Urban management of secondary towns: the case of MBALE Uganda: an urban management tool applied to MBale

Meijer, Ruud

Published: 01/01/1994

Document Version
Publisher's PDF, also known as Version of Record (includes final page, issue and volume numbers)

Please check the document version of this publication:

- A submitted manuscript is the author's version of the article upon submission and before peer-review. There can be important differences between the submitted version and the official published version of record. People interested in the research are advised to contact the author for the final version of the publication, or visit the DOI to the publisher's website.
- The final author version and the galley proof are versions of the publication after peer review.
- The final published version features the final layout of the paper including the volume, issue and page numbers.

Link to publication

Citation for published version (APA):
URBAN MANAGEMENT of SECONDARY TOWNS
the case of MBALE Uganda; an URBAN MANAGEMENT TOOL applied to MBALE

by RUUD MEIJER University of Technology Eindhoven - faculty of Building and Architecture:
BPU Teaching and Research unit Production and Execution.
OPB Post-graduate Education unit Design, Planning and Management:
University of Technology Delft (TUD) and Eindhoven (TUE) the Netherlands.
urban management of secondary towns-the case of mbale uganda-an urban management tool applied to mbale

"Changing Reality to Regulation or Regulation to Reality"

local governments regulation: 

"The blackman's burden"

GLOBAL CONTENTS FINAL RESEARCH REPORT:

part I  General Introduction Research
part II  Literature Study on Urban Management
part III Urban Management Tool Development
part IV  Test Tool = case study Mbale Uganda
part V  Discussion and Adjustment final Tool

submitted to: University of Technology Eindhoven faculty of Building and Architecture
BPU = teaching and research unit Production and Execution
c/o University of Technology Eindhoven - faculteit Bouwkunde
postvak 8, P.O. Box 513 - 5600 MB Eindhoven - the Netherlands
tel.#: 040 - 47 33 08 (P.Erkelens) / 47 23 73 (secr.)
fax.#: 040 - 43 42 48

OPB = post-graduate education unit Design-, Planning- and Management techniques
in building and the build environment.
University of Technology Delft and Eindhoven- the Netherlands
c/o University of Technology Delft - faculteit der Bouwkunde
Berlageweg 1, P.O.Box 5043 - 2628 CR Delft - the Netherlands
tel.#: 015 - 78 43 63 fax.#: 015 - 78 43 63

IVO = institute for post-graduate education
c/o University of Technology Eindhoven - Bestuursgebouw kamer 3.18
P.O.Box 513 - 5600 MB Eindhoven - the Netherlands
tel.#: 040 - 47 24 52 fax.#: 040 -44 51 87

and:
Municipality of Mbale Uganda
Municipality of Zaanstad The Netherlands
PDI Institute of Planning and Demography, University of Amsterdam

submitted by: Ruud Meijer - research assistant BPU
University of Technology Eindhoven

private address: Besteveerstraat 11.III
1056 HD Amsterdam - The Netherlands
tel.#: 020 -6893125

Principle mentor: Dr.Ir.Peter A.Erkelens TU Eindhoven
Mentors: Dr.Ir.Piet C.Beekman TU Eindhoven
Ir. Willem J.Dijk TU Delft
Abstract
R Meijer - University of Technology Eindhoven

keywords - post graduate Research - Urban Management - secondary towns - communication
- Urban Management Tool - Mbale - Uganda - case-study

Fast urbanization is causing many problems to towns and population in developing countries. Present role and workmethods of local governments concerning Urban Management are under international discussion. These role and workmethods are seen as inadequate because local governments can not deal with the fast changes. Therefore a call is made for a reformulation of the role, performance and frameworks of local governments.

This post graduate research, executed for the University of Technology Eindhoven, has resulted in an urban management Tool for secondary towns. The tool has been tested in Mbale Uganda. As a result recommendations for urban management are formulated and the tested tool has been improved.

The tool was developed after a literature study, which brought forward that present role of local governments is constraining the development of the private and community sector. It is advocated to change the role of the local government into an Enabling one, with more non-public sector participation in urban management. Therefore the role, process and workmethods of the public sector and thus the urban manager/planner will have to be adjusted. The Theory behind the tool is that through COMMUNICATION between the public-, private and community sector better understanding of the development issues would be achieved. This results in more mutual trust and commitment, and leads to participation and partnership in the urban management process. Whereby the local government creates development conditions for and coordinates initiatives of the non-public sectors. Through this new communicative role of the local government in a participatory urban management process, the local government:
(a) makes use of the effectiveness and capacities of the sectors most involved
(make use of the market forces);
(b) should safeguard the public interest and protects the rights and interests of the most vulnerable groups
(counterbalance the negative aspects of a more commercial, free market society).

The tool is basically a rapid, strategic, action oriented, cyclic and continuous process of information gathering; involving (as much as possible) all sectors on all levels. The tool is seen as a starting point for policy and decision making, and for action initiation and implementation.
The tool consists of three main parts;
1-Communication, 2-Physical Planning, 3-indepth Studies.
Key-elements of the tool are multi-sectoral, multi-disciplinary structured communicative group sessions.

In practice, during the case-study period in Mbale, the developed tool did not function fully. The initial set-up needed simplification. Although the participants saw the advantages of the sessions, there was a lack of motivation to participate, mainly due to the attitude of the local government: public sector staff were not motivated to participate unless given allowances; the non-public sector representatives did not see the use of the sessions unless the local government would show some real commitment towards the community/private development process. The tool therefore can only function successfully with adequate incentives (means, status and funds) to attract or interest people, and to create commitment of the public sector.

In general urban management by local government in Mbale is seen as restrictive rather the enabling, therefore a real change of role and a real reform of organization, regulatory, legal and institutional framework of the local government is advocated. In both administrative and political sense leading to transparency, efficiency and accountability. The local government should on the one hand concentrate on essential core tasks, that are seen as important incentives/conditions for private and community sector development, while on the other hand facilitate more non-public sector participation in the urban management process. The developed tool is advocated as an instrument for the "urban manager" in order to play that new role.
# LIST OF CONTENTS

- List of abbreviations  
- List of figures  

## Part I: General Introduction Research

1. Introduction  
2. Problem Statement  
3. Central Research Question  
4. Objective of Research  
5. Research Method  
   - 5.1 Global approach of the research  
   - 5.2 Research tools  
   - 5.3 Selection Mbale-Uganda  
   - 5.4 Restrictions  
   - 5.5 Participants/organization  
   - 5.6 Relevance  
   - 5.7 Connection with previous research  
6. Results  
7. Structure Research/Report  

## Part II: Urban Management Literature Study and Theory Development

8. Theory Orientation  
9. Literature Discussion; Conclusions  
10. Literature Discussion; Solutions and Recommendations  
11. Research Theory and Theoretical Tool Concept  

## Part III: Tool Development

12. Urban Management Tool  
   - 12.1 General Set-Up Communication Process  
   - 12.2 Research Tools  
13. Tool Elements  
   - 13.1 Communication  
      - 13.1.1 Inventory Interviews  
      - 13.1.2 Inventory Description  
      - 13.1.3 Communication Session  
   - 13.2 Physical Planning  
   - 13.3 Indepth Studies  
      - 13.3.1 Shelter  
      - 13.3.2 Land Allocation Systems  

---

*Page numbers:*  
- Preface: iii  
- Executive Summary: iii  
- Status of Document: vi  
- Introduction: 1  
- Problem Statement: 6  
- Central Research Question: 7  
- Objective of Research: 7  
- Research Method: 7  
- Results: 9  
- Structure Research/Report: 10  
- Theory Orientation: 12  
- Literature Discussion; Conclusions: 13  
- Literature Discussion; Solutions and Recommendations: 16  
- Approaches that influenced the research-theory and tool: 17  
- Research Theory and Theoretical Tool Concept: 23  
- Urban Management Tool: 30  
- General Set-Up Communication Process: 31  
- Research Tools: 32  
- Tool Elements: 33  
- Communication: 34  
- Inventory Interviews: 34  
- Inventory Description: 34  
- Communication Session: 34  
- Physical Planning: 40  
- Indepth Studies: 40  
- Shelter: 40  
- Land Allocation Systems: 41
PART IV TOOL TEST = tool applied to Mbale, a case study

14- BACKGROUND INFORMATION MBALE -UGANDA

15- RESULTS CASE STUDY
   15.1 Tool part I Communication
      15.1.1 inventorization interviews
      15.1.2 inventorization description
      15.1.3 communication sessions
   15.2 Tool part II Physical Planning
   15.3 Tool part III indepth Studies
      15.3.1 shelter
      15.3.2 land allocation systems

16- CONCLUSIONS and Analysis case
   16.1 General Urban Management
   16.2 The tested Tool
      16.2.1 Tool: Mbale town

PART V EVALUATION, RECOMMENDATIONS and improved TOOL

17- EVALUATION of the TOOL
   17.1 Literature study and Interviews
   17.2 Surveys
   17.3 Sessions
      17.3.1 theory
      17.3.2 methods
      17.3.3 means
      17.3.4 participants
      17.3.5 cooperation
      17.3.6 results

18- RECOMMENDATIONS
   18.1 Specific Recommendations; Urban Management Mbale Municipal Council - MMC
      18.1.1 role of local government MMC
      18.1.2 reorganization MMC
      18.1.3 physical planning Mbale
      18.1.4 studies (shelter and land allocation)
   18.2 General Recommendations ; Urban Management secondary towns
   18.3 Recommendations; improved Urban Management TOOL
      18.3.1 theory
      18.3.2 tool improvements
      18.3.3 organization

EPILOGUE

APPENDICES
appendix 1; General reflections R Meijer on International Development Cooperation (IDC)
appendix 2; Sessions - analysis session
appendix 3; indepth study Shelter-survey
appendix 4; additional background information Mable-Uganda
      4.1 history; 4.2 geography; 4.3 organization MMC
appendix 5; overview case study work done
appendix 6; results sessions
      6.1 analysis session; 6.2 crude results plenary session; 6.3 action planning session
appendix 7; crude results and analysis Shelter-survey
      7.1 check-list survey (-crude results, -analysis, -measures, -comparison)
      7.2 local literature study; 7.3 evaluation; 7.4 conclusion
appendix 8; Physical planning

REFERENCES

LITERATURE LIST
<table>
<thead>
<tr>
<th>Abbreviation</th>
<th>Full Form</th>
</tr>
</thead>
<tbody>
<tr>
<td>AIO</td>
<td>Research Assistant in Training</td>
</tr>
<tr>
<td>BPU</td>
<td>Research and training unit Production and Execution</td>
</tr>
<tr>
<td>CBO</td>
<td>Community Based Organization</td>
</tr>
<tr>
<td>IDC</td>
<td>International Development Cooperation</td>
</tr>
<tr>
<td>IHS</td>
<td>Institute for Housing and urban development Studies</td>
</tr>
<tr>
<td>IMF</td>
<td>International Monetary Fund</td>
</tr>
<tr>
<td>ITC</td>
<td>International Institute for aerospace and earth science</td>
</tr>
<tr>
<td>KCC</td>
<td>Kampala City Council</td>
</tr>
<tr>
<td>KUS</td>
<td>Kampala Urban Study group -first Urban Project WB Kampala</td>
</tr>
<tr>
<td>LG</td>
<td>Local Government</td>
</tr>
<tr>
<td>LDC</td>
<td>Less Developed Countries</td>
</tr>
<tr>
<td>MMC</td>
<td>Mbale Municipal Council</td>
</tr>
<tr>
<td>MOH</td>
<td>Ministry of Health, Health department MMC</td>
</tr>
<tr>
<td>NG</td>
<td>National Government</td>
</tr>
<tr>
<td>NGO</td>
<td>Non Governmental Organization</td>
</tr>
<tr>
<td>NSS</td>
<td>National Shelter Strategy</td>
</tr>
<tr>
<td>NRA</td>
<td>National Resistance Army</td>
</tr>
<tr>
<td>NRM</td>
<td>National Resistance Movement</td>
</tr>
<tr>
<td>NWSC</td>
<td>National Water and Sewerage Corporation</td>
</tr>
<tr>
<td>OPB</td>
<td>Post Graduate Training Program TUE/TUD</td>
</tr>
<tr>
<td>PCP</td>
<td>Public Community Partnership/cooperation</td>
</tr>
<tr>
<td>PDI</td>
<td>Institute of Planning and Demography University of Amsterdam</td>
</tr>
<tr>
<td>PP</td>
<td>Physical Planning</td>
</tr>
<tr>
<td>PPD</td>
<td>Physical Planning Department Ministry of Lands</td>
</tr>
<tr>
<td>PPP</td>
<td>Public Private Partnership</td>
</tr>
<tr>
<td>RC</td>
<td>Resistance Council</td>
</tr>
<tr>
<td>RC.C</td>
<td>Resistance Committee</td>
</tr>
<tr>
<td>RC.I</td>
<td>RC council I chairman</td>
</tr>
<tr>
<td>RC.IV</td>
<td>RC chairman/Mayor Mbale</td>
</tr>
<tr>
<td>SAP</td>
<td>Structural Adjustment Program</td>
</tr>
<tr>
<td>TUD</td>
<td>University of Technology Delft</td>
</tr>
<tr>
<td>TUE</td>
<td>University of Technology Eindhoven</td>
</tr>
<tr>
<td>TC</td>
<td>Town Clerk</td>
</tr>
<tr>
<td>TE</td>
<td>Town Engineer</td>
</tr>
<tr>
<td>TT</td>
<td>Town Treasurer</td>
</tr>
<tr>
<td>UEB</td>
<td>Uganda Electricity Board</td>
</tr>
<tr>
<td>UM</td>
<td>Urban Management</td>
</tr>
<tr>
<td>UMT</td>
<td>Urban Management Tool</td>
</tr>
<tr>
<td>UMP</td>
<td>Urban Management Program WB/UNCHS</td>
</tr>
<tr>
<td>UNCHS</td>
<td>United Nations Center for Human Settlements</td>
</tr>
<tr>
<td>UNDP</td>
<td>United Nations Development Program</td>
</tr>
<tr>
<td>VNG</td>
<td>Organization of Dutch Municipalities</td>
</tr>
<tr>
<td>WB</td>
<td>World Bank</td>
</tr>
</tbody>
</table>
### LIST OF FIGURES

**in the Report**

<table>
<thead>
<tr>
<th>Figure</th>
<th>Description</th>
<th>Page</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>symbol research</td>
<td>10</td>
</tr>
<tr>
<td>2</td>
<td>symbol case study</td>
<td>10</td>
</tr>
<tr>
<td>3</td>
<td>structure research/report</td>
<td>10</td>
</tr>
<tr>
<td>-</td>
<td>scheme i SUM process cycle</td>
<td>19</td>
</tr>
<tr>
<td>-</td>
<td>scheme ii Preparation of a SUMP</td>
<td>19</td>
</tr>
<tr>
<td>-</td>
<td>scheme iii Action Planning process cycle</td>
<td>20</td>
</tr>
<tr>
<td>4</td>
<td>urban manager as intermediary</td>
<td>25</td>
</tr>
<tr>
<td>5</td>
<td>organizational concept</td>
<td>27</td>
</tr>
<tr>
<td>6</td>
<td>theoretical tool concept</td>
<td>27</td>
</tr>
<tr>
<td>7</td>
<td>main communication steps</td>
<td>28</td>
</tr>
<tr>
<td>8</td>
<td>tool methods</td>
<td>32</td>
</tr>
<tr>
<td>9</td>
<td>set-up urban management tool and elements</td>
<td>33</td>
</tr>
<tr>
<td>10</td>
<td>detailed set-up communication session cycle</td>
<td>35</td>
</tr>
<tr>
<td>11</td>
<td>three physical planning concepts</td>
<td>39</td>
</tr>
<tr>
<td>-</td>
<td>photo impression Mbale</td>
<td>43</td>
</tr>
<tr>
<td>-</td>
<td>photo impression Role Municipality MMC</td>
<td>52</td>
</tr>
<tr>
<td>-</td>
<td>photo impression Sessions</td>
<td>56</td>
</tr>
<tr>
<td>12</td>
<td>two concept structure plan Werikhe</td>
<td>61</td>
</tr>
<tr>
<td>-</td>
<td>photo impression Physical Planning</td>
<td>62</td>
</tr>
<tr>
<td>-</td>
<td>photo impression Studies</td>
<td>63</td>
</tr>
<tr>
<td>13</td>
<td>characteristics of Mbale</td>
<td>79</td>
</tr>
<tr>
<td>14</td>
<td>structure plan proposal for Mbale</td>
<td>80</td>
</tr>
<tr>
<td>15</td>
<td>phased spatial development</td>
<td>82</td>
</tr>
<tr>
<td>16</td>
<td>improved Urban Management Tool</td>
<td>86</td>
</tr>
<tr>
<td>17</td>
<td>organization improved Tool</td>
<td>89</td>
</tr>
</tbody>
</table>

**in the Appendices:**

<table>
<thead>
<tr>
<th>Figure</th>
<th>Description</th>
<th>Page</th>
</tr>
</thead>
<tbody>
<tr>
<td>18</td>
<td>SWOT analysis scheme</td>
<td>107</td>
</tr>
<tr>
<td>19</td>
<td>interlinkage graph</td>
<td>108</td>
</tr>
<tr>
<td>20</td>
<td>map Mbale shelter survey areas</td>
<td>109</td>
</tr>
<tr>
<td>21</td>
<td>map Africa - Uganda</td>
<td>113</td>
</tr>
<tr>
<td>22</td>
<td>organization MMC</td>
<td>115</td>
</tr>
<tr>
<td>23</td>
<td>interlinkage graph analysis session</td>
<td>119</td>
</tr>
<tr>
<td>24</td>
<td>Mbale characteristics</td>
<td>140</td>
</tr>
<tr>
<td>25</td>
<td>structure plan 1959 and extension 1991 Mbale</td>
<td>140</td>
</tr>
<tr>
<td>26</td>
<td>interpretation sketch aerial photograph Mbale</td>
<td>141</td>
</tr>
<tr>
<td>27</td>
<td>land ownership Mbale</td>
<td>141</td>
</tr>
<tr>
<td>28</td>
<td>planned/unplanned areas Mbale</td>
<td>142</td>
</tr>
<tr>
<td>29</td>
<td>cell structures Bolt</td>
<td>142</td>
</tr>
<tr>
<td>30</td>
<td>contra form</td>
<td>142</td>
</tr>
<tr>
<td>31</td>
<td>spreading/distribution spatial development</td>
<td>143</td>
</tr>
<tr>
<td>32</td>
<td>mixed land-use</td>
<td>144</td>
</tr>
<tr>
<td>33</td>
<td>customary land ownership</td>
<td>144</td>
</tr>
<tr>
<td>34</td>
<td>dual land market</td>
<td>145</td>
</tr>
<tr>
<td>35</td>
<td>public private partnership</td>
<td>145</td>
</tr>
</tbody>
</table>
PREFACE

Hereby I would like to thank all people and organizations who assisted with or participated in this research, especially:
- Peter Erkelens for his pleasant, professional and good mentorship;
- Piet Beekman and Willem Dijk for their 'examination committee' membership and professional comments;
- Coen Beeker and Johann Gomes for enabling the fieldwork in Mbale;
- The OPB - Universities of Technology Delft and Eindhoven for giving me the opportunity to execute this research.

and from Mbale Municipal Council:
- mr Iga for his personal interest and organizational support;
- Abdou Mutanje for his part-time counterpartship;
- Harounah Wamusi for his field-work translations;
- Mariam Wepukhulu for all her typing.

- Hanneke for visiting me in Mbale, and stimulating me to work hard and come home quickly. And for making me see and understand what my own personal priorities are.

EXECUTIVE SUMMARY

Fast changes and the present role of local governments including its lacking capacity, inadequate institutional, regulatory and legal framework, and inappropriate workmethods are seen as the major reasons for the growing problems of the towns and its population in the developing countries.

This research aims at finding solutions for urban management of secondary towns in Uganda - east Africa. This is done by developing an Urban Management TOOL, abstracted from a literature research. The Tool was tested during a 4 month case-study period in Mbale Uganda. Based on the results of the case-study the tool is improved and general urban management recommendations made.

The research is executed for the University of Technology Eindhoven, Faculty of Building and Architecture. The researcher R Meijer worked as a research assistant for the Teaching and Research unit BPU - Production and Execution. The case-study was the initial phase of a possible cooperation program between the municipalities of Mbale (Uganda) and Zaanstad (the Netherlands). Based on the results from the case-study a program proposal is formulated.

The report is structured as follows:
Part I introduces the research;
Part II discusses the literature study and the elaborated research theory;
Part III describes the developed TOOL;
Part IV contains the case-study and the field test of the TOOL;
Part V evaluates the case-study, and gives specific and general recommendations on Urban Management, and describes the improved TOOL.

Part I introduces the research, with the problem statement being; that present role of local governments (and therefore of urban manager/planners) of secondary towns is inadequate and unrealistic for managing the fast urban changes in developing countries, especially the fast urban growth and major changes in characteristics of secondary towns. Related to the constraining role are the inappropriate local government frameworks and workmethods. This leads to: (a) lack of service delivery; (b) deteriorating economic conditions for the town as a whole, and the private sector in particular; (c) deteriorating socio-economic and environmental living conditions for the population, with a majority of the population living in illegal settlements without property security and adequate services, and operating for income in the informal sector. All this slows down the development of towns.
The central research questions are:

(i) how to reformulate the role of the local government of secondary towns in order to promote/enable self development by the private and community sector?; 

(ii) What tools are necessary and appropriate?; and 

(iii) How to achieve participation and partnership in the urban management process?

The objective of the research is the development of an urban management tool which can help to solve the above mentioned research questions.

Part II reviews the international literature discussion on urban management, and specifically the role of the local government. In general most research/literature advocate the adaptation of urban management and planning to specific local circumstances (socio-economic, cultural, geographical). Most recommendations follow the principles of the so called ‘Enabling Policy’ of the WB/UNCHS, advocating a reformulation of the role and performance of the local governments. From executing development projects to creating development conditions for (self-help) development by the private and community sectors. In order to achieve that a call is made for privatization, deregulation, reform, reorganization etc.

The literature study resulted in the basic theory: ‘that in order to Enable you need to Know the other sectors problems, potentials and constraints’. And in order to Know you need to communicate with all sectors, making COMMUNICATION the core of urban management. Cross-sectoral communication is seen/advocated as the most basic form of participation. Participation in order to make use of the effectiveness and capacity of the sectors and actors most involved (private and community sector); and Communication-Involvement in order to safeguard the public interest of the community and the personal/private interest of the most vulnerable groups within the society.

The used hypothesis is that communication is the starting point for: (a) creating commitment; (b) getting popular and political support; and (c) participation and partnership in the urban management process.

Participatory cross-sectoral multi-disciplinary structured communication as the key-element for an strategic and action oriented urban management which is appropriate, rapid and flexible, forming the basis for urban development decision and policy making and planning.

Part III The from the theory abstracted tool can be seen as a rapid urban assessment method; an information gathering and communication process. Its main characteristics are; strategic, action oriented, cyclic, continuous, rapid, equity, communicative, integrated, participatory, flexible, adaptive.

The tool consists of three main elements;

i Communication
ii Physical Planning
iii in-depth Studies

(i) Communication is the core of the rapid information gathering process. Communication has as main objectives: 
(a) inventorization and data collection; 
(b) analysis, vision, strategy and action determination; and 
(c) getting popular and political support, creating commitment; 

(ii) Physical Planning in order to visualize the information gathering process; and 

(iii) Studies for supporting the rapid assessment with in-depth information and data. In this case (Mbale) Shelter and Land Allocation systems were studied complementary.

The innovative key-element of the Tool is; 

multi-sectoral, multi-disciplinary, structured communicative group sessions.

Using several different communication techniques.

Other applied research methods are interviews, surveys and literature study.
The sessions have as an advantage that they give an additional value to the information gathering process because they profit from the knowledge of the different sectors and disciplines and of the interaction of a group process. The sessions are structured to be rapid; give all participants a fair individual chance; and force statements.

**Part IV** The urban management tool has been tested during the Mbale case-study period. During the case study, the multi-sectoral communication sessions of the urban management tool mainly failed to achieve the desired aims, due to:
- lack of motivation of the parties concerned: (a) no commitment and interest from public sector; and (b) no trust and confidence in Mbale Municipal Council (MMC) from the private - and community sector. Some sessions had to be canceled because of lack of response from the invited.
- organizational aspects, insufficient allowances or incentives available from MMC side, and no budget available from or Zaanstad or University for: (a) ‘attracting people’ to participate; (b) to make a more professional presentation; and (c) to execute immediately some small priority actions in order to create good-will and commitment.
Also the status of the researcher was reduced by the lacking support from Zaanstad municipality; the agreement on the cooperation program was not established during the case-study period, and its representative did not visit Mbale, although promised.

The sessions brought reasonably good results. Although the total set-up and some of the techniques needed simplification. The participants attending the sessions, saw (after some skepticism at the start) the benefits of the structured sessions. The other more traditional methods of information gathering; interviews and surveys proved to be workable, despite minor organizational difficulties; also mainly related to motivation (of mainly MMC staff) versus means (not available).

It became obvious that present role (policy and practice) of Mbale Municipal Council are not seen as enabling but rather as restrictive. Thus depriving large parts of the population of access to legal land and housing; obstructing income generation, especially for the low-income groups (informal sector), and; restricting private sector investments, due to bureaucracy, lack of property security, high taxation and burdensome regulations.

In general informants/participants made a call for over-all deregulation, reducing bureaucracy and creating transparency. Through simplified, differentiated and affordable rules, procedures, standards, tax - and license systems etc.

**Part V** Evaluating the research one can say that the tool does have potential, but needs extra incentives (means, funds and status) to motivate people to participate in order to be really successful. The tool itself needs to be simplified in total set-up and in some of the techniques. Special attention must be given to the time planning, the accommodation and the composition/constitution of the session groups.

The concept of the tool might be universally applicable, but always needs initial adaptations and gradual adjustments to the specific local circumstances. = a Global Concept, but Local Method = .

For urban management in Mbale and for secondary towns in general a call is made for real reform on both Political and Administrative level, to change the role and functioning of the local government and in order for the local government to become: Transparent, Efficient, Accountable, Accessible and Representative. Reforms need to be achieved by reorganization of the local government: - executing an intermediary role within a participatory process; - concentrating on specific core-tasks, executed with a reorganized ‘core-management’ working in a business style way. For creating development conditions the whole present regulatory and legal framework related to urban management needs to be reformulated. In general the frameworks should be simplified, differentiated and the thresholds lowered for the majority of the population, in order to become more accessible and affordable. (For example in tax-collection, license systems, land allocation, construction development standards, planning)
For the specific characteristics of secondary towns it is recommended to strengthen the rural-urban socio-economic ties, especially through land-use planning and relaxed "urban" regulations. Integration of the urban development in regional development, through distribution of specific urban functions to satellite centers, and leaving the agricultural hinterland as much as possible intact.

For actual projects or actions the local government should concentrate on coordination: (a) contract-out or privatization of services; (b) promote Public-Community Participation in appropriate ‘low-standard’ (affordable) social and technical service delivery; and (c) stimulate Public-Private Partnership in infrastructure upgradings.

In short in its new role the local government should:
- concentrate on essential core tasks; e.g legalization of property, land-use planning and land allocation, because the (local) government holds a monopoly on law and legal property security is seen as a precondition for private investment and initiatives in both income generation as shelter activities;
- coordinate (private) initiatives in order to protect the public interest e.g. open spaces, environment, cultural and historical heritage;
- control development to protect the interest of the most vulnerable groups (equity);
- create development conditions; e.g. sustainable infrastructures and social services, affordable accessible institutional support (credit, property security) in consultation and cooperation with the non-public sectors.

Through these development conditions and legal property security the local governments make use of the potentials, capacities and effectiveness of the market, while through control and coordination it reduces the selective negative effects of a more commercial free market society.

The motivation shown for the communication sessions can be seen as an indication for the motivation to be expected for this new role and especially the necessary reforms. These reforms will go against the personal interest of the same people who are to implement them; the people in political and administrative power. For these essential reforms to be implemented on local level, external attraction or pressure will be needed. Attraction for example by institution and capacity building of the reformed smaller local government, with eg adequate salaries, training, equipment etc. Pressure by setting conditions for development assistance allocated to or through the local government, and by direct assistance to the local private and community sector in order to emancipate them in relation to the local governments.

iii STATUS of DOCUMENT

This document serves as a final RESEARCH REPORT. It gives an overview of the total urban management research, including;
- general literature study on urban management
- development of an urban management Tool
- the Mbale case-study, testing the Tool
- evaluation and improvement of the Tool
- specific and general recommendations on urban management

The tool serves as a so called Design Tool which is the required result, of the one year postgraduate research, for the University of Eindhoven (opb/bpu).

From the case-study the following reports are made;
-11 interim reports of all executed case-study elements
-final case-study report
-a summary of the final case-study report, this has been distributed to all participants.

All these documents are available for consultation at the MMC Town-clerks office, and the author.
PART I

GENERAL INTRODUCTION RESEARCH

CONTENTS:
1 Introduction
2 Problem statement
3 Central research question
4 Objective of research
5 Research method
6 Results
7 Structure research/report
PART I GENERAL INTRODUCTION RESEARCH

1 INTRODUCTION

In the recent past urbanization in developing countries was looked at by International Development Cooperation (IDC) organizations and the national and Local Governments (LG) rather differently. This resulted in different policies of the two towards urbanization. Recently both authorities have recognized the failure of their approaches and are looking for new ways of dealing with the fast urbanization wave in developing countries. Especially the role of the (local) government is presently under international discussion.

This research, executed for the University of Technology Eindhoven, should be seen as an attempt to make a contribution to the discussion on how secondary towns can deal with this fast urbanization. And specifically on the "New Role" that local governments in LDC (Less Developed Countries) should play in the urbanization/urban development process; and How the local government should manage urban development? and What type of URBAN MANAGEMENT and TOOLS are appropriate?

This research concentrates on secondary towns in Uganda-east Africa, because secondary towns play a specific role in the urbanization and migration process in Africa, and because of the little national and international attention for urbanization in Africa and for secondary towns in particular.

The case-study in Mbale-Uganda was intended as the initial phase of a cooperation program between the municipalities of Mbale and Zaanstad-the Netherlands.

Urbanization

As mentioned above the policies of IDC organizations and national/local governments differed in the past:
- IDC in general focused mainly on rural development, and urbanization was seen as an undesired phenomenon, because the level of socio-economic development of the developing countries could not justify the rapid urbanization; according to UNFPA (93);
  'the pace and magnitude of the recent urbanization is no sign of power and dynamism within the national economies but a major reason of concern. Both the rural and urban sector are weakened by the massive influx of migrants to the cities and towns.'

The basic idea behind the rural development approach was that through rural development the rural exodus could be stopped, by: (a) subsistence agriculture as promoted by the NGO's; and (b) cash-crop (export) production as promoted by the multi-national organization (IMF, WB, UNDP, EDF).

For the same reason, within the same philosophy, urban development projects received relatively little attention because improved conditions in the city would attract even more people.

- National (local) Governments which are mostly highly centralized focused mainly on the cities (capital). For political reasons they favored, with food and service subsidies, the middle and high class urbanites over the rural population. Often those who profited most from the urban policies were the political and administrative elite, which in many African countries is ethnic and sometimes religious determined.

During the 1980's National (local) governments had to abandon this policy because of:
- the economic crisis;
  high international debts, high oil- and dollar prices, low world market commodity prices
- the Structural Adjustments Programs (SAP) of the International Monetary Fund (IMF);
  devaluation of local currencies, reduced state interference, cuts on public sector spending and staff etc.

On the other hand the IDC policy makers now acknowledge that:
- the rural exodus will take place anyway;
  because of the rural transformation process, agricultural mechanization, land shortage etc.
- the cities will grow anyway;
  60% of the urban growth is caused by natural growth
AND that
- cities will grow **RAPIDLY** - in sub saharan Africa:
  - population growth - 3-4%/Year
  - urban growth - 6-7%/Year
  - some cities/towns - >10%/Year

<table>
<thead>
<tr>
<th>Urbanization: Sub Saharan Africa</th>
<th>East Africa</th>
</tr>
</thead>
<tbody>
<tr>
<td>1960</td>
<td>19%</td>
</tr>
<tr>
<td>1980</td>
<td>27%</td>
</tr>
<tr>
<td>2000</td>
<td>42%</td>
</tr>
<tr>
<td>2020</td>
<td>52%</td>
</tr>
</tbody>
</table>

*figures by the World Bank*

With this ongoing process the number of (urban) poor will grow, this being the target group of the IDC.

