionary, but an inclusive and open system to any new member willing to participate in the process.
- c) The network is a learning network for the analysis of case materials, dissemination and use of information, identification of knowledge gaps in decision-making processes and universities' programs of study, and applicability of the findings to improve the urban agenda.
- d) The network does not pretend to replace or compete with the work performed by other network associations, but rather to complement their findings.

3. **Network Evolution**

- a) Creation of regional hubs
 - By the end of the second year of implementation of the program
 - By the end of phase I (end of third year of implementation of the program)
- b) Criteria for selection and establishment of regional hubs.
 - Regional presence
 - Reputation of universities, research institutions, professional associations, NGO's activism
 - Institutional working and teaching experience in urban issues
 - Connections and contacts established by the institutions
- c) Duties of regional hubs
 - Serve as intermediary between the board and the members
 - Schedule annual meetings between the region members
 - Recruit new members
 - Establish contacts with other regional networks
 - Carry out periodical evaluations of performance of the network in the region
- d) Approximate number for desired membership by the end of phase I.
- e) Approximate number of additional donors by the end of phase I.

4. **Allocation of funds**

- a) Institution responsible for the distribution and monitoring of funds
 - Cities Alliance
 - The Board
 - A special Committee (Committee of Finances?)
 - GPIA (3-year phase; do we get the grant and then allocate?)
- b) Criteria for distribution of funds
 - By member institution
 - By size of member institution
 - By regional hubs (in the future)
 - By research project
 - By period of time (annually, phase I)
- c) Possible uses of the funds:
 - Research
 - Training programs (members of the institutions, city agents, NGOs)
 - Equipment acquisition
 - Publication of research material
 - Adjustment of programs of study

5. **Research Focus**

- a) Topics of study
 - General subject matter under the areas of work of Cities Alliance (Slum Upgrading and City Development Strategies)
 - Pre-arranged theme under the areas of study of Cities Alliance (decided by Cities Alliance, the Board/Advisory Board, or GPIA)
- b) Duration of each research project
 - Length of time specified in project proposal (no more than three years)

- Six months; evaluation
- One year; evaluation
- c) Institution in charge for monitoring work performed by members
 - A special Committee (such as a Committee of Evaluation, Urban Assistance Committee, etc.). In this case, who will select the members of the Committee?
 - Cities Alliance
 - The Board/Advisory Board
 - GPIA
 - Each regional hub (in the future)
- d) Body responsible for translation in other languages and distribution of research findings
 - Cities Alliance
 - The Board
 - GPIA
 - A special committee
 - Each regional hub (in the future)
 - Each member institution
 - Outsourced

6. **Research Methodologies**

- a) Common methodology for every research project
- b) No common methodology, but distribution of templates for studies to facilitate comparisons.
- d) Open methodology depending on the nature of the projects
 - Needs assessments
 - Feasibility studies
 - Long-term impact evaluations
 - Urban analysis
 - Data base management

7. **Website**

- a) Organization in charge for design of network website
 - Cities Alliance
 - GPIA
 - Outsourced
- b) Main services provided by website
 - Urban library online (uploading of case studies)
 - Knowledge sharing among its members (sharing of best practices)
 - Information of available resources for members and how to access them
 - Direct space for interaction between members (urban assistance chat)
 - Information on upcoming events
 - Contact information of each member and members of the board/advisory board
 - Newsletter publication

- c) Website languages
 - English
 - French
 - Spanish
 - Portuguese
 - Italian
 - Others
- d) What is the timeframe for launching of website?
 - Before the planning meeting in Marseille
 - At the beginning of Phase I on July 1st 2009
 - During the celebration of the 10th Anniversary of Cities Alliances in Mozambique
- e) Who is in charge of uploading information?
 - Cities Alliance
 - GPIA
 - Outsourced
 - Each member institution
 - Regional hub (future)
- f) Who is in charge of website management?
 - Cities Alliance
 - GPIA
 - Outsourced
- g) Who will have access to the website?
 - Members only
 - Public access
- h) Regional links

8. **Funding Cycle**

- a) When will funding start?
 - July 1st 2009
 - October 1st 2009
 - January 1st 2010
- b) Length of cycle
 - Annually
 - 6 months
- c) Who approves grants?
 - Cities Alliance
 - Board
 - GPIA
- d) Timeline for grant proposals in order to determine distribution of funds
 - Three months after beginning of each project year
 - Six months after beginning of each project year