According to UNFPA (93); *'In Africa by the year 2000 45% of those living in "absolute poverty" will live in urban areas.'*

Next to this negative forecast, policymakers within the IDC now start to recognize:
- the socio-economic potential of the city in LDC;
  - >50% of the GDP/year is made in the cities, and >75% by the year 2000
- the positive effects of legal property security on the socio-economic position of the urban poor;
- the large contribution of the housing market to the local economy;
- the importance of the informal sector.

Despite the fact that both the IDC and LG's have reconsidered their urbanization policies they still tend to look differently at the urban problems. The NAR (94) describes the differences in perception as follows; (i) the LG see inadequate urban infrastructures, slums and squatters, shortage of employment as the main problems; whereas (ii) the IDC-donors, local NGO's, and researchers see urban poverty and environmental degradation as the main problems.

**Urbanization history**

Although the total urbanization rate in most developing countries is still low, especially in Africa, it is the high urbanization speed that is creating so much problems. UNFPA (93) *'The transformation of a society from predominant rural to predominant urban has taken place in all industrialized countries. But the present pace of the urbanization is much higher than ever before.'*

Next to the difference in growth pace there is also an historical difference in the function of a town, which is clearly illustrated by the case of east Africa; UNCHS (91) *'In eastern and southern Africa the white settler colonialism completely replaced any existing traditional urban patterns. Colonial administration was on a dual basis, one system for white settlers and another for Africans, with separate policies.'* Within the east African towns, a system of racial segregation operated, introducing to 3 basic zones:

1) the administrative/white zone, occupied by the central business district and white settlers,
   - (Low-density, European Quarters);
2) the "Indian bazaar", dominated by Indian and Arab traders,
   - (Middle-density, Indian Quarters, for "Asians and Coloreds");
3) African locations, for residential accommodation.
   - (High-density African townships, Africans were considered to be temporary (work) residents)

This apartheid system of spatial segregation together with the separative policies and regulations are still operational in developing countries. (see also Mbale, fig 13, chapter 18 -)

Atman (93) gives one historical explanation for the difference in function *'the Renaissance not only generated urban culture in Europe but also introduced that European culture into the new world, complete with up-to-date concepts of fortified towns as appropriate for implementation in hostile territories'*. 
Apart from the differences in the urbanization process in the North and South; urbanization pace, urban function and the way of introduction of urban culture there are also similarities between the present day Squatters in developing countries and for example the also spontaneously developed Faubourgs in medieval Europe, in contrast with planned extensions of the Sites-and-Services projects and Bastides.

A comparison study by Atman (93) lead to resemblances in:
- motives: migration versus liberation
- nascent structures: spontaneous planning and upgrading
- survival: informal economy, afterwards recognized + absorbed
- dynamics: community development, democratic self-government

But the squatter has missed out an essential historical step; 'While the Faubourg gave birth to a new form of municipal government, the squatters should also in theory have created an ideal environment for the development and constitution of a unique system of government.' This has not (yet) taken place. 'These new systems should have provided a different way of removing the constraints of the feudal, paternalistic and undemocratic nature of the inherited systems of colonial urban administration.'

This adds another difference in the urbanization process; the difference in power and influence of governments, then in Europe (limited) and now in developing countries (extensive). All these differences together attribute to the growing amount of urban problems, despite the urban economic potential.

**Secondary towns**

Secondary towns have a specific position in the African urbanization and migration process, because of:
- the high growth rates;
- the important role in 'Step-Wise' Migration patterns;
  - most people in Africa first migrate from village to town and then maybe later on to the city. Africans prefer to stay near 'home', their ancestral grounds, within their ethnic region, making use of the extended family network;
- the strong socio-economic urban-rural ties;
  - during their live as an urbanite, Africans tend to closely keep in touch with their village for both social and economic reasons, for example they keep agricultural land in the village. And many people retire to their village after a period/life of economic migration.

The importance of secondary towns are recognized for:
- 'redressing the problem of Urban Primacy' according to UNCHS (91);

Two Policies have been used to achieve this: (a) urban based policies, with concepts like "growth poles" and "service centers"; and (b) rural based policies. Both policies have ignored the institutional management-capacity dimension, leading to urban deterioration.

But Stren, White (89) state that 'the old belief that secondary growth centers could reduce the rate of rural-to-urban migration should be abandoned. There are other reasons for promoting smaller centers, but a visible effect on the rate of growth of largest cities is not one of them.'

- spreading of urbanization and migration;
- enhancement of industrial and administrative decentralization;
- creation of small-scale and informal trade/industries;
- fostering links between rural and urban economies;
- distribution of resources, services.

Most importantly secondary towns (could) play a major role in the distribution/spreading of socio-economic development, service delivery, administration and urbanization, but as stated before they are given little national and international attention and assistance, in order to deal with fast growing problems and make use of their potentials. Apart from the little attention and support is the specific problem of transition; UNCHS (91) 'Some secondary towns have advanced little in the transition from rural-traditional to urban-bureaucratic modes of socio-economic and political organization'. In the last decades since independence secondary towns have grown from mere large villages to big towns, whereas primary cities in the same period grew from big city to a Bigger City. The managerial and institutional capacity of the municipal governments of secondary towns has not been adapted to this major transition.
Decentralization
Decentralization, presently advocated, is trying to address an other specific aspect of the secondary towns, being the dependency on central governments.

According to Olouwu-IULA (88); 'an overwhelming number of African local governments have their council members and chief executives nominated for them by the central government. Even where there is indirect or direct election, the process is tightly controlled by the ruling party and the ministry of 'Interior or Local Government'. Local governments (in general) are subject more to central control than control from their local communities or their representatives'. This is also reflected in the local level of service delivery. Only 21% of the responsibilities normally performed by local governments in the most industrialized countries are performed by the local government in Africa, 41% by central government the rest by the other sectors. Decentralization is just one of the many solutions presently advocated to make local policy making and management more locally appropriate in order to reduce the urban problems.

Urban Problems
The problems created by fast and vast growing and changing cities and towns for the Town and it's Population are various: Economic; Social; Environmental; -etc:
- (a) unfavorable economic conditions for the Private sector;
  congestion, lack of land, infrastructures and services
- (b) unfavorable income generating and living conditions for the Community (sector);
  no property security, no access to legal services, poverty
- (c) Technical-, Financial- and Institutional problems for the public sector, the local governments, in its duty as urban manager and service deliverer.
  Also this fast urbanization might create a political threat to the sitting urban political elite.

Ramachadran (92) illustrates the urban problems as follows; 'At least 600 million people in urban centers are estimated to live in "life-and-health threatening" situations, and these numbers will grow.' (Problems like unsafe drinking water, inadequate sanitation, unsafe housing, pollution, environmental risks etc.)

As a result of the public sector problems (c) the performance of the local governments in managing the urban changes has been unsatisfactory. Its inadequate functioning even contributes to the urban problems.

UNCHS (91) summarizes the general urban management problems of local governments as follows:
- inadequate urban local authority finances;
- inadequate staffing and training;
- inappropriate local government frameworks;
- inappropriate land-development and building standards;
With specific Urban Management problems for secondary towns:
- all problems outlined above apply to most urban areas, but are worse in secondary towns, because most central governments regard secondary towns as not being too important;
- not enough industrial location incentives;
- central governments unwilling to decentralize;
- less production interests from private sector;
- policy making and planning done at central level.

Because of the urban management problems individuals and communities adapt to a range of 'survival strategies' (Stren and White 89); Informal/Illegal Housing, Services (water, energy, transport) and Income generation (informal sector).

Western agencies tend to stress the importance of the urban environmental problems. Bernstein UMP 12 (94): 'By the year 2030, developing country cities are expected to grow by 160 percent, this rapid urban growth has negative implications on natural and cultural resources as well as the urban poor, both in- or outside the existing urbanized areas'. As demand for limited supplies of urban land arises, low-income groups may be forced to occupy illegal subdivisions often on the periphery of cities, where the land tends to be most vulnerable to both natural and man-made hazards.
Furthermore the urbanization process may: (a) pressure sensitive ecosystems; (b) lead to losses of cultural resources and open spaces within town; and (c) lead to conversion of prime agricultural land to urban use. Those last points of ecological effects on both the urban, peri-urban and even agricultural areas, are specifically strong in secondary towns.

Projects executed so far
Most projects executed in the past within the framework of the IDC (for example in Urban Planning, Urban Housing, Urban Infrastructures, Urban Economy etc) have failed to achieve their goal; poverty alleviation, or failed to reach the target group of the IDC; the poorest. Because the solutions were either unaffordable, unsustainable, inaccessible, unacceptable, inappropriate or unmanageable.

The target group was often not reached, or even forced out and the middle and high class gained from the projects, this especially occurred in the various forms of ‘low-cost housing, Sites and Services, and Upgrading projects’. The ‘offered’ solutions were either so expensive that the sitting (poor) population could not afford it. Or the upgraded value (of their houses or land) was relatively so high for them, that they were tempted to sell to the higher income groups, who profited from the relatively low (subsidized) prices.

This is supported by the following statements:
- Erkelens (91) 'in reality the governments housing programs mainly serves the higher-income groups';
- Beeker, Guiebo (93) conclude from a reploting project in Ouagadougou: that although the project was largely successful, but 'low-income tenants were excluded from the replotted, upgraded area'. And the price level rise was too high for some (the poor), which forced them out, this 'created new spontaneous settlements in the urban fringe'.

Not only the projects in the past have failed to contribute to solving urban problems (especially those of the urban poor), but also the regular local development policies and their supporting legal and regulatory frameworks have not solved the problems. More often they are seen as one of the major reasons for these urban problems, especially those of the urban poor. Or they are considered to be intended only to serve the interest of the elite. Or as Farvacque and McAuslan UMP 5 (92) puts it; 'Too many laws, particularly in the area of land management, are produced and passed by the economic and social elite to facilitate their benefiting from state activities rather than from any perceived need of society at large'.

The World Bank (91) summarizes the past efforts; 'Government and donor programs tended to divide a city into projects, improving specific neighborhoods without improving the urban policy and institutional framework, such as the functioning of citywide markets for land and housing. Government efforts have not mobilized the private sector and community initiatives, but in many cases have increased the costs of private solutions through overregulation and the rationing of scarce capital for investments. Most urban programs did not achieve sustainable policy reform and institutional development, because they were not replicable.'

This brings us to the conclusions and solutions as advocated throughout literature, which will be further discussed in Part II chapter 9 and 10.

Conclusions
The international discussion shows that; next to the fast urban changes the present inappropriate functioning of the local governments and public sector in general are seen as the major reasons for the urban problems. The present role of the local government and therefore of the urban manager/planner together with the related frameworks and workmethods are seen as restrictive on non-public sector development. The public sector plays a too dominant role in the urban management process with little real participation from the other sectors. This dominance is shown in: (i) the authoritarian decision making and planning; and (ii) the high level of official tasks, but because of the limited capacity and inappropriate frameworks it cannot perform these tasks as planner, legalizer and service deliverer very efficiently.

Solutions
Most of the solutions are seen in changing the role of the local government and public sector, with more popular participation in decision making and planning and more market-oriented involvement of the private and community sector in providing the town and its population with its own needs.
Apart from the more enabling role of the public sector and more non-public sector involvement, there are also calls made for more appropriate frameworks and workmethods that are more supportive to this new role and more capable of dealing with the fast urban changes; rapid assessment-, strategic and action oriented approaches are called for. All this demands for both a political and administrative reform.

This call for a new role is also illustrated by:
- **World Bank** (92) advocates ‘a fundamental change in role for the government from realization to a condition creating role’;
- **UNCHS** (91) calls for ‘coordinating and enabling rather then controlling and regulating. This kind of coordination is likely to ensure the continual dialogue between the local government and the traditional and community based organizations (non public actors), thus reducing the possibilities of friction and duplication of efforts’;
- **Beekman** (93) claims that; ‘the governing experience for this new role is lacking, but it is obvious that the local government in the future will have to perform a more coordinating role instead of an initiating role. So less initiation of projects and more coordination of initiatives’.

Concluding from this introduction one can say that; Urbanization in developing countries is unreversible, fast and complex. It creates many problems, which should lead to a growing international concern. Or as the ‘1990 World Development Report’ concludes;

**"URBAN POVERTY will become the most significant and politically explosive PROBLEM of the next century".**

These growing problems (seen in the light of the failures and shortcomings of the past to deal with them) demand for a new approach of Urban Management.

**2 PROBLEM STATEMENT**

The central problem in Urban Management is;
**The unrealistic and constraining ROLE of most Local Governments in developing countries.**
- And therefor the inappropriate role of their urban managers and - planners.
- Resulting in an unsatisfactory and even restrictive performance by the local government/public sector.

That traditional, inherited colonial role, is very authoritarian and too much focussed on initiation, regulation, control and realization. This taken in consideration the limited capacity of local governments, the fast urban changes and the present socio-economic conditions and circumstances in most developing countries in general and (secondary) towns in particular. The research should therefore review whether a local government should be initiating, enabling, coordinating or merely legalizing.

In line with the central problem of the role of local public sector are the following related sub-problems:
- (a) the limited communication with and participation of the non-public sectors within the urban management process;
- (b) the inappropriate and restrictive legal, regulatory and institutional frameworks of local governments;
- (c) the out-dated workmethods of local governments.

In short; present functioning of local governments is RESTRICTIVE rather than ENABLING.

Local governments in general are unable to ‘manage’ the fast urban changes, leading to problems and constraints for both the private- as the community sector, slowing down the economic - and socio-economic development of the town. The potentials of both the private - and community sector are therefore not being used, but restricted. This results in deteriorating economic conditions for the town as a whole; inadequate infrastructural and institutional capacity creating unfavorable circumstances for private sector initiatives and investments. And deteriorating socio-economic environmental living conditions for its population. With large parts living in spontaneous settlements without property security and adequate legal housing and services. Operating in the informal sector without official institutional support.
The PROBLEMS with which this research should deal are:

(i) the constraining role of local governments;
(ii) the limited communication with and participation of the non-public sectors in the urban management process;
(iii) the inappropriate legal, regulatory and institutional frameworks and workmethods of local governments.

Specifically for secondary towns in Uganda-east Africa.

3 CENTRAL RESEARCH QUESTION

The introduction and problem statement bring us to the central research question; How can the new appropriate ROLE for the local government of secondary towns in east Africa be defined?

This in order to improve the performance of local governments, which should result in improved:
- economic-development conditions for the Town (Private sector);
- socio-economic development conditions for the Population (Community sector).

We stipulate that this can be obtained through communication and cooperation between the three sectors, specifically aiming at more private and community sector involvement in the urban management process.

The first research Question is than:
How can Local Governments 'ENABLE or COORDINATE' the Private and Community Sector to 'SELF-DEVELOPMENT' and promote (non-public sector) PARTICIPATION and possible (Public-Private/Community) PARTNERSHIP in the urban management process?

And a related second research Question;
Which Urban Management TOOLS are appropriate and realistic in this context; taking in consideration the present socio-economic situation of the towns and the capacity of the municipalities and the other development actors?

4 OBJECTIVE OF THE RESEARCH

The objective of the research is the development of an Urban Management TOOL, for the Urban Manager/Planner that will enable him/her to play that new role and thereby create more private and community sector involvement in the urban management process.

The developed Tool will be tested in order to be improved in general, and adapted to the specific circumstances; and to formulate general and specific Urban Management Recommendations.

5 RESEARCH METHOD

5.1 Global approach the research

The research had as global approach:
1-Literature study on urban management in general;
   what is the principle role recommended for local governments by various agencies and researchers, what are its essential tasks and how should they be executed, taking in consideration the socio-economic urban circumstances and the limited capacities of most local governments.
2-Development of a TOOL;
   based on methods and tools recommended in literature.
3-Application of the developed TOOL in case-study (Mbale-Uganda);
   investigation of the present role of this municipality in urban management and how is it being appreciated by the other development actors, and whether considered effective; together with research on the other specific research questions.
4-Discussion of the tested TOOL; 
evaluation of the functioning of the tool.
5-Elaboration specific and general urban management recommendations; 
based on the results of the case-study in comparison with the general literature study.
6-Improvement of the tested and evaluated TOOL; 
based on the results of the case-study, the evaluation of the tool and the general literature study.

Planning: part 1+2 = 4 months Holland; part 3 = 4 months Uganda; and part 4+5+6 = 4 months Holland.

5.2 Research tools
The research tools used are:
- literature survey on urban management in general with special attention for the specific research questions; 
  Physical Planning, Shelter and Land Allocation. Specifically on sub-saharan -/ east Africa;
- documentation study on specific local Mbale and Uganda relevant literature;
- structured and open interviews with various key-informants of the different sectors;
- field surveys using structured questionnaires;
- discussion (communication) meetings with various representatives of the different sectors;
- observation through field visits of different areas within and out-side of Mbale.

5.3 Selection Mbale - Uganda
The urbanization problems in developing countries and the related Urban management problems of local governments are almost general for most developing countries. The proposed tool should be generally applicable, within the selected region for other secondary towns. To test the developed tool a case-study, a tool application, was planned.

Mbale-Uganda was chosen because:
- Uganda is considered being representative for a sub saharan/east African developing country;
- Mbale is considered being a representative secondary town with its typical strong socio economic urban rural ties, the fast urban growth with the related specific urban problems;
- the possible Mbale MC and Zaanstad cooperation program gave the author the possibility for a field case-study period in Uganda with access to various authorities, information etc.

5.4 Restrictions
The research is restricted to secondary towns because: of its specific role in the migration patterns in Africa and therefor in the urbanization process; the high growth rates; the little national and international attention.

Because of the large cultural-, geographical-, political -and historical differences between developing countries, and even sub saharan African countries the research was limited to the region Uganda/East Africa. (remark; because of the major differences (mainly ethnic and geographical) within countries the tool and recommendations must always be adapted to the specific local situation.)

The low-income groups were selected as a (sub)target group because:
- the low-income groups are often the "drop-outs" of formal system, because the formal systems are often unaffordable unaccessible. Resulting informal sector activities and illegal "squatter" settlements;
- it is doubted if the low-income groups will benefit from the "trickle down" approach of a "new enabling policy" which advocates a more commercial approach.

5.5 Participants/organization
The research executed for University of Technology Eindhoven, faculty of Architecture and Building was tutored by Dr.ir. Peter A. Erkelenes, who had great and a very positive influence on the research and the writing of this final report. Peter Erkelenes was also chairman of the examination committee.

Other examination committee members were:
Dr.ir. Piet C. Beekman, University of Technology Eindhoven; 
Ir. Willem J. Dijk, University of Technology Delft.
The case-study in Mbale Uganda was the initial phase of a cooperation program between Mbale and the Municipality of Zaanstad-the Netherlands, supported by the PDI-Institute of Planning and Demography of the University of Amsterdam. For PDI Drs.Coen Beeker coordinated the case-study, with Mr. Johann Gomes as the intermediary between the PDI and the Municipality of Zaanstad, and the Municipality of Mbale.

Case study Mbale MMC; At the start of the case-study it was agreed upon that there would be made available a counterpart for the researcher, assistant Town Clerk mr.A. Muntanje. And a counterpart team, consisting of the counterpart plus Town-Engineer and Town-Treasurer for regular group discussions. The Town-Clerk mr. A. Iga, as program coordinator for MMC would be involved through regular briefings and meetings. Many participants from the different sectors contributed to the case-study.

5.6 Relevance
The relevance for the different parties involved is:

(i) Scientific contribution;
For the University of Technology Eindhoven and PDI-University of Amsterdam:
- increase in specific knowledge; and a developed, tested and adjusted tool.
For the Municipality of Zaanstad;
- an inventorization for a future cooperation program with Mbale Municipal Council.
For Mbale Municipal Council in particular and secondary towns (Uganda/East Africa) in general:
- an urban management tool; and an urban management recommendations.

(ii) Social contribution;
For Mbale and other secondary towns:
- in the long run improved socio-economic development conditions for the non-public sectors, and therefore for the towns, its economy and its population.

5.7 Connection with previous research
This report is based on knowledge and experience acquired in previous research executed by other researchers. The research-theory is composed after a literature study on existing theories/researches on urban management. The urban management tool is partly abstracted from existing urban management methods.

6 RESULTS
The result of the research is a report:
Part I - describing the research;
Part II - discussing the general urban management literature study;
Part III - describing the elaborated to be tested tool;
Part IV - giving a short resume of the case-study;
Part V - giving general and specific recommendations and discussing the developed TOOL.

Specific results for Mbale are:
- 11 Interim - and 1 Final Reports on the results of the case study;
- an urban management tool;
- recommendations on: (a) urban management in general; (b) physical planning; (c) requested concept revised structure plan; (d) shelter policy; (e) Land allocation systems; and
- a proposal for an action program for the cooperation between the municipalities of Zaanstad and Mbale.
7 STRUCTURE RESEARCH/REPORT
The research and case-study can be symbolized by figures 1+2:

- The RESEARCH starts from a general literature study then develops a more specific theory which will be made operational in a tool, which will be tested in a specific case. Based on the results of the case-study first specific then general recommendations are made.
- The CASE-STUDY starts from a small base, after that diverges the information by involving as much as possible persons in the inventorization and analysis phase. Then starting to make choices and setting priorities in order to narrow down to an action program that can be executed.

The research/report consists of five parts (see also figure 3):

PART I GENERAL INTRODUCTION RESEARCH
Describes after an introduction (chapter 1) on urban development and - management the problem statement, central and specific research questions, objectives, results and method of the research.(chapter 2-7)

PART II URBAN MANAGEMENT literature study and research-theory
Chapter 8 describes the theory orientation related to the problem statement and objective, supported by literature. Chapter 9 discusses the conclusions seen throughout literature, in the light of the theory criteria.
Chapter 10 discusses the solutions, recommendations, theories and methods seen by different researchers and agencies. Chapter 11 describes the theory developed by the author after the literature study, illustrated by some figures reflecting the characteristics of the theory.

PART III TOOL DEVELOPMENT
Chapter 12 gives a description of the developed urban management tool, illustrated by schemes of the tool. Chapter 13 gives a short description of all the tool elements (as executed during the case-study).

PART IV TOOL TEST = tool applied to Mbale, a case study
Chapter 14 presents a short description of Mbale. Chapter 15 contains abstracts of results of the case-study elements executed as executed in Mbale on both the outcome of the elements and the functioning of the tool. Chapter 16 draws up the main conclusions from the case study.

PART V EVALUATION, RECOMMENDATIONS plus improved TOOL
Chapter 17 reflects the authors evaluation of the tested tool and discusses the points that need improvements. Chapter 18 gives: (i) the specific recommendations for urban management, physical planning, shelter policy and land allocation systems for Mbale; (ii) general recommendations for secondary towns in the region; and (iii) the improved urban management tool plus tool conditions.

APPENDICES
Because the amount of information and material collected was too much to be put in one report, part of the supporting relevant information was placed in appendices: (a) general reflections author; (b) set up Tool elements; analysis Session and Shelter Survey; (c) background information; (d) crude results; and (e) background to recommendations.

For more information see the case-study Interim Reports which are available for consultation with the author and at the Town-Clerks office of MMC.
PART II

URBAN MANAGEMENT- literature study and theory development

CONTENTS:
8 Theory orientation
9 Literature discussion - conclusions
10 Literature discussion - solutions and recommendation
11 Research theory - theoretical tool concept
PART II URBAN MANAGEMENT literature study and theory development

Chapter 8 will give a theory orientation, leading to criteria used in the literature discussion in chapter 9+10. Chapter 9 will discuss the major literature conclusions, and chapter 10 the most important literature solutions and recommendations. Paragraph 10.1 gives special attention to methods and theories that influenced the theory and tool development. The literature study concentrated on urban management, with special focus on Africa and secondary towns. Also attention is given to: (a) Physical Planning because this is seen and key-element in urban management; and the aspects of (b) Land Allocation and (c) Shelter because these aspects were studied supplementary during the case-study. In Chapter 11 a theory will be developed on which the tool will be based.

8 THEORY ORIENTATION

The present role of local governments, together with her frameworks and workmethods are seen, throughout literature as the main reason for the urban problems, this next to the fast urban changes. Therefore a call is made for a reformulation of the role, frameworks, and methods. Other recommended issues are: decentralization, capacity building, privatization, self-help, participation, partnership, commercialization etc. Most recommendations call for a so called "enabling policy".

discussion
The central research question is how to define the new role of local governments of secondary towns?

I agree that the present role of local governments is restrictive rather than enabling the urban development, and that therefore there is a need for reform; the literature recommendations in this direction are various:
- 'Coordinating and enabling rather then controlling and regulating';
- 'Coordination of initiatives instead of initiation of projects';
- 'Development condition creation rather then project realization'.

Development, in my vision, comes from the people and not from the government. Government/governance is a result of socio-economic development and not a cause of development. The principles of self-help and commercialization are important, thereby making use of the potentials of the community - and private sector in the urban management process. But under the present economic conditions the poor(est) in society may become the drop-outs of a free-market system, and therefore need special attention. The advocated equity could be achieved through a legalization and control task of the local government. So enabling the non-public sectors and concentrating on core-tasks?; 'Yes, but not leaving everything to a free-market, in order to protect the public interest and vulnerable groups.

Apart from the limited non-public sector participation at present in urban management execution, there is even less participation in the decision making and planning. Most public sectors still operate rather authoritarian. For both aspects a new role automatically includes both political and administrative reform.

The political and administrative structures that need to be reformed for the new role, are in most cases colonial heritages. This is also the case with the legal, regulatory and institutional frameworks and with the linked workmethods, therefore these are also inappropriate to the present local situation. Mainly because of above reasons present local governments can not manage the fast urban changes.

summarizing the orientation
To my opinion the present urban management:
- acts too slow and too static on current rapid changes;
- is too unrealistic taken in consideration the capacity of the public sector and other development actors;
- too inappropriate for the present circumstances;
- too much public sector oriented, leaving out (largely) the private and community sector, without real inter-sectoral communication, participation or partnership.
theory criteria

The theory and therefore the tool should at least respect the following main criteria (see also chapter 9+10), in order to improve upon the above mentioned shortcomings of the present urban management:

- (a) new role, making use of the potentials of the private and community sector, enabling their initiatives and coordinating their actions, BUT with special attention to;
- (b) equity, recognizing the weak position of the vulnerable groups in a free-market society, therefore there is a need for targeted attention;
- (c) appropriate to the specific local circumstances;
- (d) participatory, in all phases of the urban management process in order to facilitate the involvement of the non-public sectors;
- (e) realistic, for the specific socio-economic capacity of the public and non-public sectors;
- (f) rapid, strategic and flexible, in order react, anticipate and adapt to the fast urban changes.

9-LITERATURE DISCUSSION conclusions

This chapter reports on relevant conclusions from the literature study, related to the theory criteria.

New role

The traditional role of the local governments and central governments in (east) Africa, as in many other developing countries, was inherited from the colonial period. In the case of east Africa this means that government is politically operating through councils, with administrative support from the municipal and ministerial departments and parastatals. This public sector played and still plays a dominant role in urban management and is highly centralized. Officially this public sector has many tasks in planning, land allocation, infrastructures, services and shelter etc. and should also promote the economic development of the town. Not only in the execution of the urban management tasks, but also in the decision making and planning the non-public sectors play a limited role, there is little participation.

So far most local governments have played an initiating role in urban development, with little or no space for private or community sector initiatives. If these initiatives were there then they are highly controlled and regulated and thus restricted by regulations, laws and bureaucracy. Although most (local) governments have extensive personnel, they still have relatively little capacity and therefore do not perform the tasks they officially ought to, leaving most of town and population unserved, for example without legal titles, basic services and infrastructures, and shelter. Therefore large parts of the population turn to the informal market for 'urban survival' (Stren 89).

The limited capacity is not the only reason why local governments cannot manage the fast urban changes, resulting in constraints on private and community sector development, creating the in the introduction mentioned urban problems. Other reasons mentioned throughout literature are the local governments frameworks and workmethods, and the motivation of people within the public sector.

Or as Davey UMP 11 (93) puts it; 'The effectiveness of urban government also depends on the skills and motivation of its policymakers and the staff to serve them.'

Appropriate

The inherited inappropriate frameworks and workmethods are a major constraint on the development of the non-public sector, because the level of the regulation and procedures are so high that they prevent access to for example land, property titles, services. According to the World Bank (91) 'The heavy costs of inappropriate urban regulatory policies, affect the productivity activities and hinder the speed and efficiency of investments.' Like the role and the institutional frameworks, these legal and regulatory frameworks are also inherited/alien and therefore in most cases inappropriate and unrealistic, according to UNCHS(91); 'one of the reasons for poor urban management performance in sub-saharan Africa is the failure to reconcile cultural models derives from African tradition with models of rational and bureaucratic efficiency inherited from the West'. Despite the many political, socio-economic and demographic changes since independence most of the frameworks have not changed.

As a result of all this the performance of local governments is seen as unsatisfactory.
Or as the World Bank (91) formulates it; 'The legacy of government effort, based on assessments in many countries, is unsatisfactory. Institutions are weak, resources are scarce, and technical capacity inadequate. Those services provided by government -shelter, transport, water supply, and electric power- have tended to benefit a privileged minority rather then serve the majority'. This last point underlines the problem of inequity, most project efforts in the past and the present functioning of local governments tend to benefit the higher social classes and exclude the poor(est).

This dualization of the society between the people who have access to the official economic main stream and the people who are excluded is not, according to Pronk (94), only taking place in the developing countries but worldwide. In the developing countries most people do not have access to the formal urban economy because of the inappropriate frameworks and the dominant/controlling role of the local government. Also in the west a lot of people ‘drop-out’ of the formal system. Here the public sector withdraws from a more and more market-oriented society, while in this more competitive and commercial society many vulnerable groups and individuals also have little access because they cannot compete. In a more deregulated and privatized urban society/economy in developing countries the risk of inequity, ‘drop-outs’ is even higher.

Underdevelopment is basically a problem of poverty. Income is the top-priority for people in order to combat other problems of for example housing, social services etc. Development comes from the people, and therefore income-generation is mainly done in the (in)formal private sector. This private sector productivity is in many ways constrained by the functioning of the local governments. The World Bank (91) concludes that the ‘Key-constraints such as: (a) infrastructure deficiencies; (b) the regulatory framework, governing urban markets for land and housing; (c) weak municipal institutions; and (d) inadequate financial services for urban development, all limit the productivity of firms and households in producing goods and services.’

One of the most obvious effects of lack of urban development and urban poverty is the environmental degradation, which in most cases affects the poor(est) the most, through degradation of their living environment. Bernstein UMP 12 (94); sees ‘6 key factors account for the environmental problems like resource degradation, occupation of hazard prone areas and excessive urban sprawl’:

(1) inappropriate regulation is the most important factor;
(2) lack of tenure security;
‘one of the major implications of the poor titling and land registration systems is the inability of landowners to gain access to formal credit sources.’
‘further without secure tenure residents have little incentive to maintain dwellings or invest in improvements, thereby increasing the environmental vulnerability of the area.’

(3) inadequate infrastructure capacity;
(4) inadequate information;
(5) inappropriate pricing and taxation;
‘this leads to speculation’
(6) weak institutions and poorly coordinated actors in the land market,
‘lack of private sector and community involvement’.

Most of these factors are related to the role and inadequate functioning of the local government. By legalization, and speculation- and market monopoly control through its legal framework the local governments has a potential tool to promote equity. In the legalization task the local government will remain playing an important role in urban management because it holds the monopoly on law.

Rapid, Strategic and Flexible
Most present urban management approaches focus either through master planning on the very long term, or through maintenance merely look at the functioning of the present situation. Especially in the field of (land-use) planning and land allocation it is obvious that present approaches in urban management are too slow, too conservative and too static. Because of the monopoly on law the public sector plays in crucial role in both planning and land allocation. Therefore these two points were embodied in the research and case-study and also in the literature study.
(a) Physical Planning
In physical planning the dominant/authoritarian role of the public sector is most obvious, especially for secondary towns. The plans are usually made at central government level by a small group of technocrats, with little or no participation or consultation of the local population. The plans reflect an out-dated western-styled planning approach that is too much, and too statically focused on the long term, and are not socio-economic realistic.
The following three references illustrate this point:
- Bangikwa (89) argues that the western style urban planning is a failure, because ‘master-plans are formulated in such a way that they quickly become pregnant with implementation constraints and call for their revision frequently enough to keep the consultants in business’;
- Ramachandran (92); ‘The fast changes makes maps already out-dated on the date of issue; master plans have long become blueprints of a future that has no relationship to reality’;
- Dowall UMP 7 (91); ‘Master plans are too static, too detailed, take too long to make, and are too expensive etc. But most importantly they do not take in consideration the actual economic demands for space - they ignore the capacity of households and businesses to pay for land and properties.’

(b) Land
Legal land-property security is seen as the precondition for private investments in both shelter and economic, income generating activities. Legal titles can only be obtained through the public sector. In most developing countries the land market is so tightly controlled and regulated by the public sector that only few have access to legal land. This because of bureaucracy, unaffordability of regulations, and the corruption involved.

According to Farvacque, McAuslan UMP 5 (92); are the ‘Non performing land markets plagued with a number of problems’:
- overcentralization of management and administration (role);
- inappropriate overdetailed and inflexible regulatory and legal frameworks;
- lack or inappropriate use of resources and political will to tackle problems;
- administrative systems lacking in efficiency, equity, accountability and probity;
- failure or reluctance to encourage participation from the urban poor.
In this list many of the initial theory-criteria of the author are reoccur. Out of this list the also to my opinion important aspect of the lacking political and administrative will to perform, comes clearly forward.

A very adequate summary is done by Dowall UMP 7 (91) of the present the land allocation situation in many developing countries; ‘Formal land allocation systems are often out-dated, inappropriate. In addition, the costs of registration and related procedures, including staff time, transfer taxes, stamp duties and unofficial payments, may breed a cynical attitude in the community about the supposed benefits of using the formal process.’ This clearly illustrates the case that many people because of the malfunctioning of the public sector are excluded from this important part of the formal urban/economic system.

(c) Shelter
Shelter is a basic human need. In past many government and IDC project have tried to supply the population with adequate housing. But most projects like ‘low-cost housing’ and even ‘Sites and Services’ proved only to be affordable by the higher income groups, and therefore forced the original target groups out. Thus replacing the problems (squatter and slum areas) to other locations. Also the often promoted ‘Self-Help’ and ‘Upgrading’ approaches are severely constraint by the inappropriate role and frameworks of the public sector.

According to Erkelens (91) there are several ‘preconditioning factors’ affecting the ‘Yes/No decision to engage in construction’: (a) low-income situation; (b) infrastructures; (c) legalization; (d) credit facilities; (e) building codes. And Acioly (92) sees in this context a number of inter-related barriers: (a) absence urban policy; (b) no legal reference, which ‘does not help to change the dubious and segregative attitude of the municipality concerning low-standard construction and legalization of plots’; (c) the exiting inherited colonial regulations; and (d) lack of financial institutions.
CONCLUDING one can say that local governments' performance is seen as restrictive rather than enabling. Internationally there is a discussion going on about the role of the local government, both in politics and administration. According UNCHS (91) 'All over the world, there seems to be a quest for more sensitive, humane and community-oriented approaches to local development/management. This represents a swing away from excessive bureaucratic handling local issues. Thus a search for administrative (rm; and Political) patterns rooted in African tradition would not be an isolated process or necessarily a turning back of the clock of civilization, but a reflection of a world wide trend'.

In an interview Gomes stated that also Zaanstad is presently reorganizing the Municipality, involving more the population; "closing the gap between politicians and population" and "to operate more Customer- Constituent oriented", with more population participation in politics and management.

But these changes and reforms depend largely on the will of the people within the public sector, whether this will is present is doubted. For example according to Dillinger UMP 16 (93) is 'The decentralization now occurring is not a carefully designed sequence of reforms aimed at improving the efficiency of the public service delivery; it appears to be reluctant and disorderly series of concessions by central governments to maintain political stability.'

Reform and change are necessary, which brings us to the recommendations optioned for solving the urban problems and improving the performance of local governments in developing countries.

10-LITERATURE DISCUSSION solutions and recommendations
As chapter 9 reported on the literature conclusions on the causes of the urban problems, this chapter reports on the main solutions and recommendations from the literature study, related to the theory criteria.

New role
Most recommendations found in literature follow the main principles of the so called 'Enabling Policy', advocated by World Bank, UNCHS and UNDP. Within this enabling approach the local governments should play a 'development condition creating' role. The local government should enable the private and community sector to come to 'self-development'. It should not execute projects but enable the other sectors to take their initiatives and coordinate these initiatives. The public sector should concentrate on so called essential core tasks, and manage those in a business style way, it should leave most of its traditional tasks to the private and community sector who can supply services more efficiently. Or as the World Bank (91) formulates it;

'To increase urban productivity, legal and regulatory constraints have to be reduced, this will require sustained policy reform and increased efforts to strengthen urban institutions. It will involve a shift in the Role of government from direct providers of urban services and infrastructures to "enablers", creating a regulatory and financial framework in which private enterprises, households, and community groups can play an increasing role in meeting their own needs. It will also require some measures of decentralization to municipalities, with adequate safeguards to ensure accountability'.

About the specific role of the local government in urban management the opinions between the political/ideological 'right' and 'left' wing differ:
- The right calls for commercialization, privatization, free-market and 'self-help' for the poor;
- The left recognizes the weak and constraining position of the local government but still sees a more regulating task for the local government, this next to an essential role for the population itself plus the CBO/NGO's. The 'left' calls for a limited state interference, because they fear that the poor within society will be the 'drop-outs' of a market system.

Or as Davey UMP 11 (93) formulates the discussion: 'Urban management is concerned with the policies, plans, programs and practices that seek to ensure that population growth is matched by access to basic infrastructures, shelter, and employment. While such access will depend as much, if not more, on private initiatives and enterprise, these are critically affected by public sector policies and functions that only government can perform.'
Clearly the private and community sector can operate more effectively, but the public sector through legalization will remain playing, also in a more market oriented society, a crucial role. Especially in protection of individual rights and public interest.

**Equity**

Limited public sector interference in order to protect the rights and position of the most vulnerable groups in society is essential, to promote the principle of equity. This is done through accessibility of the formal systems and control over the markets in order to avoid monopoly and cartel forming. The World Bank recognizes the weak position of the poor, they recommend next to reducing constraints; *'an increasing the contribution (participation) of the poor, with a targeted safety-net for the most vulnerable groups.'*

**Appropriate**

Thung (93) calls for special attention to the cultural aspects of the management of development processes. Solutions for making urban management more locally appropriate are decentralization and for example the participation of traditional institutions and CBO's. An UNCHS (91) research on traditional institutions in the political and administrative urban structures of secondary towns in sub saharan Africa; *'suggests that indigenous patterns of management are very much alive in secondary cities and advantage should be taken of them. The case-studies have shown the importance of the traditional "informal" institutions and community (based) organizations in catering the needs of the urban residents.'* A call is made to ‘enable’ those institutions to participate.

Decentralization is promoted in order to bring the political governance and administration closer to the people and thereby facilitating more participation. And for giving the secondary towns more autonomy in relation to the national government. In this context Dillinger UMP 16 (93) suggests that *'there are 3 elements to reform in the structure of urban government':*

1. the clarification of functional responsibilities between different levels of government;
2. the authorization of revenue sources corresponding to functional responsibilities;
3. the institution of a system of accountability that encompasses both regulation by central government and incentives for responsiveness to local constituents.

*‘How much a system of urban service delivery should rely on accountability upward to central government- through regulation - or downward to constituents -through political participation- is not an issue that lends itself to universal prescription. Neither extreme is advisable.’*

These elements of reform and accountability lead to the often advocated principles of ‘good governance’: accountability, efficiency, transparency and I would like to add representative. But much of the results of these reforms in role and structures depends on the willingness of the people within the public sector on all levels, as stated by Olowu.

**10.1 Approaches that influenced the research theory and tool**

This paragraph reviews a number of methods and visions which are of importance for the development of the research theory and tool, they fulfil more or less the theory criteria from chapter 8;

(A) Role -"Enabling Policy"
(B) Tool -"Strategic Urban Management"
   -"Action Planning"
   -"UMP Rapid Urban (environmental) Assessment"
(C) Planning -"Cellstructures"
(D) Land -"UMP Land Allocation"
(E) Shelter -"Housing Indicator Survey"

UNCHS, UNDP and the World Bank have in the recent past come up with several (joint) research programs and policy recommendations that have strongly influenced the approaches worldwide in urban development and urban management, the following are discussed: (i) Enabling Policy; (ii) UMP= Urban Management Program; and (iii) Housing Indicators Program.
(A) Role : "Enabling policy"

The "Enabling policy" is already briefly discussed in the beginning of chapter 10. This policy recommends a more market oriented approach with less government regulation. The World Bank (91) summarizes the enabling policy as; 'By the mid-80's the experiences of donor assisted projects has led to shifts in approaches. The central premise of these shifts was the recognition that governments were unable to provide the shelter, infrastructure and services needed by rapidly growing urban populations. Instead, a more realistic assessment of the capacities of the public sector had led to the conclusion that greater efforts had to be devoted to: (a) improving the management of urban institutions, and a reduced public role in urban service delivery; (b) improving resource mobilization; (c) management strengthening of urban infrastructures; and (d) strengthening financial services for urban development; and (e) establishing enabling frameworks.'

This indicates the shortcomings of government experience. In the past both governments and donors have given little attention to the important role of the households, communities, and firms in providing for their own needs. According to the WB there is a need for a new urban policy framework that is truly Enabling for non-public actors and realistic in appreciating the roles and importance of the public and private sectors.

Also the municipality of Zaanstad is following an 'enabling policy'; with concentration on core tasks, reorganization, population participation, privatization, business management, deregulation, economic development unit, strategic planning and management, etc.

The advocated enabling approach requires 3 changes (UNCHS (91)); (1) broadening the range of actors involved in urban development/management; (2) deepening the degrees of responsiveness and participation; and (3) effective coordination of the different actors involved. Specifically advocated is the participation of traditional and community-based organization in urban management; 'empowerment of local communities'.

But UNCHS also stresses not to ignore recent criticism towards Self-help and Enabling approach, the two most critical limitations are:
- it might result in perpetuation of the operational inefficiencies of the formal local government;
- the risk of pushing the poor further in to poverty, by asking them to 'shoulder the burden of providing their own services'.

conclusions for the theory

It is clear that a change in role and a reform of (local) government is essential. That there is a need for more private and community sector participation in the urban development process. That these sectors are more capable of supplying the market with employment, products and services. In order to enable this participation the present colonial frameworks need to be made appropriate. But with a local government concentrating on core tasks and a more commercial/market system, there is the risk of a dualization of the society and harming of the public interest. Therefore within the core tasks as legalization, planning and land allocation I think that there should be special attention for the vulnerable groups and public interest.

(B) Tool : 3 methods

The objective of the research is to develop a tool that would enable the urban manager/planner to play that new role. The following three existing methods contributed to the tool development

(B.1) "Strategic Urban Management SUM"

SUM is developed by PDM-international of the University of Technology Delft, and originated in business management. Dijk, Hol etc (92); 'It is known that the rapid demographic, economic and social changes lead to uncertainty and lack of predictability, it could be stated that there is a lack of capacity to deal with these rapid and dynamic developments.'

SUM claims to be an Rapid and Flexible approach that could augment that capacity. Characteristic for SUM is the continuous process of acquisition of information, processing and analyzing of data, communication, strategy determination and adjustments. A permanent surveillance system is essential for the application of SUM, once the business objectives have been formulated on the basis of the internal and external information. This results in a Strategic Urban Management Plan, which is not a static blueprint for the future, but more a business plan for the city. SUMP does neither follow a top-down or bottom-up approach.
It is a method that requires communication from top-down to bottom-up and vice versa. (see scheme i for the SUM process cycle and scheme ii for the preparation of a SUMP).

![Scheme I: SUM Process Cycle](image1)

![Scheme II: Preparation of a SUMP](image2)

Actions are determined in a continuous and cyclic process of information gathering and structured communication, in groups from all levels and all sectors of the urban society. First information, analysis and ideas are generated, based on which solutions are being developed that will be screened on economical, financial and organizational feasibility.

Strategic Urban Management has as ultimate objectives:
- improving the living environment in the city
- stimulating the socio-economic development of the city and its population
This should be achieved through daily and strategic management, on neighborhood and city level:
- Short Term Priority Projects = 'social action'
- Mid Term Priority Projects = 'technical action'
- Strategic Projects = 'spatial action'

(B.2) "Action Planning"
This method is developed and advocated by IHS - Institute for Housing and urban development Studies Rotterdam Holland, and was developed because; according to Baross (91):

'Analytical planning embodied in the Master Plan, lacks the scope for dynamic adjustments, flexibility, constituency acceptance and results in either long delays in implementation or in unimplementable projects'.

Action Planning should avoid the above mentioned shortcomings through integration and participation. Action Planning works both on micro and strategic level and claims to be: - action oriented; - shortening the planning cycle; - planning with economic realities (actions should be fundable, affordable, sustainable (rm; refundable); - institutional capacity strengthening; - planning with political and popular support; - flexible; - cyclic; - a learning process.
The Action planning method is also a cyclic process of group analysis and discussion; (- see scheme iii -)
1 identify problems
2 set and analysis objectives
3 force-field analysis
4 develop options
5 analyze impact/prioritize
6 choose/decide
7 plan action
8 communicate, get support
9 implement
10 operate and maintain
11 monitor and evaluate

(B.3) "UMP Rapid Urban (environmental) Assessment"
This assessment method was developed as part of the Urban Management Program UMP. In this case I have put environmental between brackets because I think the main principles of the method are also applicable to general Rapid Urban Assessment. The method was developed because according to Leitmann UMP 14 + 15 (93);

'There is the need for (environmental) action on local level, but there is little information available for building public commitment, planning and decision making. One solution for resolving this contradiction is to apply a rapid urban assessment methodology, which is low-cost, rapid, locally managed and participatory; it is also the possible starting point for planning and management.'

There is a need for an informed action oriented process that is multi-sectoral, because public opinion and professional priorities may differ; 'a combined approach offers improvement potentials'.

A three step process was developed:
(1) an Urban Environmental Data Questionnaire; to measure a consistent set of data (cross-sectoral).
(2) an Urban Environmental Profile; to analyze the nature, trends and factors that influence the environmental quality in cities
(3) a framework of a Consultation Process; to initiate a public dialogue on environmental priorities and options as well as to validate the results of the questionnaire and profile through public discussion.

Rapid assessment is seen as the first step in a strategic approach to urban (environmental) planning and management. The technique helps to clarify issues, involve key actors, identify priorities and build political commitment. The subsequent steps in the strategic approach are: (a) environmental management strategy; (b) issue oriented action plan; and (c) consolidation phase. The overall process is made routine and monitoring and evaluation procedures are put in place.

The claimed advantages of rapid assessment are that it; (a) is indeed rapid; (b) costs relatively little to use; (c) centralizes diverse information; and (d) benefits from local knowledge, access to, and discussion of information'. The limitations are: (a) it gives guidance to what might be priority problems but does not indicate possible solutions; (b) it is confined to secondary data; (c) its results are not always comparable for different cities - cross-urban analysis. The first drawback can be overcome when the methodology is linked to a strategic approach for urban environmental management, the second by linkage to research programs.
In short Rapid Assessment is collecting data (inventorization, data bank), profiling conditions, interactions and institutions (profile, analysis) and involving stakeholders (participatory communication, creation of political and popular support and commitment). The method was developed in the spirit of Chambers-Rapid Rural Appraisal-(80), according to him; "The key to successful Rapid Appraisal (assessment) is not avoiding superficiality and error but controlling them, trying to achieve cost effectiveness through optimal ignorance and proportionate accuracy."

Also UMP recommends that strategies should focus on the poor and be guided by the economic realities. And claims that 'enhanced public awareness, consultation, and participation can improve management.'

- conclusions for the theory and tool
In order to comply with the criteria: rapid and flexible, the process of assessment, information gathering and planning (therefore of urban management) must be structured, and made continuous and cyclic. And to make use of the potentials of the non-public sectors, they must be involved as much as possible in all steps of the process, making the process multi-sectoral, participatory, multi-disciplinary, and integrated. This will contribute to the quality of the information gathering and analysis and to the commitment towards the decision making and planning. To avoid the dualization of society all sectors on all levels should be involved in the urban management process, working both on city-economic level and neighborhood-socio-economic level. In urban management there should be a balance between operating present structures and static long-term master-planning; there is a need for an approach that is both strategic and action oriented. But is at the same time economic realistic.

Clearly next to these rapid methods there is also the need for indepth information to avoid the short-comings of the methods.

Questions marks towards these rapid (group work) assessment methods:
- Does this structured (group) process work within the specific African cultural, political context?
- Whether realistic action planning is an other form of the 'trickle-down approach', the urban economy will improve but if the poor will profit is doubted because for them economically, hardly anything is possible?

(C) Physical Planning: "Cell/-Existing structures"
Physical planning as one of the core-tasks of the public sector have (long) reflected its traditional authoritarian and initiating role. The following planning visions reflect a possible new approach, respecting more the existing structures.

Prof Bolt of ITC Enschede Holland sees the existing Cellstructures in a spontaneously developed urban texture as the starting point for future planning that is more respective and adaptive to the local circumstances. According to Bolt most human settlements are a complex of cells (geographical units), on a human scale, with the market as its center and the existing paths/roads as 'lifelines'. The cells have a radius of 1 kilometer within the Cell a miniaturization of society occurs. Bolt (91); 'The identification of human scale, market centered areas is much assisted by aerial photographs, these photographs show the star shaped net-works of footpaths leading to the daily (informal, under-serviced) markets. For most (urban)people in developing countries, the reality of the world is the reality within the market catchment area.'

These Cell-structures could well be the base of the new urban structure. For the determination of existing structures and monitoring of changes he advocates the use of remote sensing and aerial survey for follow-up.

Other theories that promote to 'respect the existing structures' within an urban area and society are:
- UNCHS (91); 'Recognition by giving the non-formal (traditional and CBO) institutions a structural position, eg by representation within formal committees. And where possible to make traditional authority, or community, boundaries coincide with council's electoral ward boundaries, as well as to encourage traditional leaders to stand for elections'.

So here not only recognizing and respecting the physical existing structures, but also the Human/social traditional structures and involving these in the political and administrative management of settlements.
- Westrik promotes a 'Contra Form' approach; it starts with an inventarization, analysis and appreciation of an area. Then areas are selected whose destination might be changed in this planning phase. Followed by the determination of the spatial capacity of these areas before making a spatial program.
- Gantner speaks of 'natural and man-made landscape dominants' that determine the human settlement behavior. The networks dominants should be the basis for the determination of future urban lay-outs.

- DHV stresses the need for spreading and differentiation of centers within the (rural) region, this in the spirit of Friedmann's economical spreading 'theory'. Thereby respecting and strengthening the existing socio-economic urban-rural ties.

\[ \text{The fostering of industrial development in intermediate cities and rural centers and linking such a program with economic activities in the surrounding rural area by promoting trade etc, is probably the best way to bring the benefits of modern industrialization to the rural areas and to ensure a functional organization in developing countries.'} \]

(For more information and figures see Appendix 8)

**- Conclusions for the theory and tool**

Two major aspects came forward: (i) respecting the existing structures; physical, social/traditional, economic, ecological etc, in order to achieve a physical planning that is more appropriate and respective to the local circumstances. The starting point for this approach should be a careful analysis of the existing situation and a determination of future potentials in cooperation with the existing population; (ii) the importance of seeing the (secondary) town in its regional/rural context, and integrating the urban and rural development in a regional interlinked approach.

Ad D and E; Land Allocation and Shelter are discussed here additionally, because these were researched during the case-study together with the field test of the tool.

(D) **Land Allocation: Urban Management Program - Land**

Because land is considered a crucial element in the urban development process many of the following recommendations also apply to urban management in general. The Land Allocation recommendations by the UMP follow the principles of the 'enabling' policy; according to Farvacque, McAuslan UMP 5 (92);

\[ \text{A move towards greater reliance on markets for land delivery and development is expected to benefit the general population by making it easier for them to obtain and develop land, but it may disadvantage those in political and administrative control hierarchies for whom existing secretive and inefficient administrative discretionary systems provide opportunities for illicit private gain and political influence. Bringing about more accountable and participatory governance cannot be divorced from reforms in political and administrative processes.'} \]

This clearly indicates the political sensitivity of Reform in general and land reform in particular. Because reform might go against the short term personal interest of the people in political and administrative control. Especially land is often manipulated by the elite for speculation and corruption reasons.

The basic objective of reform (according to UMP) are that institutions and instruments should be based on the principles of; equity, efficiency, flexibility, and participation. With as an overall aim the facilitation of increased access by all citizens, especially the urban poor, to affordable and appropriately allocated land with adequate security of title and occupation and adequate development rights, e.g. rights to use land for a wide variety of purposes, restricted only by essential environmental, public health and public safety regulations.

'Mixed Land Use' as promoted by Earle (93) for Kamapala.

Most important approaches argue for; (a) flexible consumer oriented systems of land management; (b) commitment to transparency, probity, equity and value for money in administrative processes - 'This cannot be divorced from the wider issues of governance now on the agenda of many states and the international donor community (participation and decentralization in government, transparency and accountability in administration, an enabling rather than controlling function for the public sector are integral parts of this new agenda' - ; and (c) acceptance and continued involvement of traditional authorities in land management.

According to Bernstein UMP 12 (94); 'There is a need for integrated Land Management strategy, with a balance between public and private sector actions', including: appropriate regulations; flexible development standards; and minimum administrative requirements.
Also the need for a strategic approach is argued for; planners and policy makers in each should evaluate their local land-use related problems - and through an extensive participatory planning process - negotiate priorities and formulate locally appropriate strategies, policies and investments, taking in to account the interests of a wide range of public and private actors in the land market and the costs and the benefits of each approach to both public and private sectors. Therefore each city will need to build up its capabilities in formulation as well as assessing alternative management approaches, establishing clear institutional arrangements, encouraging public participation in the planning and decision making process, and building broad-based support. This reflects the characteristics of the methods described above (B).

- conclusions for the theory and tool
These specific recommendations reconfirm the need for more private and community (traditional) sector involvement in management in new participatory strategic rapid approach. And stresses the need for more accessible institutions, realistic regulations, more just legal (property) system.
But at the same time underlines the sensitivity of the for these recommendations needed essential reforms.

(E) Shelter :"Housing Indicators Program"
The Housing Indicators Program is a world wide program researching the housing markets performance. HIP (92); The strongest negative influences on the housing market are: high growth rate; overregulation; inappropriate standards; unaccessible (financial)institutions; monopoly and cartel formation on the 'supply-side' of the market. For a vibrant private sector to function, the local governments most direct policy instrument is an enabling legal framework, which must guarantee: (1) clearly defined rights; (2) transfer ability; (3) transparent system of enforcement

Cohen (WB) states in an interview, called 'letting the market do its job', that one should see the whole housing sector as 1 market; and he calls for an enabling government. He names 7 policy instruments:
- on the demand-side of the market:
  (1) improved (land)property rights; (2) easy accessibility to credits; (3) targeted subsidies to the poor;
- on the supply-side of the market:
  (4) good infrastructure; (5) improved legal and regulatory framework;
  (6) promoting good functioning building industry.
And (7) an integrated approach between different actors/sectors.

Conradi, writer of the article, mentioned already the main criticism towards this new policy, that it looks again like 'the trickle down' approach, that the poor should eventually and indirectly profit from a improved market. If the poorest will profit at all is questionable.

In this context Erkelens (91) suggest to reduce the vulnerability of the poor(est) that; 'the role of the NGO's (and CBO's) should be recognized and strengthened in their support of the poor'.

- conclusions for the theory
It is clear that (local) governments cannot supply the population with adequate housing, this has to be done, as already is the (informal) case, through the private sector and self-help (community) management. And that present functioning of the local governments is constraining that market supply. But I doubt if this new promoted role of the government is realistic taking in consideration the capacity and political will of the local and national governments. And I also doubt if this market-competitive-system alone can supply the poor with the necessary security and services.

11 RESEARCH THEORY and theoretical concept tool
The central research question can be is can be further narrowed down to; (a) How can the 'new' role of local governments be defined? ; How can the local government 'enable' the non-public sectors ?; and (b) Can an Urban Management Tool be developed for this role ?
This tool will be based on the research-theory which is discussed in this chapter.
The first reflection for a theory on urban management should be; CAN we manage this rapid urban growth anyway? In this context Boelens(88) describes the discussion 'modern versus post modern philosophy' in urban design and - planning (i.e. management). The modern-movement claims the possible control of developments and the post-modern movement its impossibility because of the differentiation and individualization of society; and because 'the present is the absolute horizon of our knowledge'. Boelens sees the need and possibility for planning if a theoretical fusion is made between the approaches of Kleefmann and Buit with the communication theory of Habermas.

- Kleefmann describes a 'direction seeking/giving' task for the planner; designing and planning to the best of our current knowledge, with a 'trial-and-error' execution.
- Buit describes a 'guardian' or evaluation task, being a constant follow up of the developments evolving from planning.
- Habermas promotes the integration, or at least communication, of the disciplines of design-planning-policy (rm; + research), who where separated under the post modern movement.

'This' (theoretical fusion) Boelens argues 'should give back urban planning and design its central role in the discussion (and decision making) between technics, ethics and esthetics'.( and i.e. economics for urban management -rm-).

Theory
In the above mentioned 'fusion' of approaches, and more specifically in the COMMUNICATION aspect of it, contains, to my point of view, the essence of Urban Management. Communication is therefor considered the key-element of my research theory. The tool therefore will contain communicative aspects.

Communication in order to involve in the urban management process (from decision making, initiation, implementation and management), those actors and sectors most directly concerned in urban development. The non-public sector participation is needed in order to make use of the potentials, knowledge and capacity, there where the capacity of the local government is (very) limited. Through direct communication with and between the different sectors the trust towards each other and commitment towards the development process might grow. Eventually leading to cooperation and may-be even partnerships. Apart from the creation of commitment, through involvement all sectors (on all levels) in a participatory process, communication is also the first step in offering perspective to now restricted private initiatives.

Throughout literature the present role of local governments is seen as inadequate or even restrictive, a call is made for more participation of the non-public sectors in urban management. With a public sector that is merely enabling or coordinating non-public sector initiatives and creating development conditions for them.

Communication in this theory is seen as the core of a new urban management approach, stating that:
- in order to ENABLE the other sectors you first need to know what the development potentials, problems and constraints of the other sectors are;
- in order to COORDINATE actions and initiatives you need to know what those initiatives are;
- and in order to KNOW, you need to communicate with them, with COMMUNICATION being the first step in and most basic form of PARTICIPATION.

In this new urban management approach the role of the public sector/local government and thus of the urban planner/designer or manager will have to change from authoritarian decision maker/planner and initiator of projects to a communicative intermediary in a participatory decision making, planning and management process and the enabler/coordinator of non-public sector initiatives. The tool should give the 'urban manager' an instrument that would enable him/her to perform that new role.
Figure 4 symbolizes the new central, communicative, coordinating role of urban management/urban manager as the intermediary between all sectors.

Multi sectoral communication, in the spirit of Boelens' *fusion*:
- which is *direction seeking*;
- in order *to decide now to the best of the current knowledge*;
- leading to a flexible *trial-and-error* execution;
- in order to *evaluate* the approach, strategies and actions;

To answer the initial Questions CAN we manage the fast urban growth?
It is, in my opinion, not so much a question of being able, we just have to do something - to the best of our current knowledge - but be flexible. For coping with the fast changes and growing problems, we have to do it rapidly. And in order to: (a) avoid duplications of efforts; (b) reduce the chance on errors; (c) be more effective; and (d) have more popular and political commitment: we have to do it participatory (integrated, multi-disciplinary, multi-sectoral). The only thing we know for sure that if nothing is being done or changed, the immense problems of today will grow even bigger, in particular for the poor (the majority).

**The hypothesis of the theory**
is that cross-sectoral communication will lead to:
- more and better understanding of the development issues;
- bigger mutual (inter sectoral) commitment and trust;
- more public and political support;
- increased participation and partnership.

Communication as the key to rapid assessment and information gathering, being a starting point for participatory decision making, planning and management. Participation through communication, in this context is not just involving the population and private sector when money or man-power is lacking, but involving as much as possible all actors/sectors, on all levels in the whole urban management process; from initiation, formulation to execution and management of actions/projects. Involving the non-public sectors to take advantage of the knowledge, potentials and capacities of the people and organizations most involved, thus making the initiatives, actions and projects more effective and appropriate. Strategic communication to seek a balance between private actions and public sector actions (control/coordination).
Requirements for the tool

In part I the problem statement focussed on the inadequate role of the local government and thus of the expert (planner, manager) involved. In part II the literature study reconfirmed that this role, together with the directly linked frameworks and workmethods, is seen as the major reason, next to the fast urban changes, for the growing urban problems. Therefore the objective of the research is to develop a Tool that would enable the expert to play that new role and overcome the shortcomings of present urban management.

In chapter 8 after a theory orientation some criteria for the research were elaborated. Those criteria were reconfirmed by literature, in chapter 9 and 10. The criteria were:

- (a) new role;
- (c) appropriate;
- (e) realistic;
- (b) equity;
- (d) participatory;
- (f) rapid, strategic and flexible.

Ad a+b- Elaboration on the criteria Role and Equity:

- New role; in a quest for improving the performance of the local government, most literature sources call for change in role from executing and initiating to enabling and coordinating. The non-public sectors and the free-market forces are believed to more able and capable to perform effectively then the public sector. Therefore a call is made for more participation and more self-reliance.

Other general recommendations for a more market-oriented urban management are: privatization, deregulation, decentralization, commercialization etc. Some sources recognize the weak position of the vulnerable groups in a more market oriented system, and call for special attention for the poor(est); - Equity.

The role of the public sector should therefore be reformulated in a way that it

NOT ONLY:

- Enables the non-public sector to perform more effectively in a more market oriented/liberated system, in order to make use of the potentials and capacities of those who most directly involved, most committed and most capable to operate more effectively. The local government should concentrate on core-tasks while on the other hand in cooperation with the non-public sectors offer development incentives (services, infrastructures, institutions);

BUT ALSO:

- Coordinates the non-public sector initiatives, in order to safe-guard the public interest, e.g. preservation of open spaces, vulnerable eco-systems, and cultural heritage; AND

- Controls the system and the developments in order to ensure the principle of equity, to prevent that large groups in the urban society are marginalized because they can not compete in a more commercial-competitive system. Therefore the public sector needs to make the urban management process and related frameworks accessible and affordable so that also the poor(est) have access to for example land, essential services, institutional support (e.g.legal property security and credit)

Therefore more political participation and more political transparency and accountability must be achieved, therefore a political and administrative reform is essential for more participatory and 'Good' governance.

These three elements of the new role could be achieved through COMMUNICATION (as described above), this would change the role of the 'expert' from planner/designer to communication manager. In order to enable and structure this communication process the 'expert' needs a (new) Tool.

Chapter 10 discussed the literature recommendations and described some methods that influenced the theory development. Following are the major requirements for the Tool as a result of that literature study. These requirements and/or characteristics of the communicative tool are crucial in order to improve the performance and role of the local government and its 'experts'; and thereby urban management in general.

Apart from the criteria (as formulated in Chapter 8) these requirements or characteristics of the TOOL are:

- enabling, instead of constraining private initiatives;
- participatory, involving all sectors and much as possible all actors in the decision making, planning and management process; thereby making it
- integrated, multi-disciplinary and multi-sectoral
- rapid, strategic process of assessment and information gathering, with the process being:
- continuous, cyclic, in order to be flexible, through monitoring, evaluation and adjustments (being a learning-process and learning-organization);
- the quality of the rapid assessment method should be improved by making the process of information gathering, analysis, decision making, and planning routine, thereby making the process adaptive ongoing changes/developments, and corrective to unsuccessful actions or unrealistic decisions from the past.
- action oriented, with priority action determined that are realistic-fundable- affordable - sustainable - manageable - refundable -;
- integral, looking at all aspects of urban management (social, technical, institutional, environmental etc) and at all phase of the Urban management process (initiation, design, implementation, management, maintenance, evaluation etc);
- regional, looking at the town in its rural surroundings;
- differentiated, considering the large differences within an urban society in a developing country;
- respective, to all existing structures, physical, socio-economic, cultural/traditional;
- targeted, reaching the IDC target group (the poor(est)).

And off course as part of a 'Good Governance' the tool must be; (cost/time) efficient, accountable, accessible, acceptable, transparent and representative!

The key characterization of the TOOL would be:
a RAPID, STRATEGIC, CONTINUOUS, ACTION ORIENTED PROCESS of COMMUNICATION.

Theoretical model - Tool concept

Fig.5 shows the organizational concept of the tool. The urban manager is the coordinator of a multi-sectoral communication process, involving as much as possible all sectors/actors on all levels. Preferably this 'urban manager' should operate as a multi-disciplinary/sectoral unit on town level, with units on neighborhood level for improved population participation.