Possible Network Names

Network for Urban Research, Action, and Development (NURAD)

Cities Network for Urban Research (CNUR)

Cities Network on Urban Strategies (CNUS)

Network of Universities on Urban Strategies (NUUS)

Network of Universities for Urban Development (NUUD)

University Association on Urban Development (UAUD)

Global University Network on Urban Development (GUNUD)

University Alliance on Urban Development (UAUD)

University of Urban Development Network (UUDN)

Action Network for Cities (ANC)

Global Network for Urban Assistance (GNUA)

Urban Advocacy Network (UAN)

Cities Network for Urban Assistance (CNUA)

Network of Urban Capacity Development (NUCD)

April 15, 2009
The Cities Alliance Secretariat
1818 H Street, N.W.
Washington D.C. 20433
U.S.A.

Invitee
Address

Dear Mr./Ms. _____,

Commensurate with the guiding principles of the Cities Alliance is the understanding that it is necessary to more effectively manage knowledge that is generated through projects and programs broadly undertaken for urban development. Importantly, it is also recognized that universities and research institutes traditionally have not been fully accessed and utilized as a resource in studies of the city. Recently, there has been greater recognition of the potential role that universities could play in building capacity and awareness of the importance of urban development in national economic growth and poverty alleviation. Such institutions may prove to be indispensable resources in the collection, analysis, and dissemination of invaluable information pertaining to their cities.

It is proposed, therefore, that the Cities Alliance establish a university network on urban assistance to involve universities and research institutes in both developing and developed countries. Such a network would provide an essential means for the dissemination of accumulated knowledge and experience and would serve to bridge the knowledge gap between the experiences of cities in urban development and the extrapolation of lessons learned, which would then inform future work and policy. Importantly, such a network would increase the effectiveness of urban assistance by undertaking research and evaluation aimed to learn the long-term impacts of projects and programs.

The foremost objective in the development of this network is to convene a meeting for the purpose of bringing together various members of the Cities Alliance, and their invitees, in order to discuss and arrive at consensus on the mission and related founding documents of this university network on urban assistance.

Therefore, on behalf of the Cities Alliance, it is my great pleasure to invite you to participate in this planning meeting on the 26 and 27 of June 2009 at Marseille, France.

We look forward to your participation in this planning meeting and hope that you will join us. Enclosed along with this letter of invitation you will find a meeting agenda, as well as draft documents to be circulated for discussion at the planning meeting. Please be in touch with me at your earliest convenience so that arrangements may be made in Marseille. We hope to hear from you soon.

Very truly yours,

List of Potential Invitees to Marseille Meeting

World Bank/World Bank Institute

UN-HABITAT: Lars Reutersward, Director, Global Division

Sweden: Thomas Melin, SIDA

Norway, Eric Berg, NORAD

African Center for Cities (one person from Cape Town, one from Ghana): Edgar Pieterse

Britain (DFID): Peter Burke

A university from Britain (Director of Development Planning Unit)

MIT: Bish Sanyal

A Middle East university (Turkey, Syria, Cairo or Beirut)

Philippines

Brazil (Sao Paulo, USP)

Italy

Germany (GTZ, BMZ)

France (ISTED): Xavier Crepin

India

China (Tongji University in Shanghai)

Argentina (Buenos Aires)

Mexico

Chile

Network Planning Meeting Draft Agenda

Friday, June 26th

(Location)

- 9:00 – 9:30** Registration and Coffee
- 9:30 – 10:00** Welcome, Introductions and Meeting Objectives: William Cobbett (Cities Alliance)
Introduction: the problem, the need for the network, expectations/products
- 10:00 – 10:20** Keynote Speaker: The Urban Challenge and the Need for a Network of Networks
- 10:20 – 11:30** Overview of Network: Michael Cohen (GPIA)
Mission, Objectives, Governance, Membership, Phases 1&2
- 11:30 – 13:00** Lunch Break
- 13:00 – 13:45** Discussion I: Mission and Objectives
- 13:45 – 14:00** Break
- 14:00 – 14:45** Discussion II: Governance and Membership
- 14:45 – 15:00** Break
- 15:00 – 16:15** Discussion III: Phases 1 & 2
- 16:15 – 16:30** The need for commitment/buy in
- 16:30 – 17:00** Concluding Remarks
- 17:00 – 18:00** Reception

Saturday, June 27th

(Location)

- 09:30 – 09:45** Registration and Coffee
- 09:45 – 10:45** Review and final discussion
- 10:45 – 11:00** Break
- 11:00 – 11:30** Closing Remarks

List of universities with urban planning/architecture programs in developing countries

* denotes university already attending the Urban Research Symposium 2009

AFRICA (36 universities identified)

Botswana

Gaborone University of Botswana
<http://www.ub.bw/>

Burkina-Faso

* *Bobo-Dioulasso* Université Polytechnique de Bobo-Dioulasso
<http://www.univ-bobo.bf/>

Cameroon

Yaoundé Université de Yaoundé
Groupe de recherche et Economie Pure et Appliquée (GREPA)

Ghana

Kumasi Kwame Nkrumah University of Science and Technology -
<http://www.knust.edu.gh/>

Legon

University of Ghana
Department of Geography and Resource Development
<http://www.ug.edu.gh/>

Kenya

Nairobi Kenyatta University
<http://www.ku.ac.ke/>

**Nairobi* Nairobi University,
Department of Regional and Urban Planning
<http://www.uonbi.ac.ke/>

**Eldoret* Moi University
<http://www.mu.ac.ke>

Nigeria

**Ibadan* University of Ibadan
<http://www.ui.edu.ng/>

**Lagos* Nigerian Institute of Oceanography

Zaria Ahmadu Bello University
<http://www.abu.edu.ng/>

<i>*Lagos</i>	University of Lagos http://www.unilag.edu.ng/
<i>Nsukka</i>	University of Nigeria http://www.unn.edu.ng/
Mozambique	
<i>Beira</i>	Catholic University of Mozambique http://www.ucm.ac.mz/cms/index.php
<i>Maputo</i>	Universidade Eduardo Mondlane Faculdade de Arquitectura http://www.architecture.uem.mz/
Rwanda	
<i>Butare</i>	National University of Rwanda http://www.nur.ac.rw/
Senegal	
<i>Dakar</i>	University of Dakar (Université Cheikh Anta Diop) http://www.ucad.sn/
<i>Saint Louis (Ndar)</i>	Université Gaston Berger de Saint Louis http://www.ugb.sn/
South Africa	
<i>Bloemfontein</i>	University of the Free State http://www.uovs.ac.za/
<i>Cape Town</i>	University of Cape Town City and Regional Planning Program http://www.arp.uct.ac.za/generic.php?m=/degree/mcrp.php
<i>Durban</i>	Durban Institute of Technology http://www.dit.ac.za/faculties_home.php
<i>Durban</i>	University of KwaZulu-Natal http://www.ukzn.ac.za/
<i>Johannesburg</i>	University of the Witwatersrand Wits Institute of Social and Economic Research http://web.wits.ac.za/
<i>Johannesburg</i>	University of Johannesburg http://www.uj.ac.za/
<i>Potchefstroom</i>	North West University/Potchefstroom

	http://www.nwu.ac.za/
<i>Pretoria</i>	University of Pretoria http://web.up.ac.za/
<i>Stellenbosch</i>	University of Stellenbosch http://www.sun.ac.za/
<i>Thohoyandou</i>	University of Venda http://www.univen.ac.za
Swaziland	
<i>Kwaluseni</i>	University of Swaziland http://www.uniswa.sz/
Tanzania	
<i>Dar Es Salaam</i>	Ardhi University http://www.aru.ac.tz/
Togo	
<i>Lomé</i>	Ecole Africaine des Métiers de l'Architecture et de l'Urbanisme http://www.eamau.org/
Uganda	
<i>*Kampala</i>	Uganda Pentecostal University
<i>Kampala</i>	Makerere University http://www.mak.ac.ug/
Zambia	
<i>Lusaka</i>	Copperbelt University http://www.cbu.edu.zm/
Zimbabwe	
	<i>Harare</i> University of Zimbabwe
<u>ASIA</u> (18 universities identified)	
China	
<i>Shanghai</i>	Tongji University College of Architecture and Urban Planning http://www.tongji.edu.cn/english/inc/index.asp
Hong Kong SAR China	
<i>Hong Kong</i>	University of Hong Kong Centre of Urban Planning and Environmental Management