![fig.5 organizational concept](image)

![fig.6 theoretical tool concept](image)
Figure 6 shows the theoretical concept of the Urban Management TOOL based on communication: A rapid, strategic, continuous, cyclic, action oriented process, consisting of three main parts:

I. Communication
II. Physical Planning
III. Indepth Studies

Organization of a local government is the starting point for this Tool.

I. Communication as the core of the Tool for:
   - inventorization and analysis
   - decision making and planning
   - consultation, getting popular and political support

Implementation of actions is the aim of the Tool. Monitoring and Evaluation are given the Tool its follow-up and flexibility.

To the communication process two supporting elements are attached:
II. Physical planning, for visualizing the communication cycle and information gathering process;
III. Indepth Studies, for supporting the rapid information gathering and assessment with indepth information and data.

Physical planning is seen as an important key-element in Urban Management because of its importance for the development of a town (in direct relationship with land property security) and because local governments through their monopoly on law play a crucial role in physical planning.

Studies are seen as an essential part of the communication process because these can augment or support the information gathered. And therefore improve the decision making and actions formulation.

Fig. 7 shows the subsequent steps of the communication process: inventorization; analysis; vision+strategy; action planning

The essence of the Tool is the involvement of, as much as possible, all actors in the process of:
(a) inventorization of problems, potentials and constraints;
(b) analyzing the present situation and structures;
(c) determining a long term vision and strategy; and
(d) finding solutions and formulating and implementing actions.

fig. 7 communication steps
sessions

In order to make the communication process: (a) multi-disciplinary and multi-sectoral; (b) rapid; and (c) participatory, structured (brainstorming/communication) group sessions are used. The idea behind these structured group sessions, is that these will create:

- **additional value**, to the information gathering process and decision making and planning. Not just asking people, through interviews or surveys, what they think individually. But also confronting them with different opinions from different sectors and different disciplines (a). Thereby making use of the different backgrounds, capacities and opinions, in order to improve through group discussions the analysis, visions, strategies and propositions;

- **speed**, by 'forcing' statements, choices and priorities (b)

- **commitment**, through better mutual understanding and trust. People feel that they have contributed to the decision making process and will therefore be more likely to support it. This could form the starting point of more participation and partnerships in urban management actions (c).

Other reasons for structuring the sessions are (i) to give everybody (shy or not) a chance to give his or her opinion or priority; and (ii) to avoid endless discussion, in which a few people are dominant, the majority silent, or merely following. While during the discussions most of the information is lost in the process of minutes-making. The quality of the outcome of the sessions will be improved by repeating the sessions with different groups, on different levels. And by repeating the sessions in time (e.g. every year) creating continuity and flexibility.

**Physical Planning theory**

As physical planning is an integral part of the Tool, and a crucial tasks of the local government (through its legal framework), it is also essential to determine a vision/theory on physical planning.

The tool is supposed to be respective and regional, this is especially reflected in the following vision on planning: instead of planning a whole new 'urban' structure for a region, (not yet urbanized or already spontaneously urbanized- the surrounding region), it is advocated to follow as much as possible the existing different structures and networks. In respecting as much as possible the existing structures a balance must be found between on the one hand the short and mid-term interest of the present population and on the other hand ensuring the long term spatial/infrastructure/economic development of the city.

The proposed global participatory planning process, should involve as much as possible all actors concerned, on all different levels region, town, neighborhood, cell;

1) Inventorization of all relevant 'natural and man-made landscape Dominants, Networks, Cells, Existing Structures' (see also 10.1 and appendix 8) and existing conditions;
2) Analysis and appreciation of the inventorizations
3) Determining a global long-term Vision
4) Selecting areas of which the destination can be changed
5) Determining the spatial capacity of these areas
6) Compare capacity with spatial demand
7) Determine spatial program, visualized in Detailed Plans.

For all proposals on all levels different alternatives and scenarios must be developed.

In short the physical planning element of the tool should be respecting as much as possible the existing structures and letting the area determine the spatial program and not the other way around letting the program determine the lay-out of the area.

All the steps of the urban management communication process should be as much as possible visualized;

- Inventorization - existing situation
- Analysis - present situation
- Vision+Strategy - structure scheme and scenarios
- Actions - detailed proposals and alternatives
- Monitoring - (informal/spontaneous and planned) developments

Physical Planning is hereby an integrated element of the urban management process.
PART III

TOOL DEVELOPMENT

CONTENTS:
12 Urban management tool
13 Tool elements
PART III TOOL DEVELOPMENT

In this part we will describe the developed Urban Management Tool; 3 main parts (chapter 12), and all its elements with used methods and techniques (chapter 13). The tool is based on the communication theory as discussed in chapter 11. The essence was communication between the different sectors in an urban society in order to come to: (a) better understanding; (b) better policy/decision making and planning through participation; (c) enabling private and community sector development; (d) more mutual trust and commitment; and (e) eventually leading to partnership and participation among the sectors in actions.

The Key-elements of the tool in order to achieve that are, the Structured Multi-Disciplinary and Multi-Sectoral Communication Sessions.

12- DEVELOPED URBAN MANAGEMENT TOOL

The in chapter 11 described Tool concept is visualized in fig.6 and 7;

![Diagram](image)

fig.6; theoretical tool concept

fig.7; communication steps

The tool concept has three main parts:

**tool part I-COMMUNICATION;**

the core of the tool for rapid urban assessment, being a starting point for participatory decision making, planning and management. Communication has three main objectives:

(i) information gathering, inventorization, analysis, vision and strategy determination;

(ii) planning and decision making; and

(iii) consultation, getting popular and political support.

**tool part II-PHYSICAL PLANNING;**

in order to visualize the information gathering and the strategic decision making and planning;
tool part III-indepth STUDIES;
to supplement the rapid information gathering and assessment with more detailed and indepth
information and data, in order to eliminate some of the short-comings of the rapid
communication, and thereby improving the decision making and planning.

Organization, Implementation, Monitoring and Evaluation play a crucial role in the process because the
tool is action oriented, cyclic, flexible and should be a 'learning-by-doing-process and organization'.

12.1 General set-up of the communication process (see fig.7-)

- ORGANIZATION of the local government is the starting point for the communication cycle, the local
government plays a central, organizing, coordinating role in this approach, in the tool application.

The communication cycle consists of the following 5 steps:
1 INVENTORIZATION;
   - of development problems, potentials and constraints as seen by all sectors and participating
     actors, for the town as a whole, or for a part of it or for a specific aspect of the development
     process.
     Inventorization is needed in order to gather sufficient information as a basis for the
     following communication steps.

2 ANALYSIS;
   - setting of objectives for urban development
   - determining criteria for possible future actions
   - analyzing the inventorization
   - finding interlinkages within the inventorization and analysis
   - setting of development priorities
     Analysis to fully understand and appreciate the existing situation, plus recognize the
     existing structures and how they are being judged by the different parties involved.

3 VISION;
   - determining the desired future situation (of the town)
     Determination of Vision is needed in order to give direction to future developments, and to
give a reference framework for future strategies and actions.

4 STRATEGY;
   - determining, based on the analysis, how to achieve that vision
     Strategy determination is needed for operationalization the vision and for combining and
     supporting (on policy level) efforts in solving problems or making use of development
     potentials of the town.

5 ACTION PLANNING;
   - elaborating project and action proposals based on the out-come of the communication sessions
   - preparing short and long term action programs which fit in the strategy and are realistic, taking
     in to consideration all organizational aspects
     Action planning is needed for making the process action/process oriented. Action planning
     must to be done at different levels, in different time spans, involving different actors. And
     for augmenting the changes of success, by connecting to ongoing processes (structures) and
     by formulating (combined) actions that are socio-economic realistic (fundable, economic
     feasible, sustainable, manageable, refundable)

- IMPLEMENTATION occurs after the communication process also involving as much as possible all
  parties concerned in order to increase the commitment with the actions, the effectiveness of the action, and
  the changes for sustainable success for the action.

- MONITORING the actions will be needed continuously in order to adjust actions when necessary.

- EVALUATION must take place after completion of the action, in other to learn from experience.
Both monitoring and evaluation experiences will be taken into the new communication cycle, possibly influencing or changing the 'organization' of the local government or the tool executing body, or the communication out-come (future vision, strategy and actions), by doing so the system becomes flexible. The monitoring and evaluation should/could even lead to a change in the set-up of the TOOL or some of its techniques. The tool is therefore 'Self-improving', adaptive. = 'Learning-by-Doing' = + = 'Learning-Organization'=

The process is cyclic and continuous, after the first cycle only a short term action program can be executed, the mid and long term interventions first need further detailed inventorization, analysis, (maybe Study) and action planning. And the long term vision needs continuous readjustment according to the changing circumstances and the results of the evaluation of the executed projects/programs.

- PHYSICAL PLANNING and indepth STUDIES will take place parallel and/or after the communication process, then and there when deemed necessary.

This communication process (tool) can/should be applied: (a) on different levels (e.g. the town as a whole, but also for the region, or neighborhood); (b) for specific interest groups (e.g. CBO's/NGO's, projects, market-vendors, women etc.); and (c) special subjects (e.g. income/economy, services, environment etc.).

12.2 Research tools

The main research tools for the Tool (per tool part) are: (-see fig.8-)

**tool part I COMMUNICATION;**
- Interviews
- Description
- Sessions, being the key-element of the tool;

  Structured Multi-Disciplinary and Multi-Sectoral Communication Sessions

  **Sessions** for rapid participatory assessment through integrated group discussions, to speed up and improve the information gathering and decision making, and for consultation and obtaining political and popular support.

  **Interviews** in order to support the rapid information gathering and forced determination of vision, strategy and actions with a more private/individual, more specific information input.

  **Description** in order to record the information gathering process in a comprehensive data/information source for the town, on which the communication steps can be based.

**tool part II PHYSICAL PLANNING;**
- Sessions/team exercises
- Interviews

Physical Planning, through the same methods, to visualize the spatial consequences of the communication.

fig.8; tool methods
13 TOOL ELEMENTS

In general a tool consists of Method and Techniques, a global tool concept has to be adjusted to the specific local needs and circumstances. In this chapter all the tool elements (see fig.9) will be briefly described with both their objectives and the used methods and techniques. In the Appendices one session (analysis) will be fully described as an example and one study element (shelter survey) will be dealt with completely because this survey was not covered by any of the case-study reports. Full description of the used tool plus outcome of the case can be found in the case-study Interim Reports.

Because of organizational reasons:
(i) the researcher being alone;
(ii) introducing the tool in a for him 'new case';
(iii) for the first time applying the tool;
the above shown (fig.9) set-up of the tool was developed:

- Inventorization through interviews by the researcher in order to know and understand the context of the case. With descriptive interviews about the organization of the municipality, and exploring interviews with key representatives of all sectors on all levels in order to get specific and general insight in the urban development and management issues.
- Description of both the organization the municipality and the town, acting as an information source for: (a) the research; (b) a starting point for a comprehensive Data Information bank for the communication process; and i.e.(c) the cooperation program.
- Sessions a test session was planned by the researcher in order to try the methods and techniques, and to obtain support from the municipality for inviting people from 'outside' to participate. Because of the foreseen organizational difficulties only one (type of) plenary session was planned for; inventorization, action proposals and consultation. For analysis, vision and strategy, and action planning separate multi-sectoral group sessions were planned, in order to augment the quality by having more time available on several occasions, this for letting the participants familiarize with the approach and for the researcher to test, evaluate and adapt the tool or techniques where necessary.

fig.9; set-up of urban management tool and elements
13.1 Communication

13.1.1. inventorization interviews
Interviews will in general constitute of a mixture of methods;
- structured open questions, about organization and specific (= organization) and general (= town) seen
development PROBLEMS, POTENTIALS and CONSTRAINTS and possible solutions.
- listing of statements in order of importance
Interviews will be held with as much as possible different actors from the different sectors;
- public sector : national-, regional- and local government
- private sector : formal and informal relevant businesses
- community sector : NGO/CBO's and traditional institutions

Town level
The objective of the interviews was to get opinions of key-informants of the PUBLIC-, PRIVATE- and
COMMUNITY sector, about the main problems, potentials and constraints for their organization in specific
and the town in general. The information gathered will form the basis for the description of the town (city
profile), which could result in a possible Data and Information bank.
- Method; semi-structured interviews with open questions. The respondents, from all three sectors will be
selected in consultation with the counterpart, and considered representative for their sector.

National level
- Objective is to get more information, at national level about urban management in general and physical
planning (and i.e. Land Allocation and Shelter in specific).
- Method; open interviews with selected respondents at Ministry level and relevant projects within the
country.

13.1.2 inventorization description
- Objective of the description of the town in organizational and general sense had mainly is to serve as a
basis for the analysis and communication process.

Organization structures municipality
Description of the internal organization structures of the municipality. And the external relations with other
public services; parastatals, district and national government. And possible interaction with private and
community sector.
- Method; open interviews with the counterpart and literature/documentation study.

City profile
- Objective of the city profile is to make a comprehensive description of the town in its various aspects,
supported as much as possible with data: - Historic; - Social; - Functional; - Technical; - Economic;
- Environmental; - Institutional.
The ultimate aim of the city profile is to set-up an information/data bank (an Urban Management
Information System) which could serve as the information basis for the urban management
process (and tool). This 'Bank' should be regularly updated during the ongoing process of
information gathering, evaluation and studies.
- Method (i.e.); compiling the profile will be based on the outcome of the interviews held, and on written
contributions by the municipality staff.

13.1.3 communication sessions
Figure 9 shows the over-all set-up of the TOOL including the subsequent sessions:
- (i) test session;
- (ii) analysis session;
- (iii) vision and strategy session;
- (iv) plenary sessions;
- (v) action planning session.
Three types of sessions are being used:

i-GROUP sessions;
A multi-disciplinary, multi-sectoral group of maximum 15 selected key-informants. For the purpose of analyzing the present situation and determining future development options.

ii-PLENARY sessions;
Large groups with a maximum of 100, but preferably 50 persons. These groups do not have to be multi-sectoral, preferably multi-disciplinary, but in any case they have to be 'Homogeneous'. The purpose of these sessions is broad-based information gathering on all levels, creation of commitment on all levels, and getting popular support. These sessions should be held on various levels with various groups within the society, as much as possible.

iii-TEAM sessions;
A small selected multi-disciplinary group, preferably multi-sectoral, for: (a) coordination of the communication process; (b) testing communication elements and techniques; (c) further elaborating proposed strategies and actions; (d) preparing implementation; (e) doing the monitoring and evaluation; and (e) supporting additional studies.

Method
The method for all sessions is based on 'structured communication'. Using various communication techniques. Why using multi-disciplinary and multi-sectoral, structured group-communication?

- Communication for better understanding, creation of commitment and trust, leading to participation and partnership in urban management actions;
- Multi-group for direct participation of the non-public sectors in the whole urban management process; and in order to create an additional value by working integrated, multi-disciplinary and multi-sectoral;
- Structured in order to be rapid and to force statements. If a group discussion is not structured, the discussions might become end- and useless, difficult to 'minute' and will not give fair/equal chances to all participants. In unstructured discussion always a few people are dominating, by character or by their status, and the rest (the majority) is either silent, or just follows, or is strongly influenced.
**Vision**

The vision behind the sessions is the need for: (a) rapid assessment of the present situation in order to be able to cope with fast changes; (b) to determine where we want to go; (c) how we are going to get there; and (d) what actions we undertake now and in the long run. "Deciding now, to the best of our current (limited group) knowledge. And Just Do It", otherwise the rapid changes have made the proposals obsolete, the reality different and the problems even bigger.

Richard Chambers (85), describes in 'Rapid Rural Assessment' two often used assessments methods:
- "Quick and Dirty", talking to a few people, often within the public sector only and maybe some in the (formal) private sector, make a superficial report and leave;
- "Long and Dirty", researching and surveying so lengthly and thoroughly, that the resulting report becomes too elaborated, too detailed. And by the time the research/report is finally published the reality has changed, and thus the results are out-dated.

This tool however, through its structured multi-group sessions wants the assessment, information gathering, decision making and planning to be FAST enough to pace with the urban changes. And reasonably THOROUGH enough because large groups, from all sectors and all levels have participated in the process. To combat the shortcomings of rapid assessment methods in general the supporting elements: physical planning and indepth studies are part of the tool.

**Communication techniques**

The most important techniques as to be used during the sessions, briefly described: (see also Appendix 2-)
- **Brainwriting**: each participant writes down on small cards several key-words/statements associated to a specific selected Subject (for example the Town, the Municipality, Economy, Poverty etc) and pin those cards on a presentation board. In general, let all participants write down as much as possible during the session and collect the papers later. The advantage of brainwriting in comparison to brainstorming is that this forces everybody to think for himself, without the fear for speaking up for yourself. It also gives all participants a fair and equal chance in the inventorization.

For physical planning sessions one could also use Brain sketching, visualizing in sketches the individual ideas.
- **Priority setting**: after an inventorization or presentation which are pinned down on the board let each individually select his priorities by pinning down priority stickers. Giving each participants his/her personal vote. The scoring of the priority stickers and the scoring of how often a statement/key-word is pinned down gives already a clear (quantitive) indication of the problems and potentials.
- **(SWOT) Analysis**: Analysis can be done either in a simple form; by brainwriting and priority setting on problems and potentials of a specific subject, or in a more detailed way by brainwriting and priority setting on Strength Weaknesses Opportunities and Threats of a specific subject subdivided in various aspects (for example the Town, subdivided in Social, Economic, Technical, Institutional aspects). The analysis must be done after the inventorization in order to better understand the present development situation.
- **Small-Group discussions**: let people in small groups of 3 max 4 persons, (preferably from different sectors and disciplines) discuss on specific subjects for +/- 10-15 minutes. After the discussion let one member present the results of his group, preferably visualizing these results. The advantage is that in a small group people are more easily ready to speak up, as in a plenary discussion. And the presentation is done as groupmember not as an individual, which also makes it easier for people to step forwards. (This technique was introduced, during the case-study, after the evaluation of the first session in order to make people feel more at ease).

Group discussion can be held in order to determine;
- development constraints
- interlinkages, which problems, potentials and constraints are interlinked
- solutions, vision, strategies, actions
- organizational aspects of proposed actions

**Necessary Means**:
- accommodation preferably on 'neutral ground', creating a relaxed atmosphere;
- a presentation Board;
- some markers, paper and cards, needles and priority stickers;
- one session leader with some presentation sheets;
- one person to make the discussion minutes.
Of the session approach can be said that; it is not really important what and how things are done, as long as:
- the session is structured, forces individual statements and group discussions, and has a program;
- the group is "multi", but at least homogeneous, that people feel at ease among equals, feel free to talk;
- the individuals are given a fair chance through for example brainwriting and priority setting;
- the whole communication process goes (with as many as possible participants from all sectors on all levels)
through at least the following steps:
(1) Inventorization; (2) Analysis; (3) Vision; (4) Strategy; (5) Action Planning;
in order to be:
(ad 1) respective and locally adaptive; (ad 2) appropriate; (ad 3) strategic; (ad 4+5) process/action oriented,
and socio-economic realistic.

The quality of the rapid communication session should be achieved through repeating the sessions, e.g. every
year with the same group or additional sessions with different groups. Sessions can also be held on different
levels: region, town, neighborhood. Sessions can also be held on specific issues and/or with specific interest
groups (e.g. special session on Environment, Education etc., or with Market-vendors, Women etc). As such
the tool is also suitable for, e.g. Community Development Projects, NGO/CBO's or even (larger) companies.
For each of these specific sessions the set-up has to be adapted to the specific demands and circumstances.

Overview of total Communication Process (ind. = individual)
Brief description of the Sessions

Test Session (team session)
- Objective of the test sessions is to test the whole proposed structured communication cycle (from inventorization to action planning) plus all communication techniques. This is done with a small selected multi-disciplinary counterpart team.

Analysis Session (group session) (see also Appendix 2 for full set-up Analysis session)
- Objective is to make a fast inventorization of the problems and potentials, seen by a multi disciplinary and multi sectoral group. And to analyze (SWOT Strong, Weak, Opportunity, Threat) the situation of town in various aspects (e.g. social, economic, technical, environmental etc).
- The main steps are:
  1. Introduction
  2. Objectives and Criteria determination
  3. Inventorization and Categorization
  4. SWOT Analysis
  5. Priority setting
  6. Group discussions on interlinkages
  7. Plenary discussion conclusions, recommendations and evaluation

Plenary Sessions
- Objective is to gather information with large homogeneous groups of from different parts and sectors of the society. In order to get: (a) an inventorization of problems and potentials seen, together with proposals for potential solutions and actions; and (b) create commitment and popular support.
- The main steps are:
  1. Introduction
  2. Inventorization of problems and potentials
  3. Group discussions on (development) constraints
  4. Priority setting
  5. Group discussions on solutions
  6. Conclusions, recommendations and evaluation

Vision and Strategy Session (group session)
- Objective is the determination of:
  a development Vision;
  "What do we want the town to be like in the future?"
  a development Strategy;
  "How do we achieve this vision?"
  - "How are we going to solve our problems?" = a problem oriented strategy;
  - "How are we going to make use of our potentials?" = a potential oriented strategy;
  - "How do we want the town to develop spatially, in relation to the vision and strategies?" = a spatial strategy.

Also for short - and long term action programs will be made.

Based on the out-come of this session will be held: Action Planning; and Physical Planning session. For the elaborated vision and strategies, popular and political support is essential, preferably obtained (with the possibility to make amendments) through plenary consultation sessions. (see fig.10)
The main steps are:

1. Introduction with presentation results so far
2. Group discussions on vision and objective amendments
3. Group discussions on strategies, and priority setting
4. Plenary discussion on spatial strategy, advantages and disadvantages of 3 spatial concepts -see fig.11-:

fig.11; three spatial concepts

- (A) low density extension of the existing town
- (B) high density compacting of the existing town around present (infra)structures
- (C) spreading urban development in the region by developing satellite towns in the rural hinterland and urban sub-centers in the peri-urban areas.

5. Group discussions on short+long term actions, and priority setting
6. Conclusions, recommendations and evaluation

Action Planning Session (team/group session)
- Objective the elaboration of a short and long term action programs, with special attention to the organizational and control aspects of the proposed actions. The proposals coming out of the group sessions will be screened on the socio.economic, financial and organizational feasibility. The project proposals will be reported in a project document. Which shall have to be approved by all concerning parties.
- The main steps are:

1. Introduction of results so far
2. Brainwriting on action planning, short and long term
3. Group discussions on action planning, organizational and control aspects
4. Draft versions project documents
5. Conclusions, recommendations, evaluation
13.2 Physical Planning

Physical planning is seen as the visualization of the communication process and the spatial consequences of the decision making and action planning. In chapter 11 the physical planning theory is described. Present physical planning is often seen as unrealistic and not taking in to consideration the local conditions and circumstances. But on the other hand the importance of (land allocation) planning is recognized, and through the legal framework local governments play a crucial role in planning.

The objective by making physical planning an integral part of the participatory process, is to make physical planning more realistic and appropriate.

Apart from the physical planning session also interviews are executed with relevant key-informants, who are directly or indirectly related to physical planning, to discuss specific planning related issues.

**physical planning session (team session)**
- Objective of the sessions is to discuss/analyze present planning and develop three alternative structure plan concepts for the Town.
- The main steps are:
  1. Introduction
  2. Inventorization/characterization by brainsketching
  3. Appreciation and analysis
  4. Group discussions on list of discussion points:
     - land allocation; procedures; regulations; standards; planning; zoning; plot size; coverage %;
     - property security; speculation/monopoly; customary land; subdivisions; urban agriculture etc.
  5. Presentation spatial strategy discussion from vision session
  6. Brainwriting on the three spatial concepts of figure 11
  7. Brainsketching on 3 new concepts plus priority setting
  8. Conclusions, recommendations and evaluation

13.3 Studies

With the general set-up of the urban management tool it was explained that next to the sessions and interviews, also additional in-depth studies should be executed, there where considered necessary, to supplement the information gathering process with detailed knowledge and/or data.

In this case-study (Mbale) the subjects Shelter and Land Allocation had been selected, because of the relevance of the two subject (see also literature concerning urban management) and the background of the researcher. The importance of the two subjects came forward from the literature study (see Part II) and was reconfirmed by the outcome of the interviews and communication sessions, in which often land allocation and shelter were mentioned as constraints and problems.

13.3.1 Shelter

Because of its socio-economic position and the in general restricting legal regulations, the majority of the population in towns and cities in the developing countries live in ‘spontaneous settlements’, squatter areas, slums etc. Without property security and deprived of adequate shelter (= Housing and Services). Because shelter is one of the primary human needs and Housing is an important contributor to the local urban economy, this subject was chosen for further detailed study. Although this would not be as important as income generation in poverty alleviation, however this would be too much beyond the expertise of the researcher.

Most efforts so far (mainly by local governments and donor projects) failed to supply large parts of the population with adequate Shelter. So called ‘Social Housing’ or ‘Sites and Service’ projects were often only affordable by the higher income groups, instead of the original target groups being the urban poor. Resulting in massive ‘illegal’ settlements. In general the regulatory and legal framework is seen, next to the low-income level of the population, as the major reason for not obtaining a legal property security. In the new “enabling policy” an important role is being advocated for (community) self-help for the poor, stimulated by deregulation and privatization etc. Other ‘enabling factors’ are infrastructures, property security, credit systems, subsidies, building industry promotion and monopoly or cartel prevention.
The specific Study-research questions were;
- what is the present low-income shelter situation in Town (Mbale)?
- what are the major problems/potentials and constraints seen by the different sectors concerning shelter?
- what are the major constraints seen by the target group? (Target group; low income groups)

- The objective is to make policy recommendations for a 'self-help' shelter policy, and strategy in general.
  As target group was chosen the low-income groups, because they are usually the drop-outs in a commercial or highly regulated system. The majority of the urbanites in LDC can be considered a drop-out without access to legal property security and adequate shelter.

- Used method:- the Shelter study consisted of four elements:
  i -structured open interviews with selected key-informants of the different sectors;
     key-questions were: What are the main problems, potentials and constraints for low cost housing concerning: legal framework, regulations, materials, labor, equipment, finance and credit.
  ii -open question survey at household level (randomly chosen in selected areas);
     for inventorization of exiting situation, the key-questions were: main problems, demography, type of shelter, energy, local governments functioning
  iii -multi-choice 'check-list' survey at household level (randomly chosen in selected areas);
     for determination of problems and constraints seen by the target group;
     This survey consisted of: (a) inventorization interviews with area representatives; (b) questionnaire interview at household level. This check-list survey is abstracted from the indicators survey of Erkelens (91). (For the total set-up of the survey see Appendix 3.)
  iv -local literature study.

13.3.2 land allocation systems
Land is the basis for every human activity and - settlement, therefore also the basis for all development. Legal (land) property security is THE precondition for each investment, either by the private sector (in commerce, trade, service, or industry) or community sector (in shelter and small scale (informal) economic activities). Because of the inherited and still operational colonial legal land allocation system (and building standards), land is only affordable by a few. Leaving the majority of the urban population in towns and cities without property security. Officially declared being a 'squatter', regardless of customary claims. And the private sector without security for investments.

A government holds the monopoly on law. Therefore a local government plays a crucial role in legal land allocation, through land-property legalization and land-use planning. And also in legal property security, through shelter/building standards and permits. Because of the importance of land property security and the crucial role of local government in its allocation, this subject was chosen for detailed study.

Also for land allocation a general call is made by many donors and researchers for a reformulation of the role and the legal, regulatory and institutional framework. (-see also Part II-)

The specific Study-research questions were;
- What is the present formal urban and rural allocation system?
- How do informal/traditional (peri) urban and rural land transfers occur?
- What is the opinion of the people involved in the land allocation procedures, about the present system?

- The objective was to gain knowledge about present formal and informal land allocation systems, in order to make policy recommendations, for a more efficient accessible urban formal land allocation system.
- The used method; semi-structured open question interviews with selected key-informants of the different sectors (public sector and traditional (customary land-owners and community representatives) on different levels (Urban-formal and informal, Rural-traditional and modern). The interviews consisted of mainly of the following questions:
  "Can you give a description of the (formal/informal, rural/urban, traditional/modern) land allocation - and land transfer procedures?"
  And "What do you see as the main problems, potentials and constraints of the present systems?"

Apart from the interviews local literature was studied.
PART IV

TOOL TEST - tool applied to Mbale, a case-study

CONTENTS:
14 Background information Mbale-Uganda
15 Results case-study
16 Conclusions and analysis case
PART IV TOOL TEST: tool applied to Mbale, a case study

The tool as developed in the preceeding chapter was tested during a field case-study in Mbale-Uganda, during a period of 4 months. This part IV starts, in chapter 14 with a short description of Mbale. Chapter 15 gives the results of both (1) the out-come of the tool elements and (2) the functioning of the tool. In chapter 16 conclusions from the case-study will be given.

14-BACKGROUND INFORMATION MBALE-UGANDA

Mbale is the main urban, administrative, service, commercial and industrial center for Eastern Uganda (East - Africa). Mbale can be considered a typical secondary town because of its size (60,000) and its function. But especially because of its strong socio-economic rural-urban ties. Because of the insecurity in the northern region plus drought and famine, Mbale still attracts refugees from the north. This together with the natural population growth and the 'normal' rural influx, has created a large population growth: from 24,000 in 1970, to officially over 53,000 in 1991 (sensus) to an estimated 60,000 now (1994).This fast growth has lead to uncontrolled expansion of the town leaving large parts of the population without adequate (legal) housing and services. This part of the population depends largely on informal sector activities. for its income

For the Physical features of Mbale see the photo impression (at the next pages). Typically for Mbale is the deteriorated old 1950/60's town center, with its strict zoning, separation of industrial, commercial and residential areas. The colonial apartheid planning with european-, indian quarters and african estates is still virtually intact despite departure of the British and expulsion of the asians. The low urban density creates an almost rural character, especially the peri-urban areas where the majority of the population lives in informal settlements. For more background information on Uganda, Mbale (history and geography), and organization of the MMC and RC (political structures) see Appendix 4.

15 RESULTS CASE STUDY

(see Appendix 5 for overview case-study work done)

Following are resumes of the information gathering process during the case-study period. Next to the OUT-COME of the information gathering process also a short evaluation of the TOOL element will be given.

The tool consisting of 3 parts was tested in Mbale in 6 steps, subdivided in 12 elements, all of which Interim Reports IR- are made, which are available for consultation at the town clerks office and with the author. the results will be discussed as shown in the following overview:

15.1 tool part I  Communication

15.1.1 Inventorization interview
    i -town level (Mbale) see IR 2
    ii -national level see IR 8

15.1.2 Inventorization description
    i -organizational structures (MMC) see IR 1
    ii -town-profile (Mbale) see IR 3

15.1.3 Sessions
    i -test session see IR 4
    ii -analysis session see IR 5
    iii -plenary sessions see IR 6
    iv -vision and strategy session see IR 7
    v -action planning supplement IR 7

15.2 tool part II  Physical Planning

Physical planning session see IR 9

15.3 tool part III  indepth Studies

15.3.1 Shelter see IR 10
15.3.2 Land Allocation see IR 11
PHOTO IMPRESSION: physical features Mbaale

Map 1 - illustrates the typical physical features as described above: a 1950/60's colonial perpendicular on the main North-South axe, within the old town strict zoning; residential, commercial, industrial, services and government areas. Also the low density is clear with north of the center mainly some low-density estates, schools, and large squatter areas, and south dominantly present the urban forest.

Photo 1 - the southern municipal border. With the typical local bike-taxi 'Boda Boda' on the main (Jinja-Kampala) road and the forest on the background.
photo 2 - the typical profile of the commercial center, wide roads, with flower beds in the middle verge, and covered walk-ways along the shops, with above the shops either offices or apartments.

photo 3 - the land-mark of Mbale; the clock-tower (out-of-order)
photos 4-5-6 give an impression of the old commercial center, the clear Indian influences ('new Aswan lodge'), the many open spaces (either not yet developed or already for decennia under development). This all illustrates the stand still in development since the late sixties and especially since the expulsion in 1972 of the Asian business class people, and the civil wars against and after Amin.
These photos show the 'colonial segregation' in planning with separate European, Asian and African residential areas. The strict zoning (although given a different name) is still operational up to today.

photo 7 - low-density residential areas (former European quarters); "an English garden city" lots of open spaces, parks, huge gardens, big mansions (hardly visible behind the large trees).

photo 8 - middle-density (Asian quarters); large (series) bungalows but much more packed together. The richer Asians built individual houses as big as in the European quarters, but they still were restricted to their zone, and therefore these mansions were situated in much densely populated areas.

photo 9 - high-density (African estates) mostly built for African civil servants, military and industry personnel, with small houses built in short rows.
This and the next page show how the majority of todays population lives, because you can not obtain or afford the houses as shown on the last page, if you are not part of either the influential public service or of the more financial capable formal business community (that took over from the asians, which were either Muslim 'friends' of Amin, or later on, government officials who had taken over the nationalized businesses).

photo 10 - typical for the squatter areas are the high density, low level of services (leading to high health risks due to lack of sanitation), rural building materials, semi-rural activities, and as on this picture the many children and woman headed households.

photo 11 - most people in the squatter areas rent one room from customary land owners, they share services (if any), e.g. PIT latrine with the rest of the people on the block.
photo 12 - the high density squatter area of Namatala, especially here many refugees from the north are housed.

photo 13 - just out of the center, Mbale is still a rural large village, with Mud and Wattle houses and (urban) farming activities. Officially both are not according to MMC standards and regulations, but this is what the people can afford and undertake themselves, and as starting point for urban life it is considered, by them, more than adequate.
Mbale as agro-industrial center of a very fertile and cash-crops producing region, on this picture the Bugisu coffee works

apart from the many shops in the commercial center there are several markets that cater either for the neighborhood, town or even region.
photo 16

photo 17

photo 16 - in this case the formal and informal market clash, the formal market with its 'lock-ups' and stands is hardly in business, while in front a thriving informal market takes shape. Also the obviously lacking waste-collection service of MMC is visible, although in this case the skip is empty.

photo 17 - Mbale in transition, on the one hand Urban farming, on the other bungalows conform regulations.
photo 18 - also in the spontaneous settlements in and just outside Mbale a transformation is taking place, with alongside of the roads many (informal) commercial activities in service, trade, and production. Many of these activities however still clearly reflect the rural characteristics of the town and the strong ties with the countryside.

photo 19 - the extensive infrastructures of Mbale reach far out into the peri-urban areas where some of the school facilities are situated.
photo 20 - officially road maintenance is a task of the MMC, but due to lack of capacity, most of the maintenance of roads is done by the Ministry of Works.

photo 21 - maintenance streetlighting, is also an official task. But in practice executed by UEB (partially because only 25% is operational). On this picture one light is broke, the other is filled with dead flies.

photo 22 - in the quest for revenue collection a (dutch?) introduction: a wheel-lock for Parking violators. (rm; hardly a priority, but so are also streetsweeping, grass cutting, and park maintenance, not the most essential services to be rendered to a population which for the largest part is without proper basic services.)
the administrative capacity of MMC, despite the large number of office staff.

although since recently not a task anymore of the local government, but now of a commercial parastatal, water supply is seen by a large part of the population as one of the biggest problems, apart from the low-income. Because the official water-supply is either unavailable or unaffordable. Many people, especially in the squatter areas, depend on (expensive) water vendors or on (self made) local rural type water supply systems (like this protected spring-well).
RESULTS CASE STUDY

15.1 Tool part I Communication

15.1.1 inventory interviews

During the orientation phase more then 25 key-informants of the different sectors were interviewed. In addition to this some 10 interviews were held at national level with relevant project (Kampala and Jinja) and ministry representatives.

Mbale

1) Outcome; the main Problems and Constraints as seen by the respondents of the different sectors are:

- **Public sector:** (a) lack of finance (tax); (b) lack of capacity; (c) low salaries, low motivation; (d) unrealistic work methods; etc. A political statement by RC.IV chairman (mayor);
  "40% of MMC budget should be on over-head costs, now 70-80% is spent on personnel costs (confirmed by Town-Treasurer). Therefore over 3/4 of staff and personnel should be retrenched" (civil service reform).

- **Parastatals** (UEB = 'Electricity' and NW+SC = 'Water'): (a) extensive net-works in need for maintenance/rehabilitation; (b) both Electricity and Water claim to work on less than 50% of their capacity; (c) because of working commercial basis the tariffs have gone up leading to many disconnections; etc.

- **Private sector:** (a) no working capital; (b) due to lack of property security (because of constraining land allocation and development regulations) no access to credits, so no investments; (c) corruption within public service; (d) too high and too complex taxation; (e) undifferentiated regulations; (f) high interest rates; (g) inflation; (h) high price level parastatals; etc.

  Remarks made by managers Coffee and Cotton cooperatives: (a) Mbale has no major cash-crop production and processing potential, maybe a potential in small scale agro-based and import substituting industry; and (b) Public sector restructuring is essential for economic development, but needs outside assistance and pressure.

- **Community sector:** (a) poverty; (b) bad living conditions; (c) self-development constrained by restrictive regulations (e.g. shelter and income); (d) corruption and harassment by "Law-Enforcement" task force of TC department; (e) water; (f) expensive social services (Education, Health); etc.

The main Potentials as seen by almost all respondents: (a) agriculture in the region (despite rural land shortage); (b) agro-based small scale industries and trade; (c) regional center; (d) available but deteriorated infrastructures; (e) (urban) land available; etc.

In general a call was made for: (a) deregulation; (b) differentiation; (c) decentralization; (d) transparency; (e) reducing bureaucracy; etc.

National level

1) Outcome; these interviews confirmed in general the complaints made at Mbale level. The official institutional, legal and regulatory frameworks are seen as restrictive. A call was made, by almost all respondents on national level, for genuine reform of role, regulations, procedures and organization of local governments. The present role and frameworks are seen as colonial, out-dated and out of touch with the economic reality of Uganda today.

In Uganda much of the frameworks are under revision, (under pressure from the IMF and World Bank): CONSTITUTION (with much attention for the Land-issue); CIVIL SERVICE REFORM, the reorganization of the civil service, including large number of retrenchments (e.g. a study by CSR indicated that present MMC office staff of 200 could be reduced to 50); PRIVATIZATION (of Service delivery and Divesture of state enterprises); REPOSSESSION OF ASIAN PROPERTIES; DECENTRALIZATION; revision OF PLANNING ACT, BUILDING RULES (national shelter strategy); etc.

These reforms depend highly on the commitment and willingness of the people in political and administrative control. If these reforms will fully take place is doubted, because these reforms might go against their own interest.
In this context *Ibanda* of the Ministry of Housing stated that; "There are 101 good programs, but whether they will be introduced and will be successful depends on the commitment and willingness of the politicians and officials on local levels". And she and others are doubtful if this commitment and will is there.

**President Museveni** of Uganda defended the Civil Service Reform in an interview as follows (93); CSR was necessary because 'the service was riddled with institutional defects and problems of human frailty which made it totally unresponsive and ineffective (...) in the fight against corruption, legal, institutional and policy changes will be introduced with the objective of enforcing accountability and reliability in Ugandan society at large (...) the success of the reform program will also depend upon the development of a comprehensive and reliable information and communication strategy, to keep both the general public and civil servants abreast of the latest achievements, problems and objectives. This strategy will be based on an open and transparent delivery of information using all suitable communication channels.' Hereby Museveni reconfirms the need for 'Good Governance' and Communication (as a 'tool' for it).

2)-Comments on the TOOL: in general the interviews were too open, needed more structuring. Often people did not see the difference between problems and constraints. During all the interviews the counterpart was never present. It was more difficult to make appointments with public sector officials then others.

15.1.2 **Inventorization description of Mbale** (description is the compilation of the information gathered)

**Organization Mbale-MMC** (see also Appendix 4, for organizational scheme MMC)

1)-Out-come: most typically for MMC are the limited community oriented actions on the one hand, and the still large number of personnel on the other (over 200 office staff). Although recently the so called group employees were reduced from 500 to 62. There are direct interferences by several Ministries on local level, and all the main technical services, water and sewerage, electricity, post and telecommunication are being supplied by independent parastatals. Where road maintenance is officially the task of MMC it is usually done by the Ministry. And where streetlighting maintenance is the task of MMC, the UEB does most of the maintenance (still only 25% of the extensive streetlighting network is operational).

Most typical for Uganda is the political system. The National Resistance Movement NRM came to power in 1986, and introduced a Non Party System of mass participation in popular democracy. From village and neighborhood level on up until national level people are organized in Resistance Councils and - Committees RC, with internal elections of representatives.

2)-Comments on the TOOL: this element was completely based on interviews and documentation study, so there were hardly any organizational problems, only that you have to ask the specific question then the specific answer will be given. There are hardly spontaneous additional information or references to other information sources available given.

**Mbale town ‘city-profile’**

1)-Out-come: of this element was at minimum because even after 1.5 months and despite several personal reminders only one useful written contribution was received from the six involved MMC staff-officers.

2)-Comments on the TOOL: the request for written contributions (despite written request, several explanations and personal reminders) did not work out. There seemed to be no will to make time and maybe the fear for giving a personal view on specific subjects. The lack of response from MMC staff, including counterpart (team) showed the little interest for the research.

15.1.3 **communication sessions**
photo 25 - impression of the individual priority setting during the analysis session. After the inventorization through individual brainwriting, where people wrote down statements on a small pieces of paper and pinned them on the board, people could walk up to the board and pin down priority stickers to that subject/statement what they thought was most importantly.

photo 26 - presentation of the results of a small group discussion, where the participants first discussed a selected subject in small multidisciplinary, multi sectorial groups, the outcome was presented by one of the group members

(see also Communication techniques page 36 and appendix 3, for results Analysis session see appendix 6)
Results communication sessions

Test session

1) Outcome; the test session with a small counterpart team had as main objective the test of the communication cycle and techniques. The outcome however largely confirmed the information gathered from the interviews:
- Problems; land allocation, MMC capacity, poverty, etc
- Constraints; restrictive regulation and taxation, infrastructure net-work in place but deteriorated etc.
- Potentials; tourism, agriculture in region, RC structure
- Interlinkage discussion started from infrastructure degradation, which was considered linked to: -> low capacity; -> low revenue collection; -> low economic development; -> low level of initiatives/investments; -> no property security; -> restraining land allocation and development regulation.

So out of this discussion came forward that land allocation and property security were seen as a precondition for economic development.

Deregulation, decentralization, transparency, reduction bureaucracy were advocated for as possible solutions.

2) Comments on the TOOL: it was difficult to get the group of 3 people together. Although it was decided that this group would form the so called counterpart team, it never met again after this session. It was the first indication that without allowances it is very difficult to organize sessions.

The participants acknowledged the advantages of multi-disciplinary group discussions. Also the advantages of structured communication were seen; but more attention should be given to the explanation of tool elements and techniques; and extra attention to time planning and visual aids. It was also advised to work more in small workgroups. The interlinkage graph and SWOT analysis were seen as (too) difficult, the difference between internal and external analysis needed more explanation.

Analysis session

(see also Appendix 6.1 for elaborated results)

1) Outcome; the statements were similar to those mentioned during the interviews. So it proves one of the advantages of a 2-3 hour session (with 15 persons) instead of 15 times an 1.5 hour interview.

- Main objectives; service delivery, economic development, planning, inter-sectoral cooperation, rehabilitation.
- Criteria; affordability, sustainability, integrated, legitimacy, accessibility, acceptability.
- Most priority was given to 'Technical and Institutional' weaknesses (technical maintenance, land allocation, regulation), and the problems of expensive social services (health, education) and poverty.
- Potentials; coffee exports, administrative professionals.
- Interlinkage discussion on 'Social services and Poverty' resulted in similar conclusions and recommendations as the interlinkage discussion of the test session.

A call was made for reduction of bureaucracy, decentralization, privatization, self-help approach and transparency.

2) Comments on the TOOL: of the 17 people invited, 16 reconfirmed their presence the day before, actually 10 people showed up (all late). 2 Community, 4 Private, 3 Public sector, 1 Parastatal representative.

People seemed not be really at ease with individual brainstorming and -writing, suggestions were made to introduce workgroup"small-group" discussions. The SWOT analysis was seen as too difficult, especially the difference between internal and external analysis. Also people had difficulty with the interlinkage graph. A suggestion was made to send some information to the participants in advance.

The constitution of the group and the dominance by a few in the plenary discussion influenced strongly the outcome of the session; which was therefore very much focussed on economic and infrastructure issues, and neglecting the social aspects. In the aftermath evaluation with the counterpart it was remarked that the accommodation, Council chambers and the presence of the Town Clerk contributed to the non-neutral, non-relaxed atmosphere.

57
Plenary sessions

There were two plenary sessions planned with different groups with a maximum of 30 persons. The first group (=external) were 'grass-root' political representatives (RC II+I chairmen), and members of the local small scale business community (through Chamber of commerce and local NGO’s). The second group (=internal) were mid- and low level MMC office staff.

1)-Out-come (see Appendix 6.2 for crude results)

i external plenary session
- Main problems; water, education, license/tax system, etc
- Main constraints; regulations, procedures, bureaucracy, taxation, license system, corruption, building standards etc
- Most priority was given to; water, social services, deregulation, reduction of corruption, more cooperation
  Also on this level (low income groups and informal sector) the MMC policy and practice are seen as restrictive, especially the harassment by the ‘Law Enforcement’ was mentioned.

Solutions; alternative water sources exploited in Public-community partnership, local building material use, deregulation. A call was made for simple, affordable land allocation and building standards, for improving living conditions; and simple, cheap tax and license systems, for improving the income generating position.

ii internal plenary session, during this session also MMC as an organization was discussed.
- Most priority for Mbale was given to; housing, security, Aids, unemployment, water, etc.
- for MMC; corruption, sectarianism in administration, salaries, training, transport, job description, etc.

A call was made for deregulation in general and transparency and accountability within MMC.

The session was very much single sided; "we don’t get paid (enough), and council(lors) take it from us". Hardly any attention was given to the town and it’s population, during this session.

2)-Comments on the TOOL; for the external session in total 32 people were invited, 16 people showed up. Possible reasons: the invitations were not properly distributed; the location of the session changed at the very last moment, with lacking transferal of people to new location (all these were agreed MMC tasks in this).

The first time the internal (MMC staff) session was canceled, because of the 30 persons invited ( 6 from all 5 departments), 7 eventually showed up. Lack of motivation/interest was explained by lack of allowances and lack of commitment towards MMC, certainly after not being paid for several months. For the second session thanks to pressure from the TC and with allowances 11 of the 15 people invited showed up.

From the external session people appreciated the opportunity and stated that such discussion (with MMC) should be encouraged, "so MMC can directly learn from the people". But it was questioned and doubted what MMC would do with these results. "We were invited previously, but either the meeting was canceled or nothing was done with the results".

In the beginning of both sessions people did not feel at ease with the individual brainwriting. Further observations: people jumped from problem to solution quickly, without analysis of the constraints involved. The small-group discussions worked out better then the individual brainstorming. The simpler set-up was an improvement. The constitution of the groups, the self-interest of the participants, clearly effected the outcome of the sessions, therefore sessions should be repeated with different groups, to get a representative cross-section.

Vision and Strategy session

For this session the same group was invited as for the analysis session. People were sent, together with the invitation, a summary of the information gathered so far and the results of the preceeding sessions. And the set-up of the coming session together with a short questionnaire.
1)-Out-come: NONE! 
The session was canceled because only 4 of the invited 16 people showed up (but late); (2 community, 1 private sector, 1 parastatal). None of the others returned the questionnaires (although personally requested). Some possible explanations for the low response 
("off-the-record-remarks"): 
(a) lack of motivation of civil servants; low salaries, no allowances, no food and drinks offered; 
(b) non-public sectors have no trust towards MMC, and do not see any use in discussing these issues with MMC: "they know our problems, we have had discussions before, but they do not listen, and continue to look after their own interests first".

From the four returned questionnaires could be concluded that Mbale should, for the long run, develop its potential, being a small scale agro-based industrial and trade center. Through offering investment incentives, lower taxes, deregulation, easy procedures (land allocation), credit facilities etc.

It was decided in consultation with the Town Clerk to replace this canceled session with an action planning session with all the chief-officers of MMC.

Action planning
This session was to replace the canceled multi-sectoral Vision and Strategy session and the intended multi-sectoral Action Planning session. The Action Planning session therefore started with a short vision and strategy discussion before determining an action program with related organizational aspects.

1)-Out-come: 
- Vision: a well planned and serviced town, a commercial and industrial center
- Strategy: land allocation, revision out-line scheme, attract investors/developers, improve revenue collection, improve MMC capacity, etc.
- Actions: there were several action proposals made but because of the questionable quality of the list of proposals, it was decided that a concrete (short)term action program for the Zaanstad cooperation program would be elaborated during a special meeting with Mr Iga TC. (Most of the proposals from the Action Planning sessions were rather vague and depended on external finance and assistance, therefore considered unrealistic).

2)-Comments on the Tool: 8 of the 10, by the TC invited, chief officers, attended the session. Here again it was shown that only with Town Clerks pressure and sitting allowance people were ‘willing’ to participate. All were sent in advance the summary of the results.

The method and techniques worked relatively good. People saw the use and advantages, although still considered some steps as rather vague, difficult. Most of the attention of the chief officers meeting was very much focussed on MMC and industrial development, little attention for socio(-economic) development, poverty alleviation.* For the participants it was easy to determine problems and potentials and a vision. But "how to achieve this vision"; which strategies to deploy, and "what to do now and in the future"; determining action programs, proved to be difficult. Especially formulating concrete actions together with the necessary organizational and control aspects did not really take place during the session.* The suggested actions depended a lot on foreign/external funding and assistance. 

(*remark; These shortcomings are related to insufficient time planning and steering by the session leader.)

The participating Town Clerk mr.Iga remarked that "sessions like this might function as eye-openers...and help us to understand the interrelated problems, .. through multi-disciplinary group-discussions introducing new ideas or solutions... But for strategic planning it’s just a starting point!". The session leader/author reconfirmed this by stating that for "real strategic urban management this process of Structured communication should be cyclic and continuous, involving all disciplines, and all sectors on all levels"!

A Special meeting with the Town Clerk was held because of the unsatisfactory results from the action planning meeting, and in order to formulate a concrete action program for the possible Mbale-Zaanstad cooperation. According to the Town Clerk Mr.Iga priority must be given first to Community oriented projects, followed by MMC capacity building.
The elaborated five fields of actions are:
- community oriented projects
- technical assistance from Zaanstad to Mbale
- student research
- training/capacity building
- supporting equipment

(see also appendix 6.3 and supplement IR 7-annex A+B)

15.2 Tool part II Physical Planning
(see also Appendix 8)
It was the initial intention to make physical planning an integral part of the urban management-communication cycle. But because it was very difficult to get people together and many people had difficulties with the maybe abstract level of the session discussions, it was decided to organize a separate physical planning team session, with officials and politicians directly involved. The session would be based on the general information gathered through the interviews and sessions, specifically the plenary discussion about spatial strategy (in the cancelled vision/strategy session) during that discussion the advantages and disadvantages of 3 different spatial concepts would have been elaborated. (see figure 11 chapter 13.1.3)

1) Out-come general interviews
It came forward that present physical planning practice and acting legal out-line scheme, plus the related regulations are seen as out-dated, colonial and out of touch with the reality of Mbale, by the respondents.

"High officials still want to preserve Mbale as a English Garden Town."

Earle, Manager of the KUS = Kampala Urban Study project, of the First Urban Project of the World Bank, agrees that the legal and regulatory framework of land-use planning are unrealistic and constraining and states that; "Either you have to change the Law or you have to change the Reality" and "Some people (KCC) still think that they are going to build Paris or London here."

Early plans (of KCC) relied on a high degree of control and regulation resulting in fundamental dualities - European-Asian-African, formal/informal, planned/unplanned - which still exist.

Recommended by KUS (93):
- Future planning should focus on both consolidation, intensification and expansion;
- Plans should be prepared at three levels in order to encourage sound management - both from the top down and bottom up, responsibilities for planning, construction and management of infrastructure should be formally decentralized;
- land-use regulations should encourage mixed-use and should reinforce live-work relationships;
- encourage partnership in the development process;
- 'existing land allocation procedures, development and building codes are cumbersome and complicated and therefore either ignored or lead to serious delays; an "One-Stop-Shop" approach to land allocation should be developed; and relevant codes, statutes etc should be revised to be enabling rather than restricting.'

1) Out-come Physical Planning-team session
The session was canceled because none of the invited appeared. After the canceled session (two short) interviews were held with Mr Werikhe, Chief Planner of the Ministry of Lands and ‘town-planner’ of Mbale, to discuss planning issues as foreseen for the session (see 13.2).

Out-come interviews Werikhe: present planning practice is seen as colonial, but the still acting ‘British’ Town and Country Planning Act is under revision. The strict zoning, large plots, low density, low coverage %, high development standards etc are seen as unrealistic. And the present land allocation system is restrictive and inaccessible.
The 3 concepts of figure 11 were discussed, Werikhe gave as main advantages + and disadvantages - :

A-extension (as the proposed 1991 Plan for greater Mbale)
+: servicing the population now out side MMC boundary
+: controlling development

These are the two official (MMC) reasons for the proposed extension, but the main reason for extension of legal boundary, as seen by several respondents interviewed, is the extension of the tax collection area. The proposed extension of Mbale (fig.25-Appendix 8) was made by 'Werikhe/PPD Min.Lands' on request of MMC.
-: wasteful for Land, low density
-: high infrastructure (service) costs per plot

B-compacting
+: effective use of infrastructure and land; high density
+: reducing distances within town; compact town
-: higher risk of congestion and environmental hazards

C-spreading
+: effective use of infrastructure and land
+: distribution of development, spreading of services, production (agro based industrial processing), employment.
+: decongestion of centers.
+: reduction of distances in and out side town
-: technical infrastructure investments maybe higher
-: less social attractive for Urban dwellers

Preference given by Werikhe; first C=spreading than B= concentration, for the above mentioned reasons.
When asked why then proposed the '91 extension plan for Mbale?; "Political reasons, technocrats officially have an advisory role, but in practice they mainly just do what's being asked, by the politicians".

Werikhe also came up with two alternative concepts (see figure 12)

fig.12; two concept structure plan Werikhe

i- Nucleated settlements
creating within and around town several sub centres with as aim to spread development

ii- Radiant compact expansion
compacting around existing infrastructures and expanding radiantly, starting from the center.

2) Comments on the Tool: despite the fact that the revision of the '1959 Out-Line scheme' was one of the initial requests for technical assistance, the interest showed in the exercise from PPD+MMC side was limited. The interviews with Werikhe, using some of the session techniques (brainsketching) proved to be successful.

15.3 Tool part III indepth Studies
In this case-study the subjects Shelter and Land Allocation had been selected, because of the relevance of the two (as confirmed by literature) and because of the background of the researcher. The importance of the two subjects was reconfirmed by the out come of the interviews and communication sessions.
photo 27 - the 'Mbale 1991 Extension Plan', with large extensions of the industrial areas along the railway in the west. And still the strict zoning and separation of different activities and residential areas in tact as in the '1959 Out-Line Scheme' (see also fig.25 appendix 8).

photo 28 - the large green zone just south of the center on the Plan on photo 27, is in reality not a forest (as planned) but a vast open plain, this illustrates the low-density within present Mbale municipal boundaries.
PHOTO IMPRESSION indepth studies MBALE

photo 29 - Shelter; Traditional customary land owners whose family (as on this pictures in Busamaga) have lived on their land already for generations, are forced of their land (without adequate compensation) because they now live within municipal boundaries, but cannot comply with the urban regulations. People who can just afford to live a hut (as on the right of the picture) can not, just because it is a regulation built a bungalow.

photo 30 - Land Allocation; the small concrete pole in the left corner is an official demarcation stone. Slowly the official town is pushing out the traditional settlements.

63
15.3.1 Shelter

1) Out-come

i) Interviews

Due to the high level of bureaucracy and regulations (procedures, building rules/standards) most people cannot afford to obtain legal land and housing (legal property security). This is also related to corruption. Because of the lack of property security and lack of credit/loan facilities there are little investments in housing/construction. In Mbale one can only obtain a loan with full land title and occupation permit, so only after completion of a construction. Main technical problems mentioned by the respondents are: high costs of transport and the non local materials, plus MMC restrictions on local material use and production. Labor is hardly ever seen as a problem, except for trained technicians.

ii) Open question survey 93

This was held in six selected areas, divided in three groups, with in total 220 randomly chosen household respondents. Results:

- main problems: lack of water, social services, income, bad quality of houses, electricity,
- most money spent on: food, education, rent then water,
- most houses are rented,
- majority of plots are bigger then 400m2,
- in the peri urban areas most houses are ‘semi-permanent’ or ‘temporary’ (=sub-standard) with communal pit latrines and drinking water bought from vendors,
- most people do not feel assisted by local government.

There are major differences between the ‘old-1950’s town center and the peri-urban areas, especially the spontaneous settlements (squatters). In those peri-urban areas people depend mainly on self help activities and room-rentals. There is a lack of property security and most houses and services are officially sub-standard and considered illegal by MMC. In the town center houses and services are according to standards but in desperate need of maintenance/rehabilitation. Also here most houses are rented.

iii) Multi-ple choice ‘check list’ survey 94

Held in 4 selected areas, with in total 204 randomly chosen household. Next to the Survey also open interviews were held with representatives of the area. (RC I-II plus elders).

iii-a) Interviews; in all areas, officially squatter areas, most people were deprived of property security and essential technical and social infrastructures. And felt themselves restricted by the official unaffordable regulations and 'law enforcement', in both income generation and self improving of their shelter situation. Three areas were in some sort of conflict with MMC, because of unwanted ‘low-cost housing’ project or land survey. In Busamaga the ‘shelter-survey’ team was refused because people were afraid it had something to do with a land survey. And that MMC "would take their land, and chase them off without proper compensation". The same is feared in the areas where the low-cost housing project of AHF/DANIDA is planned. This fear for expulsion without proper compensation is not unfounded, according to Farvacque, McAuslan UMP 5 (92); 'In too many countries land readjustment is backed by out of date and inappropriate laws; incompetent and unfair administration of these laws and inappropriate and inadequate systems of compensation.'

iii-b) Survey;

The survey is fully covered in appendix 7 because the results have not yet been published in one of the previous Interim Reports.

The questionnaire consisted of 5 open questions and 55 to be answered by Yes-No-or-Unknown

The results of the open questions;
- main problems were Income, Water, Education, Land
- main shelter constraints were Money, Materials, MMC Regulations, Land
- remarks were restriction on brickmaking and urban agriculture, corruption, bureaucracy, regulation

Often a call was made for credit facilities for self-improving shelter situation.
The results of the multiple choice questions, the 13 highest rated factors seen as a Problem/Constraint:

1. low income
2. price changes materials
3. restriction on brick making in town
4. high taxation
5. difficult to borrow money
6. transport of materials
7. lack of credit institutions
8. no participation in decision making MMC
9. price of non-local/import materials (cement, iron sheets)
10. corruption
11. lack of local financing
12. high inflation
13. large families

Of the services Water was seen as a Big Problem! (second highest total score, after 'low-income').

Also a high score (nr.8) for the denial (=NO) of the problem of 'skilled labor', next to high rating denials of problems in the field of (self) organization and knowledge, this indicates a strong belief in self reliance by the respondents. Most scoring were problems created by MMC regulations and problems related to material prices and lack of credit facilities. This combined with the potential for self-help reconfirms the answers given to the open question "remarks".

The results of the Check-list survey reconfirm in main lines the findings by Erkelens (91) (see Appendix 7).

iv- Local literature study
According to the National Shelter Strategy for Uganda, prepared by the ministry of Lands, Housing and Urban Development (92) the main critical/key issues in housing are:
- Land;
  'land is plentiful in Uganda except that very few people have security of tenure,... the many procedures make land acquisition difficult';
- Housing Finance;
  'the contribution of the few formal sources is not significant, most development depends on informal private credits and individual savings';
- Building materials;
  'shortage and the over-dependence on imports is the cause of high material prices';
  Respondents in the building material trade claim that the high level of taxes is one of the main reasons for the high prices, resulting in massive smuggling from Kenya.

Other critical (constraining) issues are: shelter related manpower, statues, regulations, standards, procedures, institutions, infrastructure. Special attention should be given to: the environment and the socially - and economically disadvantaged people.

2)- Comments on the Tool; interviews proved to be workable, only the organizational aspect of getting an interpreter and transport is a problem. The check-list survey was too long and too difficult. The motivation of MMC-staff to participate in the Survey was still low despite the allowances available. The differences in quality and quantity of the survey work done by the various surveyors, was big. In general the surveyors did not really 'think along' with the researcher on the set-up/contents of the survey despite several discussion and evaluation meetings. The out-come of the survey reconfirmed both the information from the interviews and the literature studies.
15.3.2 Land Allocation Systems

1) Outcome

- **Formal rural land allocation**: customary owned rural land is recognized by the government. On request the land can be officially titled and leased. Within the registration process by the district land office, the local Clan Elders together with the RC’s play an important role in witnessing the determination of the boundaries. The title is given only on the land, there are no construction development conditions or standards attached. With this title the lessee can obtain a credit at the bank. This is one of the main reasons for obtaining a lease. Also leases are obtained there where the land is close to for example a road, school or town. This because then, in case of an extension, the lessee is also entitled to a compensation for his land, not just the standard compensation for crops and buildings. Most people don’t obtain a legal title because of the little advantages and the very high official and inofficial costs involved in the procedure.

- **Formal urban land allocation**: Land in Uganda belongs to the State and a municipal council is the custodian of state land within its boundary. The local government is the central land allocating and development controlling body. The municipality advertises plots for leasing, after surveying them. A lease title for 49 years, can be obtained only after full completion of a construction according to all present land, planning and building regulations. A customary owner is officially given priority to develop the land. If not capable to develop the customary owner should be compensated for buildings and crops before leaving. The Development Committee of MMC interviews potential lessees to determine if they are capable to develop the plot. The formal procedures are seen by most people interviewed as unrealistic, colonial. They are too long, too complex. But most of all the land allocation is seen as too expensive. Next to the official high costs involved there is also the ‘extra-or-tea money’ necessary to get documents or officials to ‘move’. The Development Committee/mmc is being accused (off the record) of land allocation on ‘friend- and kinship’ basis, corruption and land speculation.

According to the National Workshop on Urban Land Policy and Management, (by the Ministry of Lands and the UMP), some the major urban land management constraints in Uganda are:

- customary tenure has not been under the Registration Act
- inadequate security of land titles
- over-centralization of services
- unsuitable existing land records
- lack of participation in the planning process
- very high survey standards and long survey procedures
- "Poor allocation system of public land by Uganda land commission and (local) urban authorities. Corruption in the system is responsible for artificial shortages of urban land and its increased costs. The process of public land is slow, time consuming and bedeviled with corruption."

According to the workshop the poor remuneration of the government employees is responsible for the rampant corruption. But according to the author this is not the only reason, for example:

(a) the Uganda Revenue Authority task-force employees are paid 1000 us $/month plus car, house etc and it is a public secret that they are still ‘rampantly’ corrupt; (b) president Mobutu of Zaire is one of the richest men, but still corrupt; (c) West African, Italian, Japanese civil servants and political figures and even some Dutch mayors are reasonably well remunerated but still more or less rampantly corrupt. It is the untransparant, unaccountable system that ‘enables’ them.

- **Informal land allocation**: in both rural as urban areas the system of land subdivision and land transfer is more or less the same. In rural areas almost all land is owner/occupied on customary basis. Whereas in town, next to the formal public land, large areas are still owned customary, but with large number of tenants renting rooms from customary land owner. In some cases land is sold. In cases of heritage and transfer the elders (and RC’s) witness the determination of boundaries and ‘contract’. The price negotiations in case of a transfer are free and between the two parties involved. The elders can refuse a land deal when it is considered to be against the interest of the concerned children or the clan. The informal transfer document plus witnesses have a legal status within the RC jurisdiction and in court.
2)- Comments on the Tool; this study was fully executed through direct open questions interviews which proved to be workable. But because of the sensitivity of the subject, especially when concerning formal MMC Land Allocation many remarks were made off the record.

16 CONCLUSIONS and Analysis case

16.1 General Urban Management
Present functioning of local government of Mbale is one of the main constraints on urban development.

The interviews showed that the public sector in Mbale-Uganda sees the limited capacity as her main problem. The private and community sector in general feel restricted by MMC and national government role, bureaucracy and additional ‘mis-use’. Especially the legal and regulatory frameworks related to land allocation and development are often mentioned as restrictive. These are withholding them from obtaining property security, which is a precondition for business and private investments. Property security is also a precondition for obtaining credit.

This was reconfirmed throughout the case-study, which mainly consisted of interviews and communication sessions with people from all sectors. It has become obvious that most respondents see the present role and frameworks (bureaucracy and corruption) of MMC as restrictive rather than enabling for private -and community sector development, and thus for urban development in general. Present regulations are seen as too complex, of too high standards, too expensive, too inaccessible, too untransparent leading to mis-use etc. Not just the poor are constrained in their ‘illegal’ self-help shelter and ‘informal’ income generating activities. But also the formal, small- and large scale private sector. The complex and high level tax and license system was also seen a general constraint on (in)formal business activities. The limited and expensive services were considered a problem and/or constraint.