<http://www.hku.hk/cupem>

India

Ahmedabad

Centre for Environmental Planning and Technology (CEPT)
<http://www.spcept.org>

New Delhi

Indian Institute of Technology
<http://www.iitd.ac.in/>

New Delhi

School of Planning and Architecture
<http://www.spa.ac.in/>

Bangladesh

**Dhaka*

Brac University
Department of Architecture
<http://www.BracUniversity.ac.bd>

Indonesia

Bandung

Institute of Technology Bandung
Faculty of Civil Engineering and Planning
[http:// www.mpkd.ugm.ac.id/](http://www.mpkd.ugm.ac.id/)

Yogyakarta

Gadjah Mada University
Dept of Architecture & Planning
<http://www.ugm.ac.id/eng/>

Malaysia

Penang

Universiti Sains Malaysia
School of Housing, Building and Planning
<http://www.hbp.usm.my>

Johor Bahru

Universiti Teknologi
Department of Urban and Regional Planning -
<http://www.fab.utm.my>

Pakistan

Lahore

University of Engineering and Technology
Faculty of Architecture and Planning
<http://www.uet.edu.pk/>

Philippines

**Manila*

Ateneo De Manila University
<http://www.ateneo.edu>

Singapore

Singapore

National University of Singapore
<http://www.nus.edu.sg>

Sri Lanka

Moratuwa University of Moratuwa
Department of Town and Country Planning
<http://www.mrt.ac.lk/>

Thailand

**Bangkok -* Asian Institute of Technology
School of Environment, Resources and Development
Urban Environmental Management Program
<http://www.serd.ait.ac.th/uem/>

Bangkok Chulalongkorn University
http://www.chula.ac.th/cuweb_en/

**Bangkok* Dhurakij Pundit University
Department of Energy Management
www.dpu.ac.th

Vietnam

Hanoi Hanoi Architectural University
<http://www.hau.edu.vn>

LATIN AMERICA & THE CARIBBEAN(50 universities identified)

Argentina

Buenos Aires School of Architecture, Design, and Urban Planning, University of Buenos Aires
<http://www.fadu.uba.ar/>

**La Plata* Universidad Nacional de La Plata
<http://www.unlp.edu.ar/>

Brazil

Belém Universidade Federal do Pará
<http://www.portal.ufpa.br/>

Belo Horizonte Universidade Federal de Minas Gerais
UFMG - <http://www.ufmg.br/>
Programa de Pós-Graduação em Geografia - IGC-UFMG
Centro Desenvolvimento em Planej. Regional - CEDEPLAR
Núcleo de Pós-Graduação em Arquitetura e Urbanismo/ NPGAU
Escola de Arquitetura/ UFMG -

Belo Horizonte Pontifícia Universidade Católica de Minas Gerais
<http://www.pucminas.br/>
Programa de Pós-graduação em Ciências Sociais

Brasília Universidade de Brasília
<http://www.unb.br/>

	<p>Programa de Pós-Graduação em Sociologia Inst.Ciências Sociais, Depto.Sociologia Mestrado em Geografia - Instituto de Ciências Humanas Núcleo de Estudos Urbanos e Regionais/ NEUR Programa de Pós-Graduação em Arquitetura e Urbanismo Fac. Arquitetura e Urbanismo</p>
<i>Campinas</i>	<p>Pontifícia Universidade Católica de Campinas - http://www.puccamp.br/ Programa de Mestrado em Urbanismo FAU/PUCCAMP</p>
<i>Campinas</i>	<p>Universidade Estadual Campinas http://www.unicamp.br/unicamp/ Núcleo de Economia Social, Urbana e Regional/ NESUR Instituto de Economia Núcleo de Estudos de População/ NEPO Programa de Pós-Graduação em História</p>
<i>Florianópolis</i>	<p>Universidade Federal Santa Catarina http://www.ufsc.br/ Programa de Pós-Graduação em Urbanismo, História e Arquitetura da Cidade PGAU-CIDADE</p>
<i>Fortaleza</i>	<p>Universidade Federal do Ceará http://www.ufc.br/portal/ Curso de Pós-Graduação em Economia/ CAEN</p>
<i>Goiania</i>	<p>Universidade Católica de Goiás http://www.ucg.br/ Programa de Mestrado em Desenvolvimento e Planejamento Territorial</p>
<i>Natal</i>	<p>Universidade Federal do Rio Grande do Norte http://www.ufrn.br/ufrn/ Progr. Pós-Graduação Arquitetura. e Urbanismo/ UFRN</p>
<i>Niterói</i>	<p>Universidade Federal Fluminense http://www.uff.br/ Programa de Pós Graduação em Geografia Instituto de Geociência - Escola de Arquitetura e Urbanismo</p>
<i>Porto Alegre</i>	<p>Fundação de Economia e Estatística Siegfried Emanuel Heuser http://www.fee.tche.br/</p>
<i>Porto Alegre</i>	<p>Universidade Federal do Rio Grande do Sul http://www.ufrgs.br/ufrgs/ Progr. de Pós-Graduação em Planej.Urbano e Reg./ PROPUR</p>
<i>Porto Alegre</i>	<p>Universidade de Santa Cruz do Sul http://www.unisc.br/ Programa de Pós-Graduação em Desenvolvimento Regional</p>