A common popular complaint is; "we pay tax and nothing happens".

Even within MMC, political and administrative, it is admitted that relatively little services are rendered. According RC.IV chairman (mayor) the over-head costs should be reduced to a maximum of 30%, with the rest of the budget used for as ‘capital investment’ in the Town.

In short both non-public sectors do not invest as much as they wanted to in their own development because of various reasons mostly related to regulations in general. But with the lack of property security, related to land allocation and development standards, as one of the main reasons for not investing. Apart from the constraints created by the formal/official bureaucracy and regulations there is the complaint about the ‘extra-money’ involved in dealings with (some) government officials on all levels.

Most of the legal, regulatory and institutional frameworks are inherited from the colonial period. The ‘English’ frameworks, served the interest of the ‘happy few’ in those colonial days: (a) mainly the British Administrators; (b) to a lesser extent the Asian business community; and (c) some of the African lower rank civil servants and employees. Therefore these frameworks can hardly be considered appropriate for Uganda-Mbale now, and certainly not for the whole population of Mbale. The socio-economic conditions for the majority of today's population are completely different compared with:
- the English in colonial times;
- the Asians until the 70's;
- the African political and administrative Elite after independence until now.

Not only times, conditions and target groups have changed, but also the demographic situation has changed. A fast urbanization process is taking place. Rendering the ‘traditional’ role and workmethods of the local government are completely obsolete, out-dated, unrealistic.

Therefore there is the choice of either;

**Changing REALITY to REGULATION or REGULATION to REALITY.**
Regulations are a tool for a Municipal Council to play its role in the urban development process. A role which is officially still very much focussed on development control, initiating and planning, and officially service delivery. But because of the inadequate capacity and unrealistic tasks and tools this role cannot be played, while on the one hand the rigid development control prevents or at least constraints private initiatives, on the other hand little development is initiated or serviced.

Service delivery
Presently most crucial services in Mbale are delivered by other parastatal and national governments bodies. With MMC-staff admitting only to deliver little services; limited waste-collection, street lighting, street sweeping and grass cutting (this all mainly in the center) and some contributions to the local Health and Education Services. The present number of staff, over 200 office staff, absorbs more than 70% of the local governments budget, a budget mainly made out of local revenue collection.

This is the reason for other popular complaints in Mbale;
"We pay tax, but get nothing in return"
"We pay tax, only to keep them in office, and if you want something done, you have to pay 'extra-tea-money' (bribe)".

As stated before in 15.1.2 at present large parts of the legal frameworks and workmethods of the local and national governments are under reform, are being changed. The changes are mainly taken place under pressure of the IMF/WB as part of the Structural Adjustments Program (SAP); cuts on government spending, reduced role and influence of government, general deregulation etc. However the implementation of all these reforms still depend highly on the (local) political and administrative commitment and willingness of the very same people whose short term (unofficial) interest might be affected by it. Whether that commitment and willingness is there is doubted by many, because:
- retrenchments are politically sensitive and affect the kinship and family relation within the service;
- deregulation might affect the additional informal income source of many officials.

Some of the ongoing reforms might affect the position of the poor, because through cuts on budget and commercialization some of the services (Education, Health, Water etc) might become unaffordable for them. Already these are major complaints from the community sector. There is the general fear that through more retrenchments, especially in the army, the instability might reoccur.

Physical Planning
Most of the people interviewed who are directly or indirectly related to Physical Planning in Mbale agreed that present Planning practices in general and the Structure Plan of Mbale in particularly are out-dated, and unrealistic. They also stated that the extension plan of 1991 is mainly proposed for political reasons of extension of tax collection area.

indepth Studies:
- i Shelter;
In general regulations, bureaucracy and corruption in Mbale are (seen as) restrictive, resulting in lack of property security, thus preventing the investments in - or improvements of the Shelter situation of the population. Lack of property security does not only affect the low-income groups, but also the private sector on all levels. But it does affects the low-income groups more heavily because they don’t have the means at all to conform to the ‘System’ or to work their way around it, in the unofficial way (bribes). Also as main constraints on self-help development were seen; the low-income level, the high material prices, restrictions on local material use, the lack of credit facilities etc.
- ii Land;
Formal urban land allocation in Mbale is (seen as) unaffordable and even inaccessible for the majority of the population because of the related regulations (planning, building rules), procedures, bureaucracy and corruption. Also the private sector complaints about the difficulty in obtaining legal (land) property security.

16.2 The Tested Tool
The Tool consisted mainly of three research methods Interviews, Surveys and Sessions. The traditional methods like interviews and surveys proved to be workable and gave good results. Apart from having organizational problems: making appointments; and the arranging of transport, interpreters and surveyors.

68
However the expected innovative key-element of the tool the structured multi-sectorial, multi-disciplinary communication sessions proved to be less successful. The sessions itself, its methods and techniques needed some adjustments; they had to be made less difficult/abstract, with more attention on the group constitution and more workgroup exercises and less individual work. But despite that, the sessions could still be successful when certain conditions would be met. The main reason for the not very successful implementation of the sessions was the little motivation of the invited representatives to participate (this for various reasons, with the little commitment from the public sector being the most important one), and lack of pressure and attraction incentives to motivate people to participate. These are reasons why some sessions had to be canceled because of insufficient participants.

When people participated they experienced in the beginning some difficulties with some of the techniques, and where not all very much at ease with this new way of discussing/meeting. But later on most participants did see the advantages of the approach, especially the multi-disciplinary/sectoral aspect. The cooperation between the researcher and MMC was not optimal, also the lack of organizational support affected the functioning of the tool.

16.2.1 Tool: Mbale Town

Following are the main conclusion and recommendations for Mbale, as seen by the author, given in the sequence of the tool process (as given in 13.1.3.1.):

Main Potentials;
- agricultural and tourist opportunities region
- small-scale agro industrial and commercial activities
- available infrastructures and urban-land

Main Problems;
- deteriorated socio-economic living environment for the population, leading to poverty and inadequate shelter,
- unfavorable economic conditions for the town, deteriorated infrastructures, lack of property security

Main Constraints;
- local governments legal, regulatory and institutional framework, bureaucracy, corruption, taxation
- general low level of income, unavailable legal credits

Objectives;
- improving the socio-economic conditions for the population
- improving the economic conditions for the town

Criteria (for actions)
- acceptability, affordability, realizability, sustainability, fundable and refundable

Interlinkage;
- The lack of low-income group initiatives in starting income generating activities and investing in improving it’s Shelter conditions is very much related to the above mentioned constraints created by MMC frameworks and functioning. Also the low level of private sector initiatives and investments is linked to these constraints. Taxation, fee and license systems create an unfavorable competitive position. The inaccessibility of the land allocation system, prevents property security and without property security legal credit are not obtainable. And people are not willing to invest without (legal properly) security

Vision;
- A town with a legal appropriate living environment for the population. And a regional commercial, touristic, service and (small-scale, agro-based ) industrial function.

Strategy;
- Problem oriented strategy; relax official regulation on small scale commercial - and self-help shelter activities.
- Potential oriented strategy; allocate land and grant property security. Attract investors by offering land and tax incentives, reduction of bureaucracy, relaxation tax, license and fee system.
- Spatial strategy; compact town with sub-centers and satellite-centers, for integrated regional development.

Actions;
- reorganization MMC
- participatory communicative urban management process
- revision rules, regulations, procedures, standards etc
- community oriented participatory service projects
- public-private partnership in infrastructure upgrading
- in cooperation with NGO/CBO’s create credit facilities for low standard self-help shelter - and small scale business activities.
PART V:

EVALUATION, RECOMMENDATIONS and improved TOOL

CONTENTS:
17 Evaluation tool
18 Recommendations
   - Urban Management Mbale
   - Urban Management Secondary Towns
   - Improved TOOL
PART V EVALUATION, RECOMMENDATIONS and improved TOOL

17 EVALUATION of the TOOL
In brief: the TOOL did not function well, or at least did not function completely, in the case-(study) of Mbale.
There are several plausible explanations for that failure resulting in recommended improvements of the TOOL and recommended conditions for using the TOOL.

The tool consisted of three parts
-see figure 6 -

I Communication
II Physical Planning
III Studies: Shelter and Land Allocation

The main 'research methods' of the tool were;
-see fig.8

- Literature study
- Interviews
- Surveys
- Communication Sessions

The applied research methods will be evaluated in following paragraphs:
17.1 Literature study and Interviews; 17.2 Surveys; 17.3 Sessions.

17.1 Literature Study and Interviews
The literature study and interviews proved to be workable for information gathering. Although it is very time consuming and therefore against the prime characteristic of the TOOL (rapid assessment). In the case of Mbale, the interview questions had to be asked personally and specifically. Most respondents did not participate constructively nor showed initiatives, but in most cases they responded reactively. These were also difficulties in the literature study, documents were only referred to when specifically asked for. However both methods did still bring the desired additional depth background information. Especially there were people who did not feel completely at ease to speak up during the sessions, the interviews gave them the opportunity to elaborate on some specific issues, relevant for their organization or target group.
17.2 Surveys
The surveys also proved to be workable but were more difficult to organize (allowances, transport, translators, surveyors). The surveys were often seen by the respondents as too lengthy and too difficult. A further disadvantage was that surveys are time-consuming in both execution as well as processing and analysis. However the surveys brought about reasonable results. The Quality and Quantity of the surveywork was depended very much on the individual motivation of the surveyors (MMC staff, in most cases the motivation (despite allowances) was low, resulting in low quality and quantity work).

The TOOL part Studies, using only of literature study, interviews and survey, therefore worked effectively. The interviews used for Communication and Physical Planning also brought the satisfactory results.

17.3 Sessions
The most innovating and key-element of the TOOL;
"The multi-sectoral, multi disciplinary structured Communication Sessions"
howeve did not bring the expected results.

The participation was inadequate. Two of the six sessions were canceled because insufficient number of participants. And two sessions only toke place because of pressure (from TC) and incentives (Allowances), but these two sessions were not what they should be, they were uni-sectoral: only the public sector (MMC staff) participated, so there was not a multi-sectoral communication. There was no motivation for the different sectors/actors to participate, this for various reasons as explained later, and there was no stimulus to attract people.

The following specific points of the sessions will be evaluated:
17.3.1 Theory; 17.3.2 Methods; 17.3.3. Means; 17.3.4. Participants; 17.3.5 Cooperation; and 17.3.6 Results.

17.3.1 Theory
The theory was that communication between the different sectors in the urban society would form the basis for an enabling, participatory urban management approach. (see chapter II for theory and hypothesis).

From the case-study one can conclude that communication on it's own does not bring about these desired results, because there is insufficient commitment and trust for this multi-sectoral communication. Apart from communication there is a need for incentives to motivate people to participate.

However the public sector officials, either Administrative or Political, will not spontaneously participate in a process that could lead to a change in their position which could go against their short term personal interest. There is presently no motivation for reform (new role) from within the public sector, because the present political and administrative structures give the people within their position, status and income (formal and informal). And presently there is no (political) force within the society strong enough to pressure the public sector. Therefore the community and private sector feel themselves in a very weak position and do not see the use in a critical debate with the public sector. This lack of motivation within the public service is reconfirmed by Dillinger UMP 16 (93) he states that 'the performance of an organization is also determined by the motivations of the people who work within them.' This lack of motivation is not only constraining the present development but will also affect future reforms.

With external pressure or attraction there might be a motivating force for reform, starting with real participatory cross-sectoral communication (sessions); first in assessment, later in decision making and planning, and finally leading to possible partnership and participation in the execution and management of development projects. This external pressure or attraction could come either from the local non-public sectors or the public in general (as a result of an emancipation process), or from the international donor organizations. Both groups would set reform conditions for either their political and/or financial support. One will support a reform if there is also an advantage for the people in the public sector to reform (e.g. training, salary etc).
17.3.2 Method

The sessions, the used methods and techniques could work if there are additional means to: (a) motivate actors from the different sectors to participate; and (b) persuade the public sector to show more commitment.

Presently there are 3 ways of gathering information in Mbale:

(i) go to the people and ask them personally and specifically what you want to know;
(ii) pay for allowances (transport, sitting, lunch, safari etc) plus supplementary food and drinks to get people together for meetings or sessions;
(iii) an informal way is 'chatting over a Nile Special' (beer).

But because neither MMC, nor Zaanstad, nor the University provided the means necessary to attract the participants, the sessions failed to a large extent to achieve their aims.

So why did the invited actors not participate spontaneously?:
Private sector: sees no use in a discussion with MMC;
"MMC knows our problems but they are just not interested"
Community sector: has no trust in a discussion with MMC;
"MMC only look after their own interests first"
Public sector: has no interest in a discussion with other sectors; and had no allowances to participate.
(because with allowances and pressure from TC, MMC staff did participate).

Apart from the lack of motivation for people to participate also some of the communication techniques proved to be too difficult or too vague/theoretical. The initial inventorization, interlinkage graph and SWOT Analysis were too "tricky". Also the individual brainstorming did not succeed very well, people did not seem at ease when speaking for themselves in large groups. The individual brainwriting in that context proved to be an effective and fair way of getting personal opinions. Small-group discussions with presentations, that replaced the plenary individual brainstorming, proved to be more effective and at least more relaxed.

Prof. Stroebe (94) in a recent speech, concluded that research has proven that "brainstorming groups are less effective than brainstorming individuals". His conclusions confirm the findings of these session, that individual brainwriting, small-group (2-3 persons) brainstorming, together with some preparation before coming to the session, increase the effectiveness of the session.

The constitution of the group has great influence on the outcome of the session, people tend to look at things from there position, in their own interest first. The constitution of the group has also great influence on the atmosphere of the session and whether or not people feel at ease to speak up freely. It is important that the groups are selected homogeneously, people must be among equals or at least feel at ease within the group. In one session the Town Clerk was present which, because of his 'high' position influenced the statements made. Stroebe (94) also confirms the importance of the size and the constitution of the group, in order to prevent 'production blocks'.

Most sessions were too lengthy, therefore these should be kept more briefly and fast. In order to improve the quality, the sessions should be repeated with different groups, on different levels, concerned with different aspects and in time. Also the accommodation is important, the MMC Chamber proved to be not a favorable location because it is not on neutral grounds, people are not really at ease there.

But in general one can conclude that the 'session-method' does have potential even or especially in the African context; where traditionally decision making takes place within a (group/community) consensus model. Within this consensus model there is a strong sense of hierarchy on the one hand and group membership-feeling on the other. Therefore special attention must be given to: (a) the constitution/composition of the group; and (b) people should be given the chance to speak as a representative of a (small) group instead of as an individual (in this context; collective brainstorming in small groups instead of collective plenary brainstorming and to get individual opinions brainwriting should be used).
17.3.3 Means
The main reason for not fully exploiting the advantages of the proposed tool was because of the lacking of incentives (means, funds and status):
- There were no means to attract people to participate, or to make more professional reports or presentations.
- There were no immediate funds available to start the Priority Actions, by which good-will and commitment could have been created.
- Also the status of the researcher was too low because of the inadequate backing from Zaanstad; there was no decision made and no official representative sent to formulate a cooperation program.

The effect would also have been better if the tool was tested in a shorter RAPID mission (eg in max. two weeks) executed by a small multi-disciplinary team with adequate professional presentation means. That would have reflected more the characteristics of the tool, and would have created more credibility. Now the effect of the tool mission was minimized because the mission took too long (4 months) to promote the idea of rapid information gathering and assessment. On the other hand it took too short to actually start development actions.

17.3.4 Participants
The participants that attended saw the sense and advantages of multi-sectoral and multi-disciplinary group discussions. And after some start skepticism also saw the advantages of structured communication. MMC staff, especially the TC eventually recognized the potential of the proposed TOOL (method), and the importance of the mission in the light of the cooperation program.

But from observation followed that participants:
- were often not at ease in individual brainstorming in plenary discussions;
- jumped to solutions very fast without much attention for analysis or constraints;
- had difficulties going in a structured way from problems and vision to strategy and action. The actions remained very abstract, and if there where organizational aspects mentioned at all, there was a lot of dependency on external aid/assistance;
- had difficulty visualizing things, therefor the physical planning was disconnected from the sessions.

Of course it took some time for people to get used to idea of communication sessions and to some of the techniques, because it was the first time an inter-active communication session like this took place in Mbale. In due time when similar sessions would be repeated and adjusted to the specific local capacity and needs it could be become more effective.

17.3.5 Cooperation
The intended counterpart and counterpart team never really became operational, so there was only little exchange of information and/or knowledge. This also affected the exchange of ideas about the tested TOOL. The assistance and interest shown by a few was personal. In general it was difficult to make appointments with people within MMC, and only through pressure from the TC plus allowances it was possible to get some officials together. There was hardly any interest or cooperation from MMC which indicates the lacking commitment of the public sector towards real development of the town and its population. This attitude is mainly the result of self-interest, which will also be a major constraint for the necessary reforms.

If Zaanstad is going to continue the cooperation program this should be placed within a framework with clear objectives and conditions. Not just training some civil servants, this would only enforce their position towards the other sectors. But placing for example 'Capacity building and Project support' within a framework of 'Municipal Reorganization' (concentrating in business style on core-activities) and the formulating of a 'Enabling Policy' (promoting socio-economic development, population participation in neighborhood management etc).

So making on the one hand reform attractive by offering 'support/assistance', and at the same time, demanding this reform as a precondition for (financial/technical) support. While on the other hand enforcing the position of the non-public sectors by insisting on a participatory approach and by giving direct project-support to the non-public sectors.
17.3.6 Results
The sessions brought reasonably good results. But part of the results are questionable, because of the
difficulty some people had with some of the techniques. In general the inventorization and analysis results
were useful but the vision and specifically the strategy and action proposal became rather vague, and
unrealistic, taking in consideration the limited organizational capacities. The proposed actions depended
therefore largely on external assistance.

Some of the multi-sectoral sessions were canceled, and replaced by sessions with MMC staff, therefore the
information gathering became very single-sided. Because there where no multi-sectoral discussions held on
the future of Mbale and future actions, the intended trust, commitment let alone participation and
partnerships were not established.

The constitution and therefore interest of the group influences strongly the results of a session. For that
reason repeating sessions with different groups is advocated.

CONCLUDING one can say that the main problems of the sessions were: (a) complexity and (b)
organization, there seemed to be little motivation from the different actors/sectors to participate
spontaneously.

Without allowances the public sector does not participate.

And without political and administrative commitment the private and community sector don't seem to
see use in such meetings with MMC:

"we have had meetings before with them (MMC), they know our problems,
but they are not interested"

So the TOOL can work if certain conditions are met:
- the developed tool needs some simplifications;
- the tool needs additional incentives;
- but most importantly the tool needs COMMITMENT from the local public sector.

18 RECOMMENDATIONS
In this chapter subsequently recommendations will be given for: Urban Management of Mbale (18.1); Urban
Management of secondary towns in general (18.2); and the TOOL (18.3).

Looking at the general (global) problems of underdevelopment, (urban) poverty and urbanization growth
recommended general solutions are seen in:
- Reducing the population growth through intensified Family Planning efforts; thereby slowing down the
population growth and therefore the urbanization growth and -speed, as a result there will be less claims on
natural and human, man-made resources;
- Improving the socio-economic development in the south by:
  (a) promoting income generation both on national and local level in the south; and
  (b) changing the International Economic Relationships; reducing western protectionism and world-market
manipulations, introducing the concept of Global Management (global income distribution, global
environmental management etc); in order to avoid a dualization of the society both on Global as on Local
level, dualization that would exclude large parts of the population from access to the formal economy, and
would even deny the most vulnerable groups the perspective of access or even limited self-improvement;
- Changing national and international political structures, in order to promote (global/local) political stability.
On national and local level in the south this would mean the already discussed (political and
administrative) reform leading to 'good governance', this needed to avoid further future national and
international conflicts.

All these aspects are of crucial importance to urban development and thus to urban management, also for
Mbale, but are out of the spectrum of this research and the expertise of the researcher. Therefore we will
limit our selves to urban management in next paragraphs. On the above mentioned higher scale issues some
reflections are given in Appendix 1)
18.1 Specific: Urban Management Mbale

The recommendations for Mbale will be specified as follows:

18.1.1 Role of local government Mbale Municipal Council MMC
18.1.2 Reorganization MMC
18.1.3 Physical Planning Mbale
18.1.4 Studies (Shelter and Land Allocation)

From the case-study one can conclude that this local government MMC:
- does not perform according to the principles of ‘good governance’;
- restricts rather than enables non-public sector development.

And therefore needs to be reformed, the first step in a reform is the change of role of a local government.

18.1.1 Role of local government - MMC

A change of the role of MMC is recommended to adapt to the limited capacities and the specific local circumstances. Present role, including service delivery, development control and regulation, which cannot be effectively performed and even restricts private initiatives, is too authoritarian and too initiating. There is little participation in the urban management process by other non public sectors.

Intermediary

The role of the local government and its ‘urban manager’ should become a communicative intermediary between the different development sectors and actors, in a participatory process. Her aims should be:

1- enabling the private and community sector in both urban development and urban management (e.g. service delivery) activities, in order to make the development actions more effective and efficient;

Enabling by: (i) creating (in cooperation with the non-public sector) development conditions: for example sustainable infrastructures/technical services; affordable social services; accessible institutions etc.;
(ii) facilitating self-development (private initiatives) by reducing the (in)official constraints of bureaucracy; and
(iii) offering development perspectives in general, but especially to the most vulnerable groups (who are now often marginalized in an informal circuit), perspective that they can escape from their poor position, and have access to the formal economy (The most important policy instrument for a LG in this context is the lowering of the thresholds of the formal economy by legalization of property).

2- coordinating the private and community sector initiatives, in order to optimize efforts, avoid duplications of actions and to safe-guard the public interest of the community and the individual private rights of the citizens (e.g spatial development, urban environment cultural heritage);

3- controlling developments and market performances, in order to ensure the principle of equity, and avoid dualization of the society, with large (poor) part of the population deprived of access to the most essential services (e.g. water) and commodities (e.g. land, credit, property security).

The first point is recommended in order to make use of the positive characteristics of market forces and the potentials of the non-public sectors. The last two points are seen as crucial because they can limit the negative consequences of a free market society.

In this new role a balance should be found between, on the one hand, the self-reliance of the population and market, and on the other hand limited but essential tasks of the public sector. A balance between self-reliance of the market forces and public sector interference because both systems have their limitations. Self-help of the individual and community has its limitations because certain aspects of planning, services etc are beyond the level and scale of self-reliance. Although the private sector has more capacity it does miss the coordination to supply the whole market and especially it misses the authority and interest to ensure the respectation/protection of individual and public interest. On these higher scale level, that are beyond the merits of the non-public sectors, there is an essential role for the public sector (on the condition that it is ‘Good’).
For this new role, the present rigid static system of decision making and planning, should be replaced with an rapid, strategic, action oriented, participatory approach. An approach that is rapid enough to react to the urban changes and flexible enough to adapt to future developments. The developed tool could give the urban planner/manager an instrument to perform this new role, involving more the private and community sector through communication, in the urban management process. Participation is advocated because it involves those actors and sectors in the development and urban management process that are: the best informed; most concerned and thus committed; most capable and able (effective); etc. By allowing those non-public sectors to do what they do best, the public sector can concentrate on tasks that only they can or should do, with regard to their specific position and/or (limited) capacity.

Core tasks
Apart from the role as intermediary in a communicative participatory process, the local government is recommended to concentrate on essential tasks, that only they can/should perform. For example the (local) government has a monopoly on law, therefore a core-task is Legalization, by granting property security. Property security in an urban society is advocated as a stimulus for private and community sector development. Legal property security is a precondition for initiatives and investments in the field of income generation and improving living conditions. In this context the present Land Allocation System and the related Shelter Strategy (building rules) and Physical Planning are recommended to be revised, made accessible and affordable. This is maybe the most important policy instrument of the local government, in order to move from restricting (through regulations, procedures, bureaucracy and corruption) to enabling self-development of the population and the urban economy. Specific recommendations of these revisions are discussed in 18.1.3 and 4.

Through legalization the (local) government can give:
- security for private initiatives and investments;
- an (legal) alternative for the 'parallel economy, informal sector and squatter areas';
- a perspective to the poor out of poverty; an access to the formal society.

Frameworks
Directly linked to the changing of the role and tasks of the local government is the essential reform of changing the present restrictive, constraining INSTITUTIONAL, REGULATORY and LEGAL FRAMEWORKS and its related work/methods and procedures. In order to adapt to the socio-economic reality of all the development actors/sectors. Recommended are differentiated, but in general simpler, faster, cheaper and lower standards, procedures, rules, regulations, taxes, fees etc that would stimulate private - and community sector activities, initiatives and eventually investments.

These non-public activities are needed because real socio-economic development comes from the people not the government. From the Private and Community sector, not from the Public sector. Or as Earle (93) put it; 'Public authorities cannot legislate their populations out of poverty.'

Differentiation is recommended for reasons of the major differences between the development levels in LDC, and within towns in LDC's. On the one hand are the rich Elite and the technologically advanced formal private sector (living and operating on international 'modern' level); while on the other hand there are the poor majority of the population and the small-scale (informal) private sector (who live and operate on still almost rural - especially in secondary towns 'traditional' level). Because of all these enormous differences one single level/standard of regulations can not be suitable for all.

Within MMC a often used reasoning was that: "You have to set the standards high, in order to stimulate the people to development; (e.g.) stimulate to improve their squatter areas and build decent houses"
But by having standards and regulations that are for the majority completely unaffordable and inaccessible will not create a positive, but a fatalistic attitude towards "formal" development.
Reform

Reform of local governments as described in the introduction of this chapter is seen as a precondition for genuine development. This political and administrative reform should lead to Transparency, Accountability and Efficiency (the pillars of so called ‘Good Governance’). I would like to add Representative to this, local government should represent the interest of the population and the town and not just the interest of a few.

I think that present mal-functioning of for example MMC is not so much a problem of not being able or capable, but more a question of not willin or being committed. People within the public sector apparatus have a personal (illicit) self interest to keep the present situation and present structures intact, this is explainable and maybe even understandable but it restricts development. Presently most public sectors in Africa are dominated by specific (minority) ethnic groups, these political and administrative Elite (who inherited their position from the colonist) together with the army and top level of the private sector tend to look after their own interest first, and do not represent the interest of the majority of the population (see also appendix 1).

Therefore it is doubtful whether the recommended reforms will become effective, because these reforms could go against the short-term self-interest of the very same people who are supposed to make and implement them, therefore these reforms will not come spontaneously from within the public sector. External (local or international) attraction or pressure will be needed. In Uganda at the moment the role of the government and much of its frameworks are under revision, this mainly because of external pressure from the IMF/WB.

18.1.2 Reorganization Urban Management MMC

Apart from the above mentioned recommendations:
(a) new role; (b) concentration on core tasks (legalization); and (c) revision of the frameworks;
an over-all reorganization of the local government MMC is recommended, which means:
- executing only essential tasks and services that no other sector can;
- operating with a small well trained and motivated (paid) core-management that would, because of the increased transparency and accountability, be less corrupt. This can be promoted through general deregulation, with for the public easy and understandable, accessible regulations and procedures, reducing corruption chances;
- reducing over-head costs, through retrenchments, thereby reducing tax burden on private and community sector and thus improving their competitive position. Or this could lead to more capital investments by the local government or more better service delivery by the public sector;
- actions must be contracted out or privatized as much as possible in order to increase the efficiency;
- general simplification and lowering of tax, fee and license system, introducing a direct ‘pay for service system’ on cost recovery basis; where people pay on then and there where they want a specific service;
- attracting economic investors by offering: (i) special competitive land-, tax-, license-, fee-, credit, -service rates; and reliable (ii) services, water, electricity, infrastructures;
- credit facilities for both private and community sector must be made more accessible through deregulation and property allocation; allowing NGO/CBO and commercial credit/finance institution building;
- constitution revolving material or credit funds for self-help/organize settlement upgrading;
- allowing more gradual, step-by-step development approaches by private investors;
- leaving essential (differentiated) services to parastatals, or other specialized commercially operating organizations; other services must be left as much as possible to the market forces; allowing local/neighborhood appropriate standard service delivery through community self-help or the private sector;
- through communication and by commitment from the public sector ‘public-private partnerships’ should be established for infrastructural upgrading and mid-class housing projects etc. And ‘public-community partnerships’ for appropriate communal service delivery projects;
- institutionalizing community participation (including traditional institutions/leaders) in planning and management of cells/neighbourhoods;
- decentralization of decision making to local level and centralizing the bureaucracy, having one office(r) dealing with one specific service/action.
- for Mbale being a secondary towns MMC should not concentrate on urban development/management alone. Instead regional integrated development policies would strengthen the specific urban-rural socio-economic characteristics. With the secondary town as service, commercial and industrial center in a rural production hinterland. In order to distribute development rural satellite-centers should be promoted.
- for more specific recommendations see 18.1.3+4;
Within a differentiated deregulated more commercial system as advocated above, special attention must be given to the poor. Because through commercialization some of the essential services are (may become) unaffordable for the poor. Therefore, apart from some public sector control, differentiation of regulations and the use of cross-subsidies are advocated.

For the reorganization of MMC (as for application of the tool and governmental reform) some external assistance and pressure or attraction is advocated. Because the social and political sensitive task of retrenchment will not be done automatically and objectively from within. Within the public sector (extended) family, ethnic and even religious relationships do play an important role. So also the reorganization would go against the self-interest of the people within the public sector.

The general manager of Bugisu Cooperative Union, the biggest company (coffee) in Mbale, illustrated this need in an interview;

The company also had to reorganize. Because Bugusi after a period of being nationalized and operating as parastatal on a controlled market, now was a private, commercial firm on a free market. Also at Bugisu during the period as a Government controlled organization a lot of people, Family, Friends (ethnic and religious) were 'employed'. Now operating on a commercial market BCU had to reorganize to reduce their over-head costs to become competitive again, in order to survive under the new market conditions. At first the reorganization was executed by the management itself but because of the internal resistance ("nobody wants to fire his 'brother'"), it was decided to have the second phase of the retrenchment proposed by an external consultancy firm. So in this case external pressure= the market and external assistance= consultant were necessary for this reorganization.

Also MMC will need the same stimulances in order to reform, revise, reorganize. Zaanstad could, next to the indirect IMF pressure (on national level), play the role of external stimulance (attraction and assistance, but placing the cooperation within a clear framework - see 17.3.4). If the in this context often advocated capacity building of the public sector is done within the present government structures, the position of the public sector would only be strengthened, with more restricting control and or power over the other sectors.
18.1.3 Physical Planning recommendations

Recommended is a more or less compact town with a high density, in order to make efficient use of existing infrastructures and land, and respecting the rural hinterlands. This comes in stead of the MMC-proposed low density extension (see fig.25 Appendix 8), which consumes much land and demands major infrastructure investments. Apart from creating a compact town, also the spreading of development, economic activities and urbanization through the promotion of satellite towns and sub-centers is recommended, thereby integrating the secondary town in its rural surroundings and strengthening its socio-economic urban-rural ties.

The physical planning recommendations for Mbale will be illustrated in the following figures:

Figure 13 shows the characteristics of Mbale:

- strong North-South Axe by the main road, and perpendicular to that road that the ‘old-60’s-center’ with strict segregation of areas (an example of the racial/colonial planning in East Africa as mentioned by Bangikwa (93) and UNCHS (91) in Part II);
- lot of open space around center, ‘golf course’, so called forest, and large areas which are still almost rural;
- scattered settlement areas/estates, and schools.

(see also fig.24-25-26-27-28 Appendix 8)

Figure 14 shows a concept of the proposed structure plan. Upgrading old centre. Densification around existing infrastructures, occupying open spaces like so called Forest, but creating on the other hand ‘Green Vains’ (= ecological life lines) within town. And creating small urban and peri-urban sub centers. Distribution of urbanization, and integration of the secondary town in its rural economic surroundings is advocated through the development of satellite centers. In this planning two principles were followed:

(i) the respecting of the existing structures, not only by densifying around the man-made infra-Structures, but also respecting the natural Structures, the Eco-Vains, and the respecting of the social structures by using the spontaneous cell structures as the basis for detailed planning (as explained further down);

(ii) distribution of development through the creation of peri-urban sub-centres and regional satellite town.
DUAL LAND MARKET and MIXED LAND USE

Legenda

: centre
: prime-land zones with centres
: social land cells with centre
: green vein

fig.14; recommended structure plan for Mbale (concept)
Figure 14 also introduces/advocates:

(a)-DUAL LAND MARKET;  
Differentiating the land allocation and construction development systems in two segments:
1- ‘Prime Land’ to be sold, or leased for longer than just 49 years, to the highest bidder (tendering). Connected to prime land are high development conditions and standards, plus a high level of infrastructure services. Therefore prime land should be first off all situated around the existing infrastructures, making it interesting for potential investors.
2- ‘Social Land’ to be allocated at ‘cost-recovery’ price level (evt. cross-subsidized by profits from prime land market). Allocation must be cheap, easy and fast to the low income groups giving them land property security in order to invest in their own living environment. Here appropriate, low-level standards should be applied. And an affordable level of infrastructures should be introduced.

Special attention must given to cadastre and registration in order to avoid speculation. In general development can be stimulated by a differentiated local tax system for developed - and undeveloped land.

(b)-MIXED LAND USE;  
In stead of strict zoning, allowing within one area and even on one plot mixed activities; -residential, commercial and even industrial. As long as there are limited disturbances for the surrounding area/people or environmental hazards involved. Even intensive urban Agriculture should be allowed, being one of the major income sources of urban dwellers in sub-saharan africa ( According to KUS >50% of Kampala land is still used for small scale Agriculture, and contributes largely to the income of most urban dwellers). Next to differentiation in land-use within one area also differentiation of plot sizes and service level should be introduced in order to create more offer according to demand.

In the ‘social land’ areas, the reinforcement of the existing geographical cell structure should be promoted, this is also in the spirit of Bolt (see also fig.28 App.8). Recognizing in the spontaneous settlements cells with a radius of +/- 1 to 2 Km, with in its center a (informal) market, a peri-urban sub-center. These existing cell structures with the interconnecting roads are advocated to form the basis of the detailed planning. Planning at this level should be done at much as possible with the participation of the people/community themselves. This "Planning at Parish level" could coincide with Urban Management on Neighborhood level through urban management units (see tool 18.3), involving here as much as possible traditional- and community institutions. The public sector should concentrate on the planning and management of ‘higher level’ infrastructures and public open spaces and public service areas.

Also KUS (93) recommended for Kampala: mixed-use zoning; simplified building and development codes; progressive development of sites; simplified and open procedures; community participation; decentralized administration; planning on parish level.
Figure 15; illustrates the principle of phased development. For the spatial strategy a step by step approach is advocated, leaving on the one hand the rural hinterland in tact as much as possible (compacting). While on the other hand integrating the urban and rural developments as much as possible by the promotion of sub-centers and urban satellite (service and production) centers. Through a phased approach the planning can be made flexible and adaptive.

![Fig. 15; phased spatial development](image)

Phase I; compacting around existing infrastructures densifying land use
Phase II; stimulating ‘urban development’ in satellite centers,
Phase III; extension of the existing boundaries.

(Phase 1+2 should preferably be executed simultaneously)

18.1.4 Indepth Studies

**Shelter recommendations**

In order to promote private sector housing development and self-help housing, the legal property security must be made more accessible and affordable, especially for the low-income groups (the majority of the population). Legal property security is THE precondition for investments for all, private and community sector, rich and poor. Erkelens (91) also sees property security as a ‘preconditioning factor’, this apart from credit, low-income, infrastructures and building codes.’ I agree with Erkelens and therefore recommend: that the land allocation system (lease or sale) must be simplified and made affordable, for example through the above mentioned ‘social land’ in a ‘Dual Land Market’; and to enable housing development according to standards, these standards (building rules, "health act") need to be reformulated within a new differentiated system (with appropriate low level affordable standards for the ‘poor’).

Because ‘having standards that cannot be enforced is the same as having no standards at all’ (as Earle (93) rightly formulated it).
Further shelter strategy recommendations:
(a) Promoting/allowing self-help organization in cooperation with (small scale informal) private sector; (b)
Coordinating community self help through CBO/NGO's; (c) Through communication promoting Public-
Community participation in appropriate service delivery; (d) Allowing local building materials use and
production; (e) Relaxing (differentiating) standards on house design, material use, sanitation and detailed
planning; (d) establishing in cooperation with CBO/NGO's credit facilities or revolving material funds.

In order to make legal credit and loan institutions accessible it is advocated to disconnect the
land title and occupation permit. Give legal land property security, with which a legal mortgage
can be obtained to develop the house. This is the same system as in rural land allocation in
Uganda. Development can than be stimulated by a differentiated tax on developed and
undeveloped land, (as also being advocated by the UMP).

The rental sector should be promoted by legalization of customary land including land subdivisions, rental
units, under appropriate planning and development control by the local government, in order to safeguard
the interests of the tenants (see appendix 8 fig.33). Because the rental sector plays an important role in the
housing market. (for example 72% of the dwelling units in Kampala are rented (KUS(93), also in Mbale the
majority of the households rent a dwelling unit, see surveys). I agree with Kumar (93) that;
'Policies aimed at supporting the provision of affordable (rental) housing by landlords are
urgently required.'

A new shelter strategy should involve all sectors on all levels with specifically for the low-income groups an
approach that, as Kironde (92) formulates my recommendation; 'is made by local standard (not western)
within the capacities of the population and authorities.' he calls for, in the spirit of Turner (72),
'professionals and population to work together and evolve new solutions and new standards.' I agree fully
because present (english colonial) standards are completely out of touch with reality and out of reach for the
majority of the population. These high standards exclude the majority from access to legal property, and
therefore they do not invest in their Shelter situation.

Land Allocation recommendations
Land is the basis for Shelter and Planning, therefore already some crucial recommendations on land
allocation systems are given in the above paragraphs.

The general recommendation is; make land Affordable and Accessible by simple differentiated land
allocation, leading to property security a precondition for investments and credits.

Further recommendations are:
- deregulation and decentralization in order to reduce Bureaucracy; reducing it's long and expensive
  procedures, Preferably introducing a 'ONE-STOP-SHOP', one office handling all land allocation matters
  for the potential 'land owner';
- simplification and transparency in order to reduce the Mis-use related to the procedures;
- reformulation and differentiation of planning-, survey- and building standards, to make the restricting
  regulations; Enabling, Affordable and Appropriate. With special attention (special differentiated
  regulations) for the poor(est);
- Legalization full size customary land claims, plus allowing free market sub-divisions and rental room/house
  construction, under appropriate standard and planning control (see fig.33 Appendix 8);
- Disconnect a land title from housing permit. Give land property security in order to obtain legal credit;
- Give real land property security by selling or long(er) term leasing of land;
- survey and cadastre standards should be relaxed, to reduce costs involved in land allocation.

According to Dowall UMP 7 (91); 'Experts argue that the best way to manage land-use and
development patterns is to rely on market forces, but the public interest might not be served.'
And also the poor might be drop-outs, being forced out of the urban settlements, because they
might not be able to compete on a commercial free market. Therefore I agree with Dowall that it
is 'essential to find a proper balance between, or division of labor, between the public and
private sector.' As advocated by the "Dual Land Market".
My recommendations are confirmed by the National Workshop on Land Management in Uganda (organized by The Ministry of Lands and sponsored by the UMP): (a) one-stop center; (b) Land should be sold at open market prices so that the cost of provision of infrastructures is included in the cost of the land; (c) encouragement Public-Private Partnership; (d) recognition of customary tenants (owners) with allowance of subdivisions; (e) relaxation of the high standards; etc...

Concluding from the literature studies in the two Studies one can see that the official government recommendations (in official documents like NNS and Workshop) for reform and revision reflect the general international opinion (WB, IMF etc). But although the policies look fine on paper, little of it is expected to be practised (because of the lacking public sector commitment on the different levels). This confirms my statement that the malfunctioning of the public sector (in Uganda) is not so much a question of not knowing, nor not being able, but more a matter of not being committed or willing. For a change, a (national and international) political reform is necessary. (see in this context Appendix 1 "preaching and practising").

18.2 Urban Management of Secondary Towns in Uganda/East Africa
The general recommendations for secondary towns in Uganda/East Africa, and maybe even for most LDC's follow mainly the line of the specific recommendations of Mbale (18.1) and of those of the earlier mentioned enabling policy and criteria for 'good governance':
- a new role for the local government and its 'urban planner/manager' as intermediary between the different development sectors in a participatory communicative strategic approach, a new role that is partially enabling, coordinating and controlling;
- a local government with reduced influence, reduced staff, reduced number of tasks ((with as prime tasks; legalizer (planner, land allocator, property security 'giver'), co-supplier of essential services, Co-implementor of Infrastructures)), and reduced number of actions/projects undertaken leaving most of the development actions to non-public sector.

For this new role: I underline (to some extent) the principles of the 'Enabling Policy' as advocated by the World Bank and UN. I do agree that the local government cannot perform their classical role, and that the market forces can operate more effectively. But in this age of 'retreating governments' I still strongly advocate a controlling - coordinating task of a 'Good' ((inter)national) public sector in order to avoid that large parts of the (world) population and (world) natural resources will be sacrificed for the short term self-interest/benefit of a privileged class (western and southern elite). This will avoid, as Pronk (94) formulates it;

'global dualization of small groups of people(s) with - and large groups of people(s) without access to the formal (world-local) economy.'

(see also Appendix 1 Dualization)

For this new role a general reform of local governments political-administrative regulatory, legal and institutional frameworks must take place. With revision, simplification, deregulation and differentiation of most (local) rules, regulations, standards, procedures etc in order to reduce the restricting and constraining effects of local governments regulation, bureaucracy and corruption; Most developing countries are still operating with the inappropriate inherited colonial frameworks (-see Appendix 1 for description of the Alienation process of Governance in Africa).

The characteristics of secondary towns, the urban-rural socio-economic ties should be most clearly reflected in the physical planning and related regulations. Creating a compact regional town with in the peri-urban areas allowing urban farming, mixed land use, local (traditional) building material and construction standards. The rural characteristics of secondary towns should be tolerated, those will eventually change along with the transformation from a merely rural economy to an urban economy. Apart from the compact town, leaving the rural hinterland as much as possible in tact, also rural satellite centers should be promoted in order to distribute development, and strengthening the regional (urban-rural) function of the secondary town.
18.3 Improved Urban Management Tool

18.3.1 Theory = Communication
The theory which was the basis for the tested Tool said that; in order to enable or coordinate the local governments first needs to communicate with the other non-public sectors. With communication being the most basic form of participation. Through participatory structured communication a better mutual understanding and commitment could occur, eventually leading to participation and partnership.

As stated in the evaluation the Tool (communication) itself does not work on its own. The motivation for the different sector to participate in the process is not automatically there. And the necessary commitment of the public sector to a process that might result in a change of position will not come spontaneously.

So the theory in short should be Participatory - multi sectoral - Structured Communication for rapid urban assessment and information gathering as starting point for participatory decision making, planning and urban management. BUT with (external Pressure - or preferably Attraction) Incentives (means) in order to motivate the participants and to commit the public sector to play its new role in a new approach of Urban Management. (but see also Appendix 1 where this external pressure is put in historic perspective)

18.3.2 Tool improvements
The main problems of the during the TOOL test were:
- getting people together for the sessions;
- the constitution of the session groups;
- the too complex set-up of some of the sessions;
- difficulty of some of the communication techniques.

Therefore or you leave out completely the idea of sessions and work only with interviews and surveys. Or adapt the Tool as recommended:
- select small interested workable groups (homogeneous);
- make sessions and techniques simpler, shorter;
- work more with small groups then individually;
- attract people by offering them something; allowances, workshop days/week-end with food/drinks, reports etc.

This last point might work for the public sector (officials) but a real incentive from the private and community sector will be that the public sector at least shows some interest and commitment towards them and towards the communication process, in order to create trust and a workable relationship.

Further improvements:
- To reduce the difficulty, the sessions need to be simplified, made shorter and faster. Especially the analysis must be made simpler instead of SWOT. Leaving out the visualizing elements.
- To reduce the personal/individual unease during plenary discussions and replace some of the individual brainstorm discussions by small group discussions.
- To reach a sufficient level of quality of the information gathering process, the sessions need to be repeated with different groups, on different levels, concerning different aspects and by repeating in time. For example every year using the information of the year before connected with information from the evaluation of the actions and the additional indepth information from the studies.

For the scheme of the improved Urban Management Tool see fig.16

85
The improved tool still consists of three parts: I communication; II physical planning; III indepth studies.

The differences in the improved UM TOOL (fig.16.b) in comparison to the initial UM Tool (fig. 16.a) will be briefly discussed first (nr.1) the general conditions then the specific improvements per tool part (I-II-III).

**Conditions**

1-the TOOL needs additional incentives (local or external):
   (a) means and status to attract people to participate; and make the presentation more professional;
   (b) funds to implement the small priority actions to create good-will;
   (c) funds to constitute an Urban Management Unit being a small multi-disciplinary group responsible for the organization of the communication and urban management process. Functioning as an intermediary between the different sectors and to the community through the neighborhood urban management units. (see organization 18.3.3 and figure 17-)

**tool part I Communication**

2- Inventorization through:
   (a) interviews with key-informants from all sectors, on local and national level; and
   (b) plenary sessions, with large homogeneous, even uni-sectorial groups, from society in order to get popular input, - support and commitment.
The plenary sessions have become part of the inventorization in order to fully consider the information from the various plenary sessions in the following analysis session. Preferably plenary consultation sessions are repeated in various stages of the process in order to get popular and political support from the concerned groups.

3- creation of an ‘Urban Management-INFORMATION/DATA Bank’
   (city-profile/ MIS Management Information Systems).
   Storing the information gathered from the (a) inventorization; (b) additional information from physical planning; (c) studies and (d) evaluation. The updating must be done through team or unit-sessions.
   It should be a comprehensive, centralized, all sector, all aspects Information/Data Bank, which would form the back-up support for the tool. Based on the information in the ‘Bank’ the analysis and (re)formulation of vision, strategies and action programs should take place. In urban management it is essential to have up to data information to base the decision taking on.

4- Preferably out of an organizational point of view, the analysis-vision-strategy-action proposal sessions should be combined together in ONE (day/week-end) multi-sectoral, -disciplinary group session.
   In order to make the sessions more attractive, easier to get organized and to make the process more RAPID, this combined session has been introduced. To attract people the participants must be offered something for their input; drinks, food, maybe even a week-end in a ‘conference center’, and a session report. Important is also the homogeneous constitution of the group and the neutral/relaxed atmosphere of accommodation. After the group session it is preferable to check the outcome through plenary consultation sessions, in order to get popular and political support for the proposed vision, strategies and action programs.

5- Based on the out-come of the session(s) an Action Planning (short term and long term actions) team session, preferably involving all sectors, takes place.
   Also for the detailed Action Planning (5) and action preparation and implementation (6), consultation through plenary sessions with the concerned groups is crucial.

6- Additional funds are necessary to implement on short-term some small priority actions in order to create good-will with the local government and other sectors.
   In the first preferable community/society orientated actions the community (sector) and private sector should be a much as possible involved. In formulation, finance, execution, maintenance/management of the actions.

7- Visualizing the information gathering process takes place in team or unit sessions, preferably involving other sectors. Planning on detailed "Parish level" should be left as much as possible with the concerned community in cooperation with the UM Units on cell level.

8- Which subjects are determined through the group or team sessions, should also be executed in small and at least multi-disciplinary groups, but preferably also in multi-sectoral groups.

18.3.3. Organization improved urban management tool
For a optimal functioning of the tool and execution actions a special organization must be created:
   an Urban Management UNIT constituted of a small multi-disciplinary TEAM. (see fig.17)

The main tasks of the Urban Management Unit- replacing the role of the traditional urban planner-:
   - coordination of the tool-communication process;
   - play an essential role in the team sessions, action planning, physical planning, and possibly in studies;
   - responsible for the inventorization and the establishment and updating of the Data-Information Bank;
   - linking the communication process and the physical planning and studies, through the data-info bank;
   - coordination implementation and evaluation of the actions, especially those on town level;
   - intermediary between local government and the community through neighborhood UM Units;

87
Hereby the new role of urban 'expert' (urban planner, urban designer etc.) changes; the "Urban Manager" (as in fig.4-page 25) is not one person or one discipline taking decisions for the town, but a multi-disciplinary intermediary between the different sectors and levels of the urban society. An communicative intermediary enabling a participatory decision making and planning process. This can/should not be the task of one single person or one 'new discipline', but preferably an at least multi-disciplinary, and if possible multi-sectoral team/group-task. Urban Management being a strategic, dynamic, continuous, participatory communicative process therefore demands a new work approach of the experts and thus a new expertise. An expertise and approach that is need of new tools and new organization forms.

The plenary sessions on neighborhood level play an role in: (i) inventorization; (ii) analysis and action formulation; (iii) consultation; (iv) action planning; and (v) action implementation and evaluation. These sessions should be organized by the Neighborhood Urban Management Unit, whose primary responsibility is the daily Urban Management on Neighborhood level. And being an intermediary between the population and the municipality. As advocated by the UNCHS (91) traditional institutions and CBO's should be as much as possible involved in these Units. These units should also play the coordinating role in the 'physical planning on parish level' option. Where the local government determines through physical planning team sessions the major out-line on higher level.

The constitution of these units on neighborhood level is to be able to involve as much as possible the different 'scale levels' of an urban society; delegating responsibilities and, planning and decision making rights to the lowest workable level, in order to bring governance as close as possible to the people; enabling (community self-) governance/management by the people. Because ultimately the most important aim of both the Tool and its organization is: involving of the population; looking after their interests; making use of their potentials and initiatives; and offering them perspectives.

![Diagram](image-url)
EPILOGUE

In this epilogue I will give personal reflection on the research;

It was to me personally not stimulating (maybe even frustrating) to see the very limited practical use of my efforts of the last year. The practical use became limited because: Zaanstad could not decide to commit itself; MMC is not interested (and therefore not committed) in critical debate about the subject of the research; the University as an institution is not interested in IDC. I therefore finished the research mainly to obtain my degree. And although I personally learned a lot from the research, and found it interesting to execute it, I am still left with a 'hang-over' feeling. Because to me working within IDC means being committed to an objective; Poverty Alleviation (= official dutch objective of IDC), for a specific target group; the Poor(est). And by executing this research I did not have the feeling that I achieved either of the two. And for me researching something (within IDC) for the sake of researching, purely out-of self interest (because we find it interesting personally and/or scientifically) is as objectionable as the attitude of local government looking after their self-interest first.

As for the writing of this report I found it very difficult to be motivated to finish, because of the above mentioned general reasons, and because during the process of writing the structure and the form seemed to be more important than the contents. Apart from that I had difficulty of leaving out much of the (collected) specific information and so much (known) general information, in order to limit the total size of the report. Therefore the report did not become as well documented and well put in its perspective as I have wanted it to be.

As for the tool I do belief that, IF it is being used with the best intentions (- COMMITMENT -), it does have a great potential (- through PARTICIPATION -) of reaching: the OBJECTIVE and TARGET GROUP of the INTERNATIONAL DEVELOPMENT COOPERATION.

R. MEYER, VIII 34/161

89
R Meijer University of Technology Eindhoven - BPU - OPB
URBAN MANAGEMENT of SECONDARY TOWNS, the case of MBALE - Uganda
an urban management tool, applied to Mbale

APPENDICES

CONTENTS:
1 General reflections on International Development Cooperation
2 Sessions - set-up analysis session
3 Shelter survey - set up
4 Additional background information Mbale - Uganda
5 Overview case-study work done
6 Results sessions
7 Crude results and analysis shelter survey
8 Physical planning
APPENDICES

Appendix 1: General reflection R Meijer on International Development Cooperation (IDC)

In this appendix I would like to give some general reflections about issues that are directly or indirectly related to IDC and/or urban developmentmanagement. All the aspects, historic, international relationships etc will be discussed in a more or less random order, also some specific subjects will mentioned in more then one paragraph, because all the discussed issues are more less inter-related. But in all discussed issues I see causes, reasons or at least relations with present urban problems in general and the specific problem of the (non-) functioning of the (local) governments in Africa (LDC's).

CONTENTS Appendix 1:
1 GLOBAL MANAGEMENT
2 DUALIZATION
3 ALIENATION PROCESS AFRICAN GOVERNANCE
4 'PS' EXTERNAL PRESSURE
5 PREACHING AND PRACTICING
6 AFRICAN DEMOCRACY
7 ASIAN EXAMPLE
8 SOLUTIONS AFRICAN CRISIS

1) GLOBAL MANAGEMENT

As indicated in the beginning of chapter 18 the Problems of Cities and Towns in LDC's cannot be solved by 'appropriate urban management' or 'good governance' alone. There are many causes and reasons for the general problem of poverty and 'under-development', problems that are originated in History, Politics and Economics (both on national and international level); but also in demographic developments, ecologic degradation, and shortage of (natural) resources etc. More and more these are international issues, global problems that therefore demand global solutions/approaches: Global Management in order to match the growth of the world population with the supply of income, services, living environment and stability/security. Critical issues in Global Management should be:

- (a) Economics; the world, through technological developments (communication/transport) is getting smaller, there is already one world market, with after 'the fall of the wall' and breakdown of communism, one leading 'doctrine' Capitalism. But more and more the limits of this ever growing capitalist system are becoming clear. Due to our (mainly western= Europe, US etc, and recently East Asia, lead by Japan) claim on resources that the present economic machinery consumes the world eco-system (environment) is deteriorated, and essential live commodities as water, air, energy and even calories are getting scarce or at least expensive. (Today 20% of the world population = we, the 'west/north', consumes 80% of the world energy). Apart from the claim on the worlds-resources and the deterioration of the global environment, is the question how do you distribute development (and therefore resources and environment) to the other developing 80% of the population. Especially when this world population is growing so fast. A redistribution of economic wealth and power, together with a redefinition of our economic thinking and behavior seems essential in order to match the growth of the world population with the supply of income, services, living environment and stability/security. Critical issues in Global Management should be:

- (b) Environment; as indicated above the international economic order has an major impact on the world environment. Mis-use of natural resources and pollution of the environment maybe explainable out of short-term (personal/local) interest but has an major impact on the future of the whole world. The conscience towards the global impact of over exploitation and pollution has grown to the point that at least we talk about a global environmental management approach. But I personally do not think that a deteriorated environment will be the most dangerous threat to human-life on earth. Maybe with proper environmental, resource and energy management man-kind may survive until the year 3800, but I think that demographic developments linked to a dualization of society (so not a redistribution of power and wealth) will much sooner ( 3080? 2800? 2080?) lead to the down-fall of man-kind; "the struggle for survival"
- (c) **Demographics:** the enormous population growth (8,500,000,000 by the year 2025, in comparison to the 2,100,000,000 in 1950; with most of the growth in the poor South) is to my point of view the most critical issue in global management. All of these 8.5 Billion have a rightful potential claim to as much income, energy, resources as we do (on present level, and on our ever growing level of consumption in the future). Whether this equal level of development for the whole world-population now and in the future is obtainable, let alone sustainable is very much doubted. And if there will not be (as mentioned above) a global redistribution, this will lead to the already indicated and later further discussed Dualization, most likely resulting in massive political instability and conflicts. These dualization conflicts have occurred in History, and occurring on a small scale right now, but will, with a growing population, only increase to a maybe global struggle for survival between the few who have and the masses who do not have access to the formal economy and therefore income, resources, energy etc.

- (d) **Politics:** the risks of an global dualization (large parts of the world-population (the majority) living in poverty without the perspective of improving their situation up to the level of the happy-few), together with scarcity of resources, degredating environment, AND a rapidly growing world-population are the potential ingredients for national, continental and even global conflicts. Therefore in the discussion about the redistribution of economic power and wealth also a redefinition of global governmental representation and political power needs to be achieved. Because also Alien/non-representing inherited governing structures are a reason for conflicts; as is in Bosnia and throughout Africa (see also 3 Alienation African governance). All through history structural differences in wealth and oppression have been a source of conflict, leading to war or massive migration (for example the european economic refugees to the Americas and Australia)

**City in History**

Civilization is (sometimes officially) defined as urban-life. Great civilizations were admired and judged on their achievements that usually took place and form in cities. These cities in History had sometimes completely different (main) functions:

(a) the religious and governing functions of the ancient cities of the Chinese and Maya;
(b) the military function of the Roman cities;
(c) the trade and science functions of Greek cities; and

(d) the industrial functions in England at the beginning of the Industrial revolution; etc.

But all great civilizations had great difficulty managing those urban centers, both in: (i) natural resource management; and (ii) human socio-economic management; for example:

(i) the very first city Oeroek (2600 B.C.) in what is now Irak, ceased to exist because of the ecological degradations of the rural hinterland; this ecological decay has struck many more urban centers throughout history, as pollution is also one of our main urban problems today;

(ii) the Roman empire fell to the germanic barbarians, because the difference in wealth with neighboring people, together with oppression and exploitation of these peoples.

Apart from external dualization, also internal dualization has led to many downfalls of civilization. In the past Rulers of Civilizations (in their quest for Urban Management) used Walls to keep the POOR neighbors out and Oppression to keep the POOR citizens down, neither Walls or Oppression eventually have kept the poor masses from getting what they were deprived of; all these conquests and revolutions (conflicts) ended with the downfall of the ruling elite.

2) **DUALIZATION**

The above description of the down-fall of civilizations because of differences in wealth between peoples (countries/civilizations) and within a society brings me to the issue of Dualization.

Pronk (94) describes in his latest book some stages of the global dualization. According to Pronk the world has become an 'Global Village', operating more and more on one single world market with one ideology. He sees for the public sector an important role in 'global village management' in order to avoid the already in the previous paragraphs indicated Dualization. This role coincides with my recommendations for a partially controlling role of a local government in urban management in order to safeguard the principle of equity; ensuring equal, fair access of all people to institutions, services, markets etc.
This principle of equity was introduced, because of the fear that within a more commercial urban society the most vulnerable groups might not have access to formal economy. The often mentioned ‘enabling policy’ states that because of the fast changes and limited capacity of the local governments in LDC’s; these local governments cannot perform the classic role of development initiator, project executor and service deliverer. Instead of executing projects the local governments are advised to enable the private and community sector to develop themselves. The local governments should only create development conditions, play an enabling or coordinating role. In order to stimulate economic development, and through a developing economy letting the market supplying people with most of the jobs, land, shelter, services etc. In this new role of enabler the local government must operate in a more business style way. Working on at least cost-recovery basis in service delivery, privatizing or contracting out as much as possible work to the private sector. But the risk of this new approach is that it becomes a new form of the ‘trickle down’ approach of the 60/70’s that the poor should/will (eventually) profit from a better (local) economy. In this new more commercial free market approach the Poor(est) risk to be the drop-outs of the system because they cannot afford the commercial tariffs, forced out by competition.

So special attention for this specific target group is advocated (EQUITY). They can take care of creating their own income, and supplying for their own needs, if they are officially allowed or even better enabled. But they might not be able to compete with other socio-economic classes in society. So enabling general economic development Yes, but also protect the interest (land, property, business) of the poor(est), otherwise they might be moved out the formal system.

In the last few years the major western ‘donors’ start considering the special position of the poor within the development process:

- IMF agrees now that local adjustments must be made to their SAP’s, that SAP is no global Reform concept. And that within the SAP’s special attention must be given to reduce the negative effects on the Social sectors (Health, Education);
- World Bank has now a special Resettlement commission to specifically look at the negative effects of large projects, for the indigenous (poor) population. E.g. the Sites+Services project of the WB First Urban Project in Kampala. The project was canceled because the customary land owners would not be fully compensated by KCC Kamala City Council;
- UMP (Urban Management Program of UNCHS/WB) calls for special programs for the poor within the advocated ‘enabling policy’;

Therefore a part of the responsibility of a (local) government should still be, to my point of view, to safeguard the interest of the most vulnerable groups through the principles of equity and accessibility. Thereby avoiding the dualization of a society.

Dualization is a process in which a part of a society is being excluded from the formal economy because they can not compete on the market, in the system, have no access to institutions and facilities etc. Dualization is occurring on all levels, a growing Gap (in wealth level) between:
- the North and the South;
- the Rich and the Poor both in the North and the South;
- regions, countries, continents;
- Cities/Towns and the country side;
- population groups and neighborhoods within urban areas.

The result of the dualization is a growing gap in (income, access to services etc) between the people who have and the people who have not access to the formal economy. This might result just in enormous differences in the standard of living (in the North, although here in most cases people are not yet being marginalized in to absolute poverty) or this might result in to plain Poverty (in the South, where many people can not even obtain the absolute minimum of calories per day). Although the levels of poverty are different between the North and the South both groups have in common that they do not have a perspective of (self) improving their situation and escape from their poverty.

This lack of perspectives together with the large difference in standard of living are a potential source of discontent, leading to violent conflict between the 'Haves and Have-nots'.
Part of the responsibility of Urban, National and Global (development) Management should be that this dualization of society, and exclusion/marginalization of vulnerable groups, is avoided by safe-guarding the principle of equity. (accessibility, affordability of appropriate sustainable laws, services, and institutions; but foremost by giving (self) development perspective to those groups).

**Causes of Poverty: "who's to blame?" - dualization**

Often in the discussion in the 1990's about the causes of: (a) poverty; (b) dualization; (c) the international refugee/migrant 'crisis'; (d) the general issue of underdevelopment; etc, the reasoning is heard (as mentioned by Pronk (94)) that not the (our-western capitalist) system is to blame for the problems (dualization, poverty etc); because "there are opportunities, freedom, equal chances for every individual"; but the poor, refugee, the LDC's are to blame for their own situation; "It is their own fault". Pronk attributes this to the era of: 'no-nonsense'; individualism; the belief in "the American dream". This attitude of the 90's is enforced by: (i) the collapse of the east-bloc (communism) and thereby the ideological debate; and (ii) the complexity of the post Cold-War world. Pronk as Dutch Minister reflected in his policy papers the general public opinion of the 90's with first his optimistic view just after the tumbling of the Wall as documented in 'A world of difference' (in change); later followed by more pessimistic reflections, due to the conflictuous start of the 'new world order', in 'A world in conflict'.

In the general attitude of the 90's lies a major threat that the public opinion in the north becomes indifferent to the general (global) problems of dualization, poverty, environmental degradation etc; and that they will only look at their own (short-term) self-interest first. Because they feel not committed, not responsible, and most of all they feel that they can not do anything about 'it'.

As argued before this quest for personal self-interest (possibly leading to over-consumption/-exploitation) and indifference to the 'out-side world' within and out side their own society has lead in history to oppression and the building of Walls. And only then when the personal interest is really threatened their seems to be a public will to change the attitude. Pronk describes a wave; 'cycles of changes' in the public opinion/attitude. With periods of pragmatism (e.g. the 90's) and periods of ideology (e.g. the 50/60's) that have occurred all through history. Schlessinger describes the first phase in the cyclic movement as 'private interest' ('class and interest politics') and the second as 'public purpose' ('cultural politics').

This public purpose politics are often there in or after times of crisis, whereas the class and (personal) interest politics often prevail in times of prosperity, high (economic) development rates. Pronk argues that for a turning point in the Wave a general consensus must be achieved; a consensus that is usually brought about by a crisis. Therefore the fear is genuine that present global problems (of dualization, poverty, underdevelopment, over-population, political instability, environmental degradation, resource over-exploitation etc) will only be publicly 'tackled' after a consensus has been reached due to a direct (international/global) crisis.

Pronk and Tinbergen see a strong regulating, coordinating, controlling Public sector both on global level (UN) as on local level as one of the possible solutions for the global problems. In order to avoid the dualization of the society and the harming of the public interest. A middle of the road policy is advocated, using the best of two/both worlds. Or as Mounier has put it; 'A 'third way/road' between all sorts of totalitarian doctrines and the hard 19/20th century liberalism'

A middle of the road; third road between:
- Communism and Capitalism
- Control and Liberalization
- Centrally managed economy and Free market
- Collectivism and Individualism

Mounier calls it 'Personalism; a combination of respect for solidarity with individual dignity'

Other third ways might be: (a) centrally led capitalist economy (as in the Asian example see 7); (b) social liberal democracy; or (c) in the context of urban management Controlled/Coordinated Enabled Free Market.
As part of this middle of the road, third way approach lies included the already discussed redistribution of both economic and political power. For this redistribution and the management afterwards the public sector will be playing an important role. A role that has to reflect the principles of Good Governance. Present role of the public sector in LDC’s is as stated in the report not ‘good’, and it is therefore recommended to reform that role and change the interrelated frameworks and structures. In the next paragraph some historic explanation why the role of the public sector in Africa is not ‘good’, why governance has alienated.