- Recife* Universidade Federal de Pernambuco
<http://www.ufpe.br/>
 Mestrado em Desenvolvimento Urbano/ MDU
 Programa Integrado Mestrado em Economia e Sociologia /PIMES/ Centro de Ciências Sociais Aplicadas - CCSA /Depto. Economia
- Recife* Centro Josué de Castro de Estudos e Pesquisas
<http://www.josuedecastro.org.br/>
- Rio de Janeiro* Instituto Brasileiro de Administr. Municipal
<http://www.ibam.org.br/>
- Rio de Janeiro* Universidade Federal do Rio de Janeiro
<http://www.ufrj.br/>
 Instituto de Pesquisas em Planejamento Urbano e Regional/ IPPUR
 Programa de Pós-Graduação em Geografia / Instituto de Geociências
 Programa de Pós-Graduação em Urbanismo/ PROURB / Faculdade de Arquitetura Urbanismo/
- Rio de Janeiro* Universidade Cândido Mendes
<http://www.ucam.edu.br/>
 Progr. Mestrado Profissionalizante em Planejamento Regional e Gestão
 Cidades
- Rio de Janeiro* Instituto Universitário de Pesquisa do Rio de Janeiro
<http://www.iuperj.br/>
- *Rio de Janeiro* Universidade do Estado do Rio de Janeiro
<http://www.uerj.br/>
 Programa de Pós-Graduação em Direito / Faculdade de Direito
- Rio de Janeiro* Universidade Federal Fluminense
<http://www.uff.br/>
 Gestão do Espaço Urbano - Escola de Arquitetura e Urbanismo
- Salvador* Universidade Federal da Bahia
<http://www.portal.ufba.br/>
 Núcleo de Pós-Graduação em Administração- NPGA / Escola de Administração
 Programa de Pós-Graduação em Arquitetura e Urbanismo/ PPG-AU / Faculdade de Arquitetura
 Programa de Pós-Graduação em Geografia / Instituto de Geociências
 Centro Interdisciplinar de Desenvolvimento e Gestão Social
- Salvador* Universidade Salvador
<http://www.unifacs.br/>
 Programa Pós-Graduação em Desenvolvimento Urbano e Regional
- Salvador* Universidade Católica de Salvador

- <http://www.ucsal.br/>
Programa de Pós-Graduação em Planejamento Territorial e Desenvolvimento
- São Carlos* Universidade Federal São Carlos
<http://www.deciv.ufscar.br/>
Programa de Mestrado em Arquitetura e Urbanismo / Fac. Engenharia Civil
Programa de Pós-Graduação em Engenharia Urbana / Fac. Engenharia Civil
- São Paulo* Fundação Getulio Vargas
<http://www.fgv.br/>
Curso de Mestrado em Administr. Pública e Governo / Escola de Administr. de Empresas
- São Paulo* Universidade de São Paulo
<http://www.usp.br/internacional/home.php?idioma=en>
Instituto de Pesquisas Econômicas/ IPÊ / Fac. Economia, Administração e Contabilidade
Núcleo de Estudos Regionais e Urbanos/ NERU
Pós-Graduação em Engenharia de Constructores Civil e Urbana / Faculdade de Engenharia Civil
Pós-Graduação em Geografia Humana / FFLCH-USP (Faculdade de Filosofia, Letras e Ciências Humanas)
- São Paulo* Universidade Presbiteriana Mackenzi
<http://www.mackenzie.br/>
Pós-Graduação em Arquitetura e Urbanismo
- São Paulo* Pontificia Universidade Católica de São Paulo
<http://www.pucsp.br/>
Programa de Estudos Pós-Grad. em Ciências Sociais
- São Paulo* Centro Brasileiro de Análise e Planejamento
<http://www.cebrap.org.br/>
Centro de Estudos da Metrópole / CEM/CEBRAP
- São Paulo* Faculdade de Arquitetura e Urbanismo
<http://www.fau.usp.br/>
Programa de Pós-Graduação em Estruturas Ambientais e Urbanas
- Chile**
**Santiago* Universidad Tecnologica Metropolitana
<http://www.utm.cl/>
- Dominican Republic**
Santiago Pontificia Universidad Católica Madre
Centro de Estudios Urbanos y Regionales (CEUR)
<http://www.pucmm.edu.do/>
<http://www.pucmmsti.edu.do/centros/ceur/Curso/instiauspi.htm>
- Mexico**

<i>Aguascalientes</i>	Universidad Autónoma de Aguascalientes http://www.uaa.mx/
<i>Cuernavaca</i>	Universidad Autónoma de Morelos http://www.uaem.mx/
<i>Guadalajara</i>	Universidad de Guadalajara http://www.udg.mx/
<i>Mexico D.F.</i>	Universidad Autónoma Metropolitana http://www.uam.mx/
<i>Mexico D.F.</i>	Universidad Autónoma del Estado de México http://www.uaemex.mx/
<i>Mexico D.F.</i>	Universidad Nacional Autónoma de México http://www.unam.mx/
<i>Mexico D.F.</i>	Universidad Iberoamericana (also in Guadalajara, León, Torreón, Puebla and Playas de Tijuana) – http://www.uia.mx/
<i>*Puebla</i>	Benemérita Universidad Autónoma de Puebla http://www.buap.mx/
<i>Tijuana, Ciudad Juarez, Mexico D.F., Mexicali, Nogales, Monterrey, Matamoros, Nuevo Laredo, Piedras Negras</i>	Colegio de la Frontera http://www.colef.mx/
Trinidad & Tobago	
<i>St. Augustine</i>	University of the West Indies http://sta.uwi.edu/fss/ Faculty of Social Sciences
Venezuela	
<i>Caracas</i>	Universidad Simón Bolívar http://www.usb.ve/
<i>*Caracas</i>	Universidad Central de Venezuela http://www.ucv.ve/
<i>Mérida</i>	Universidad de los Andes

<http://www.ula.ve/>

Maracaibo

Universidad del Zulia
<http://www.luz.edu.ve/>

MIDDLE EAST/NORTH AFRICA (10 universities identified)

Algeria

**Algiers*

Ecole Polytechnique d'Architecture et d'Urbanisme d'Alger
<http://www.epau.edu.dz/>

Egypt

Cairo

Ain Shams University
<http://net.shams.edu.eg/>

Iran

Teheran

University of Teheran
<http://www.ut.ac.ir/en/index.htm>

Lebanon

Beirut

American University of Beirut
<http://www.aub.edu.lb/>

Morocco

Rabat

Centre Jacques Berque pour les Etudes en Sciences Humaines et Sociales
<http://www.ambafrance-ma.org/cjb/>

Palestine

Jerusalem

Al Quds University
<http://www.jerusalem-studies.alquds.edu/>
Centre for Jerusalem Studies

Tunisia

**Tunis*

University of Sfax
<http://www.uss.rnu.tn/>

Turkey

**Ankara*

Gazi University
<http://www.gazi.edu.tr/english.php>

Ankara

Middle East Technical University
<http://www.metu.edu.tr/>

Israel

**Beersheba*

Ben Gurion University of the Negev
<http://web.bgu.ac.il/Eng/Home/>

Mission

**Objectives, Modalities,
Processes. Deliverables**

**Preparation for
Meeting in
Maputo**

**Development of
New School
Support Center**

Preparatory Process

**Development of
City Profiles and
Database**

**Pilot
Assessment of
CDS & SU**

LAUNCHING
Global Meeting
Maputo, Mozambique, January 2010

UNIVERSITY URBAN RESEARCH INITIATIVE
PHASE I