3) ALIENATION PROCESS OF AFRICAN GOVERNANCE

In this paragraph I want to give an overview of the historic stages that Africa experienced. Historic stages that have had a major influence on the forming of the present political structures in Africa. Stages that in my view contributors to the process of alienation of governance in Africa. This paragraph is written with intention to: (i) to put the present role of the (local/national) government in an historic perspective; (ii) to underline ‘our’ western influences in this alienation process; and (iii) because in the international public debate going on about ‘The African Crisis’ often the opinion is heard that; "It’s Africa ‘s, the African own fault" or just "The African dictators are to blame”.

Whereas I will try to argue that the blame lied and still lies to a large extend with "us-the West". Because we introduced the colonial structures and supported the post-independence political elite, to keep those structures in tact. Much of this was done out of SELF-INTEREST of both the ‘North’ and the local ‘Southern’ Elite. (see paragraph External Pressure). I will try to explain why I see the inherited Nation State with its structures and frameworks as the main reasons of the Crisis. Or as Basil Davidson named his latest book in this context; ‘Africa and the curse of the Nation state; The Blackman’s Burden’.

The above mentioned reactions; "It’s Africa’s own fault!", remind me of the present western attitude towards the DUALIZATION (see paragraph) of our society (both Globally as in the West), as described by Pronk (94); "the victims (poor) are the cause of the poverty" as the opinion of the 90’s.

In the context of the asylum problem (refugees/migrants coming from south to north) Pronk illustrates the above mentioned attitude as follows: ‘The society is not to blame for the refugee, (...) on the contrary; the stranger/refugee is responsible for the failing of our System’. Or reformulated in the African context: Africa itself, the African are to blame for the African crisis, not the international (western) System.

The following description of the various historic stages is meant to illustrate my point that WE, the West, the international SYSTEM, are (at least partially) responsible for the present situation in Africa. And that for that reasons will not only be found in changing the structures in the south, but also by changing the structures of the whole global SYSTEM = real INTERNATIONAL REFORM!

Africa (african governance) went in the last centuries through various stages:

- Precolonial; in precolonial Africa the forms and ‘levels’ of governance were as different, and differentiated as Africa itself was, and still is. There were many great civilizations; Zimbabwe, Ashanti, and in what is now Nigeria there were: several the sultanates e.g Kano (Haussa) in the north, and in the south the great Iron and Bronze casting civilizations of the Ibo, Benin and many more. There were also great military powers like the Peuhl in west Africa, the Zulu’s in southern Africa. Their forms of governance were as different as their way of living. In Uganda the agriculturist in south had Kingdoms with elaborate governing and administrative bodies (e.g. Buganda), while in the North the cattle raising nomadic ethnics had completely different social (and thus governing) structures (e.g.Karamajong). In Uganda alone there are still over 35 different ethnic groups which have or had their own traditional specific language, culture, social and economic structures, and thus different governing structures.

- Colonialism, started with the ‘trade fortresses’ in the coastal areas. Specifically interested in the slave trade. Bringing European, Arabic and Asian influences next to taking away millions of young people (in ‘collaboration with local chiefs). The second phase in colonialism was the ‘Scramble for Africa’ starting european Imperialism in Africa. Subdividing Africa at the 1884/85 Berlin Conference giving it it’s still operating and fully artificial boundaries.
These artificial boundaries were drawn by the colonial powers on maps on areas that were mostly never visited by westerners before. Where so called explorers did visit some specific natural features like rivers, lakes, mountains etc were used as 'natural boundaries'. But in the African countries people (of one ethnic origin) tend to live around those natural features, those natural boundaries do not separate them from their neighbors, they unit their people. So out of ignorance or evil spirit those 'natural boundaries' divided ethnic groups in separate colonies. In the areas where no (western) knowledge was available the 'drawing-board boundaries' (west Africa sahel) also divided ethnic unities and cut of traditional cattle raising (nomadic), caravan and trading routes.

To my point of view these artificial boundaries, which are still part of the international order of today, are the most significant feature of the Alien government structures in Africa (the same can be said about the nation state boundaries in eastern Europe (treaty of Versailles), the middle-East and Arabic world, and most of Asia).

With the artificial boundaries came the colonists and colonial political, administrative, legal and cultural systems. With differences depending on the country of colonists and not on the colony.

With the coming of the colonists the African degraded to second sometimes third class citizens, either or not an official Apartheid system. This lead to major inferiority complex of the African, in his culture, his language etc. Africans in colonial days were only used as low ranking civil servants and military (after a thorough western education) and further more they were only considered useful as cheap laborers. Many different ethnic groups were now (by the artificial boundaries) forcefully 'joined' in to one colony (later to become a nation), with one ethnic treated and used differently then the other, this created major tensions between the different ethnic groups. Often the colonial administration selected one specific (often minority) ethnic group to become low ranking administrators and an other to become the low ranking colonial soldiers. Both the borders and the employment of both administrative and military colonial servants were based on the ancient old principle of "Divide and Rule".

Apart from the introduction of western colonial governing structures, also (after first robbing the continent of millions of people) western economic structures were introduced. Because the colonies had to be exploited (in both natural and human resources) for the benefit of the colonial 'motherland'. Especially in the field of Agriculture (introduction of western cash-crop production and production methods) this had, and still has, an major impact on the situation of the average African.

ii Decolonization; After independence the artificial boundaries remained and the people who worked for the colonists promoted to Political, Administrative and Military leaders using the inherited structures. This decolonization was partially pressured by the two new world powers (US and USSR) after the second World War (conference of Yalta 45). Because the colonial powers never really had the intention of handing over the power to the 'locals', the independence was very badly prepared. And almost naturally the former colonial 'collaborators' (civil servants and military) took over from the colonist. These new political, administrative and military leaders (the New Elite) of the new independent nations, who all went to western missionary schools and attended western training institutes, were promoted from clerk to president and from sergeant to general. And because the new Elite in most African countries belonged to minority ethnic groups, they were not all that keen to introduce 'real' majority democracy, and they ('understandably') looked after their own (extended family, ethnic) interests first. This new political elite were therefore not the representatives of the (whole) population and had every interest in keeping the inherited colonial frontiers, structures and frameworks in tact.

iii Independence; off course the young independent nations became instable because of: (a) the internal tensions; and (b) the import of Alien Ideologies.

(a) Internal tensions between the different ethnic groups who were now forced into one new independent democratic nation (all after western example); and internal tensions within the governing bodies, between the new Political, Administrative and Military powers.

(b) Alien ideologies were imported during the Cold-War period; this war was being fought on a small-scale in many 'civil-wars' in Africa.
During this post-independence period the local/national leaders were (because of their minority ethnic background) more interested in their own position, power and bank account than anything else (let alone the interest of the majority of the people). The Super powers supported (or even installed or maintained) these local leaders purely out of strategic and economic self-interest. In that situation the political stability in the new independent countries was more important (because of the fight for or against Communism and the steady supply of cheap raw materials) than the political moral (human rights, real democracy etc) within the new independent 'democratic nations'. Addressing the new political representatives (dictators) on these issues would be considered "an interference with domestic affairs of an independent nation", and was not done (because it would be nobodies interest except that of the population).

iv Development 'Aid' the decennium of international development aid introduced two additional destablilizing factors: (a) improvement of the basic health care; and (b) the Debt crisis.

- (a) the introduction of western health care (vaccination programs etc) was done with the best intentions by the many western organizations and governments. To the western public opinion child mortality on such a large scale was 'morally' unacceptable, also because a cheap remedy (vaccination) was available. But the import of western medical technology (and therefore/with western norms and values) not just improved the health situation of the population but also lead to an enormous population explosion, with a doubling of the population in every 15 to 20 years (including a rapid urban growth). The remedies for supplying the growing number of people with adequate work, income, services or even calories were not as easily (cheaply) available as the vaccines. The overall result of this improvement of the basic health care situation is that the population growth cannot be matched by the economic growth. In most of Africa today the social and economic indicators per capita are lower than and the dawn of independence, despite the efforts of the IDC.

One can wonder if the same moral mentality concerning life and health care will arise when finally a vaccine against AIDS will be developed (and it will be developed because we, in contrast with Malaria, also suffer, are threatened by AIDS). The argument used in the past was; "You can not let a child die if (by a only 25 cents vaccine) you can safe its life". But will we be as 'ethical' in the case of AIDS, when grown-up well trained - or important strong heads of households die, and there is only a 250 $ (or more) way to safe its life?

- (b) Debt crisis; one of the efforts of the IDC was (in the 70's) lending enormous sums of money to the newly independent governments. The west was ready with the reconstruction after the second world war and had large surpluses on the financial markets, because of the booming economies. Those surpluses were credited to (in retrospect) unjustifiable projects and to untrustworthy creditors (the Dictators, the Elite). The projects in general were unsuccessful, the Elite profited, and the population/country was left with an enormous Debt. The repayments of these debts (through the SAP by the IMF forced upon the present government is mainly shouldered by the population, with cuts on public spending, e.g. Education, Health care and other services.

Where the first introduction (a) can still be considered as an ignorant act of ('christian') Good-Will, which was not thought through, with the unwillingness also to pay for the consequences. The second introduction might be an evil-spirited act of economic/political self-interest; through the debt-crisis creating a (financial) redependency, as the first step in an (economic) recolonization.

v New World Order; Only after the 'victory' over Communism by the 'West' (capitalism), there was western leaders insisted on: New World Order, Free Market, multi-party Democratization and Human Rights'. ( Again all Western and thus Alien concepts) These were introduced/imposed out of ignorance, indifference, arrogance or again short-term self-interest. Now western powers were not so afraid anymore to 'interfere in domestic affairs' (even military although only there where our economic interest was in danger e.g. Koeweit versus Bosnie, or Ruanda). But the international World Order was not an issue of debate, so the inherited colonial structures remain intact, we even fight for it, the case of Koeweit.

And with nowhere else to go (for money) the African National leaders had to accept the western development recipe; a economic-financial recolonization! Now Africa is uni-lateral dependent of/to the West.

96
The west/we now start (through the IMF/WB) urging with more power the need for SAP Structural Adjustments Programs, with pressure on national governments to 'clean up their act', cut on expenditures (social services and even military expenses); and retrenchment of large numbers of governments employees. And whereas all the previous phases were in the self-interest of the west AND of the local-national elite, this last phase might go against the short term self-interest of the Elite in power. This elite will therefore try to hold on to their privileges and power, and oppose or sabotage the reforms. Where the clinging to power may lead to, is presently illustrated in the growing number of domestic (ethnic) conflicts in Africa.

These conflicts and instability of the nation states as they are today, can only be resolved by rediscussing the political structures of Africa (and most of the LDC's and eastern Europe) the artificial, inherited colonial, non-representing 'borders will have to be redrawn', as also argued for by Wolyinka (94). Together with the borders, the Legal, Institutional and Regulatory frameworks will have to be adjusted to the reality of Africa.

Where artificial boundaries and frameworks may lead to when the oppressing dictatorial power fall down is shown all around the world 'Yugoslavia'-Bosnia, USSR, the Indian sub-continent, and Ruanda, Burundi, Angola, Zaire etc. But whether we, the west are interested in redesigning the international order is to be doubted seen the example of Koeweit, although there are also hopeful exceptions like Eritrea and Tigray.

What is tried to illustrate with the above discussed 5 phases in History is that the issue of the African crisis is complex (there are no single causes and solutions), but that we (the west), out of self-interest, have played a (negative) key-role in all the phases of the alienation of governance in Africa. Therefore we will also have to play an key-role in finding an solution for the crisis; now is certainly not the time to say "It's your (africa's) own fault". We shall have to (positively) support reform even if this would mean sharing both our economic and political power. For that we have to start 'Practicing what we are Preaching'(e.g. stop the western protectionism and allow real world-wide free-market).

If we are not to share both our power and our wealth (out of short term self-interest) then the global DUALIZATION, as indicated by Pronk, will continue. And history has shown that eventually great civilizations have fallen because their neighbors were excluded from their wealth; we, the Germanic Barbarians have looted the great Roman empire (despite their Walls) and have set back the clock of 'development' for centuries.

And in this time and age the fast growing population of the South will eventually come to the North, and become or economic or political refugees (migrants like the europeans going to the Americas and Australia). They will come to get what they do not have back home.

When, in the beginning of the next century, 200.000.000 refugees from Africa will be standing for the Gates of the Fortress of Europe, will we still (or precisely because of that) be reasoning that everything is their own fault, or just that "EVERYTHING IS THEIR FAULT"

All these above discussed historic phases have had an influence on what Africa is now today; it made Uganda, it created the local government of Mbale:

- Uganda is a non existing entity, with over 35 ethnic groups in one so called nation, with one non representative government. People still feel far more related and committed to their own clan or ethnic group then to a nation or a social class.

  In Uganda you are first a clan Member, then a Buganda or Bagisu (ethnic group), then a Protestant, Catholic or Muslim and then UPC or DP or NAAM ('former'political parties mainly on religious division) then laborer, farmer or entrepreneur and finally an Ugandan.

The people in the North are more related to people in Southern Sudan (who are in conflict with the oppressing muslim regime of Khartoum), than with the southern Bantu people in Uganda. Whereas the Bugisu in Mbale are more associated with the people on the other side of Mount Elgon (which is in Kenya) than with fellow 'country-men; Ugandans'.

97
The presently ongoing decentralization together with the RC system might have an potential in becoming more representative form of governance. But for real representative Good governance also the Frameworks have to be adjusted (including the administrators working within the public service) to the specific local circumstances. And the reform and decentralization must become cross-border; looking at ethnic, geographical ‘workable’ unit/entities.

- Mbale today still:
  - is an East-African Colonial Garden City, with the physical features of an apartheid planning;
  - has an deteriorated Indian economy;
  - operates through a British legal frame-work, regulations and institutions

But Africa, Uganda, Mbale is different now, is more differentiated. The socio-economic-demographic conditions especially in the cities and towns in different now then in the colonial period, and even the 60’s.

In Uganda after 86 a system of mass participation in democracy is introduced the RC system, which has similarities with the traditional African consensus model. Although it looks promising on paper and it sometimes works on the lower levels. It does not work in the case of Mbale where there is no communication between the higher level and lower level RC’s. The Elite talks about keeping standards high, street sweeping grass cutting and even reintroducing some ‘English’ traditions, like the mayor Title and Official Chain and Toga. Where as the lower level RC’s talk about water, income, shelter, basic education, etc. The two worlds drifting apart.

Instead of copying alien imported western concept, Africa should go/find it’s own appropriate way, off course you cannot turn back the clock to the pre-colonial period and work only with indigenous ethnic institutions. But most present elements of Africa’s National, Political, Administrative, Military Structures are ALIEN, artificial, imported, inherited, colonial; And therefore inappropriate with the potential of becoming a source for ‘domestic conflicts’: e.g. Biafra, Sudan, Uganda, Angola, Mozambique etc. Not to mention the most Alien of all systems the South African Apartheid system, which is finally after international (political and economical) pressure changing.

But why then hasn’t IT been changed so far?

Have National/Local Governments not been able to change, not capable to manage?

As stated before I don’t think it’s matter of capacity or capability but a matter of lack of commitment and willingness. People in power (as in Uganda today) they Know and sufficiently Capable!

But the people within the political and administrative structures in Africa today are almost as alien to the African reality as the inherited colonial structures themselves. This (Minority Ethical) Elite who took over from the colonists depend completely for their position these structures. They are not going to be ones to change it. It is against their own personal (Extended Family-Clan-Ethnic) interest. And because most people still consider national governments as not ‘Theirs’ it common to accept the principle of "Il faut profiter, quoi?" (almost a west African saying), especially if you are not working in your ‘Home Area’.

For bringing about real reform, and overcoming the opposition of the people within the system, external pressure and attraction has been advocated in the report. Real reform as an precondition for real development (reform/change on all levels involving all aspects of government) must take place, otherwise the history of Biafra, Amin/Obote/Okello, Angola, Bokassa, Somalia, Ethiopia, Ruanda/Burundi etc etc will repeat itself in a far more dramatical way.

4) ‘PS’: recommendation; "EXTERNAL PRESSURE" in case of TOOL and REFORM
In this paragraph I want to put the recommendation of external pressure (see chapter 18, where external pressure and/or attraction is recommended for) some what in perspective, place some critical notes. Some of the issues discussed here are related to the above mentioned 'Alienation Process', and some aspects will be further elaborated upon in the paragraph 'Preaching and Practicing'.

98
If I could summarize the urbanization problems and the dilemma of external interference as follows:

- Clearly the developing countries are faced with huge problems of poverty, accumulated by the rapid population growth and urbanization pace;
- The main reasons for the urban problems are the rapid changes (growth) and the restrictions created by the role, performance, functioning and the legal, regulatory and institutional framework of local and national governments;
- These restrictions and constraints hinder the socio-economic development of the population, and the economic development of the town. Local governments do not enable the private and community sector.
- Clearly reform and revision of the local and national governments is necessary; on both Political and Administrative level; in order to change: (i) the role and performance; and (ii) their frameworks.
- But these reforms will go against the self-interest of the Elite, the people in political and administrative power. It is the political and administrative Elite (in the form of extended family, and ethnicity) that profit the most from the inherited colonials structures and frameworks. So their commitment and will to reform spontaneously from within the public sector will be at minimum.

So change in the inherited colonial political and administrative structures, processes and frameworks is necessary. In my opinion not only change in for example building codes, local council structures but even the reconsideration of the inherited ‘alien’ national states with its artificial frontiers.

As stated above we cannot expect these reforms to be undertaken by the present Elite in power, who profit from the untransparant system. Therefore change must come through pressure from either inside the community (as happened in history in many different places and times all around the world) or from the outside, from the same side, that introduced these aliens frontiers, nation states, political and administrative frameworks; Pressure or Attraction by the West= "EXTERNAL PRESSURE".

- BUT!!!!!!!!!!!!!!!!!!!!!!!!!!!!!!!!!!!! I also see great risks in western pressure for these reforms;

On first it looks like a paternalistic recolonization, “Why not let them, the local and national politicians decide for themselves?”. But I see (most) present political leaders, administrative officials and army officers as NEO-colonists; a selected black/local elite taking over where the white/colonists left off. Neo-colonist; dictatorial, oppressive, corrupt, but in any case not representative for the population. Often in Africa the Elite are a by the colonist selected minority ethnic, that were first colonial low level civil servants, and low ranking colonial military; and who became at the dawn of independence the new presidents and generals.

But are we, the West any better?
- Colonization occurred for the self-interest of England, France, Holland, Portugal, Spain etc;
- Decolonization occurred for the self-interest of the USA and USSR (Yalta 1945);
- Supporting the neo-colonial dictatorial regimes in the Post-Independence Cold War era occurred for self-interest of the "West" and "East", capitalism and communism;
- maybe even the creation of a redependency through unjustifiable loans (in the 60's/70's) to the Neo-Colonial elite by both West and East was part of the self-interest strategy. (economic recolonization through the international debt crisis; economic and political influence of the IMF);
- Present western claim of victory over the "East" has lead to an dramatic change in pressure on the "south" out of economic and political self-interest. Now that the "south" has no where else to go then to go West, we impose out of self-interest, ignorance or arrogance; SAP (IMF), (western) DEMOCRACY and Human Rights, FREE-MARKET ECONOMY (part of that is the advocated "enabling policy"),
And it looks like an RECOLONIZATION by the West out of self-interest, because all these 'solutions' are ALIEN again, they are not reforms on own appropriate local terms.

The self-interest is clearly illustrated by the call for liberalization of the southern economies and markets;

- The Asian Tigers and ASEAN countries are often given as examples of free-market development strategies, but their markets are far from free, especially in Asia, with Japan as THE example, there is a great regulating influence of and protectionism by the governments concerning the national (regional) economy.

- The West USA and European Union are THE examples of protected markets, and although on first sight it looks like the new GATT agreement is going to change that, but the attached Environmental and Labor condition criteria will make the Western markets as closed as before for competitive products from the southern markets. Whereas we will still dump our products on their markets and determine the worldmarkets for their commodities. 'The West does not practice what it preaches'.

The fear therefore, is that present calls for reforms, backed by pressure from the west will be just another stage of pursuit of self-interest, is genuine. Only when our intentions, commitments are really genuine; that we really want to support (pressure) reforms that will fully be to appropriate local terms of the population, and have as ultimate aim the emancipation of that population, then External Pressure on the now still oppressing governments, will (maybe) bring a change for the best.

5) PREACHING AND PRACTICING

In politics both in the (i) North and (ii) South there is an big difference between practicing and preaching.

(i) the West; promotes and specifically after the down-fall of the Warshau Pact, Comecon and USSR exports 'development recipes' to the south, like: free market (enabling policy), multi-party democracy, human rights etc. Whereas in the recent past the West, in their struggle against the East was not to eager to really demand those principles of the dictators they supported, purely out of economic-strategic self-interest. But while on the one hand the West through the IMF, WB, UN, EU etc imposes those recipes (while giving Asia as an example, in my opinion not a just example -see 8-), they on the other hand:

(a) strongly protect their own home markets (EU, US, JAPAN);
(b) manipulate the world markets (for example now through demanding unobtainable Labor and Environmental standards (from the south) in the latest GATT agreement; and through forcing cash-crop production through the SAP by the IMF); and
(c) only enforce international rights, Law and Order their where our own interest is at stake (Koeweit versus Ruanda)

From a real free world market most developing countries would benefit more, than from the limited (conditional) IDC now. (Only the poorest might drop-out in this new free market, therefore the extra attention is advocated). Even the North/West would/could profit from this world-wide free market, but in the process of transformation we might lose some of our control/power, and therefore just to be on the safe side we prefer preaching Liberalism while practicing Protectionism (for our short term self-interest).

(ii) National and Local governments in the South do the same; they preach whatever the West prescribes them to preach, in order to get aid, finance etc (they have no choice, no alternative ?!). Therefore their policy papers are blue-prints of the Donor (IMF, WB, UN, EU) development recommendations (recipe), but in practice they do not execute those policies (voluntarily) because it goes against their own personal short term interest. This might be understandable (see alienation process) but it is restrictive and constraining on the development of the country, town, and attributes to the further dualization of the LDC's; and marginalization of the poor(est).
Apart from the formal (and kept intact) bureaucracy the Southern elite also resolves to corruption. Davey (93) - UMP 11; in 'Elements of Urban Management' gives an explanation for this in the Ugandan context. In his study the cases Jinja and Kabale were looked at. According to him:

'political instability and military insecurity from 1971 to 1986 (and until now in the north), with an hyperinflation until 1990 had many devastating effects on urban management (...) Government revenues have declined to as low as 5% percent of GDP in 1988-90 (...) now increased revenues stability in real terms by exploiting the sources of market, bus and taxi park dues, and through graduated personal taxation that penetrates the thriving informal economy in food (...) The professional competence and commitment of the seconded officers has been crucial to the survival and recovery of municipal government, although management is inevitably hand to mouth and personalized' (corruption)

I agree with this explanation but must state that the present complex tax collection system, including the harassment and corruption is severely hindering especially the small scale (informal) private sector and self-help activities. The 'personalization' (corruption) occurs out of self-interest of the people in office; it's their "survival and recovery strategy", but the often given explanation for the corruption is to my point of view not the improper remuneration but the quest for self-interest in an untransparent bureaucracy by officials who preach 'Community Development, Participation etc' but practice differently. (examples of corruption in situation where the remuneration is adequate are given in the report; Uganda Revenue Authority, Mobutu, west Africa, Italy, Japan, Dutch mayors).

6) AFRICAN DEMOCRACY

Part of the western export is the multi-party democracy. A form of democracy resulted from the individual foundations of the european society (England, and to a lesser extend France). The introduction of this system has already led to many domestic conflicts in Africa (Uganda is just being one 'bad'(good) example; and more recently and even more dramatically Burundi and Ruanda). Also in other parts of the world our form of democracy is introduced, but in many cases only functions superficially: Asia, southern and recently eastern Europe, Latin America.

In pre-colonial Africa and nowadays in the traditionally governed rural areas, and even in informal urban areas (as documented by UNCHS) a African form of democracy is still operating. A system in which a individual is a group member (clan, village, neighborhood (cell)), and decisions are being made on the basis of group consensus (discussing within groups until all agree with the found compromise).

This despite the fact that within the group there is a strong sense of hierarchy, one (Elder/Male) member might have more influence, be a 'more' equal group member than others. The Ugandan RC system is more or less based on this principles, but it failed to incorporate the differences within the geographical units (cells etc) and failed to incorporate/reform the higher level alien inherited 'modern' form of governance. For the future a new African form of Democracy must be developed that is appropriate to that specific local conditions. A new form mass participatory democracy that operates on all level within reformed, 'respecting' (non-alien) structures, frameworks and borders.

The in this research developed tool could, because of its 'group' characteristics, be suitable in this context.

7) ASIAN EXAMPLE

Often Japan, the Asian Tigers Nations and the ASEAN countries are given as an example of freemarket success. But they are far from free, not economically and not really democratically. And their historic heritage is too different from that of Africa to set as an (development) example.

As stated above democracy in many parts of the world is superficially, so also in most Asian countries, where the government and especially bureaucracy has a great authoritarian influence on the management of the country. Also in the field of economics. The Asian economies are strongly regulated by the central governments, a form of centrally ruled/control free-market economy. Also the local, national markets are heavily protected and new industries subsidized. Former prime minister Nagasone explained that;

"the Tiger and ASEAN countries are not strong enough to compete on a free world market, they lack behind the great powers and therefore still need (some) government protection and guidance".

101
This adds another difference between the development opportunities for Asia, and those for Africa. Asia has a strong economic super power (Japan) leading the region in economic development.

But also in Japan itself (although strong enough) there is still much central government regulation; protectionism. Japan is characterized by Gibney as ‘Japan Inc.’ being a class example of Public-Private Partnership/cooperation, with joint ventures between government and large private firms (especially the Military Industrial Complex). But with the Bureaucracy playing the leading, determining role. So Asia not 'free' but top-down regulated, and protected.

This approach in governance finds its roots in History (an other difference with Africa). In the 7th century Confucius introduced a form of bureaucratic governance that is still in many Asian countries seen as the example. Confucius promoted a strong but fair large, and regulating bureaucratic apparatus, with on top of this power pyramid an enlightened (but dictatorian- to our standards) Emperor. This emperor was given a 'Mandate from Heaven' which meant 'be good to the people and they will be good to you', this together with the exams and codes for civil servants was an early form of 'Good Governance', despite the fact that it was far from 'democratic'.

At the end of the last century China and Japan (both great ancient civilizations) choose a different way to react to the western imperialism:
- China remained conservative, and was assured of its moral, scientific and cultural superiority over the western barbarians. Only through military force, which the Chines did not have, the British could enforce trade concessions in China. This force was most clearly shown in the Opium war, where British imperial warships attacked China in order to open up the Chinese market for the profitable Bengal opium (the only thing that the chinese 'wanted' from the west). Not only did the British enslave/addict the chinese population to drugs purely for the profit, they also let the Chines government pay for the damage and costs of the opium war. (To my point of view the opium war is one of the most cruel examples of western imperialism)
- Japan was also confronted with warships (American), that were there to open up the Japanese market, but the Japanese reacted differently to the external threat and introduced the Meiji Reform; an authoritarian top-down reform of the whole society, led by an authoritarian bureaucracy. In the Meji revolution the country and the economy went through a process of (western) modernization in 40 years (Where it took the industrial revolution 150 years).
  Japan reasoned "if you can't beat them join them"; and combined Western technology with Japanese mentality. A 'joint venture' (best of both worlds) we are still finding to compete.

Where Asia might be example of rapid economic development (although not achieved by the western free-market recipe), it is also the example of where the short term economic interest harms the long term public interest, e.g. environmental degradation and to a lesser extend national dualization.

Development
In the report I stated that development comes from the Population and not from Government, from the community and private sector and not from the public sector.

The Asian example has shown a different option, but is argued not to be applicable in the African context (governing heritage and different economic structures). Also the colonial heritage in Borders and Frameworks was far less dramatic (alien as in Africa). In Europe and US the development followed more a bottom approach with subsequent steps from agricultural production, to trade commerce, services, and finally manufacturing and industrialization (a process of centuries), similar but more rapidly is developing the chinese country-side where the economy went from pure agricultural production and trade, to light aero-based industry, and finally in the last years to industry and high tech.industry (despite the fact that China is still officially a communist centrally directed state/economy).
The nation state building and regionalization in Europe also went through may small steps all through history; e.g. in the Netherlands the early forms of government were limited to small city-states, later on unified in states (now provinces); then becoming a nation state; the united kingdom (of states) of the Netherlands. In this century the level of governance rose first to Benelux and finally but difficult to European (economic) Community and now (maybe) to an European Union.

In this process of centuries Holland and Europe has known many conflicts and wars in forming the governmental borders and frameworks as they are to day, and even today people in Europe are arguing and fighting over those nation state structures (Yugoslavia, ETA Basks in Spain, IRA in Ireland etc).

This is to illustrate that the process of Alienation of Governance in Africa is maybe not so strange looking at its historic context (see 3); subsequently the searching for a solution for the crisis in African governance and economy may not be resulting in a single (imported) solution, but also demands a similar gradual approach for looking for appropriate African solutions.

8) SOLUTIONS FOR AFRICAN CRISIS

Basil Davidson (94) subtitled his latest book; 'Africa and the curse of the nation state' in his analysis he found (also) comparisons between the inherited situation in Eastern Europe (the 1918 Treaty of Versailles) and the situation in Africa (the 1884/5 Treaty of Berlin). Both regions were ‘given’ an alien nation state structure that did not take in consideration the ethnic diversity of the regions. The consequences of these heritages are visual through the media every day. Davidson also regarded the ‘Asian example’ as unrealistic.

Solutions
- Davidson advocated Decentralization and Regionalization of Governance.
- Mazuri argued for re-colonization of Africa, either by foreign powers, but preferably by large regional powers in Africa like Nigeria, Ethiopia etc.
- others argue for putting Africa (or at least conflict areas of it) under UN control and jurisdiction
- more ‘conventional’ solutions advocated are enforcing democracy, capacity building, and regional cooperation like the reestablishment of Eastern African ‘economic-union’ (Kenya, Uganda, Tanzania)

But in all the solutions and all the discussion the Nation State’s Borders, and Frameworks remain intact. I think that a redefinition this part of the international world order is essential in order to get representative structures; representative to the specific local, ethnic, geographical, socio-economic conditions.

Therefore REPRESENTATIVE/APPROPRIATE:
- STATE BORDERS;
- POLITICAL and ADMINISTRATIVE mass participatory STRUCTURES;
- POLITICAL REPRESENTATIVES and OFFICIALS;
- LEGAL, INSTITUTIONAL, and REGULATORY FRAMEWORKS; etc

This as a precondition for real development by and for the African people; on their OWN terms.
Appendix 2: Sessions
Following are descriptions of:
1-the different types of sessions
2-the different communication techniques
3-the set-up of the analysis session, is given as an example of a session as tested in , for the rest of the sessions see the interim reports.

1) Types of sessions;
   i-GROUP sessions; A multi-disciplinary, multi sectoral group of maximum 15 selected key-informants are invited for the group sessions. For the purpose of analyzing the present situation and determining future development options. Important is the constitution/composition of the group. all three sectors must be equally represented, and people must be off the same ‘level’ in order to feel free to speak as among ‘equals’. Political highly sensitive people must be avoided, to prevent blockades among the other participants.
   ii-PLENARY sessions; Large groups with a maximum of 100, but preferably 50 persons. In male maximum of 30 people was used because of limited accommodation. These groups do not have to be multi-sectoral, preferably multi-disciplinary, but in any case they have to be ‘Homogeneous’. The purpose of these sessions is broad-base information gathering and creation of commitment on all levels. As many as possible of these sessions should be held on various levels with various groups within the society.
   iii-TEAM sessions; A small selected group (in this case the MMC counterpart team plus other relevant officials), for testing communication elements, for further elaborating proposed strategies and actions, preparing implementation, doing the monitoring and evaluation, plus supporting additional studies. Preferably the same team operates as the urban management unit on town level and coordinates the tool and urban management process.

The intention of the sessions is to let the participants do as much as possible themselves, only stimulating and steering when necessary. A session should be started with a limited introduction and explanation, then you let them DO it. But a lot of attention must given to the evaluation, focussing on the method and tools used. A precondition for a free exchange of ideas is that the group is ‘homogeneous’, meaning that people are among equals, that people feel free to speak-up, are at ease in a pleasant atmosphere.

All the sessions use Structured communication as method, applying different communication techniques.

2) Communication Techniques:
   - Objectives and Criteria determination; determination of objectives for urban development/management and the determination of criteria for the strategies and therefrom following actions,
   - Brainstorming; elaboration of statements related to mentioned key-subject in group/plenary discussions, letting people freely discuss to specific subjects that are either selected by the session leader or are the result of the inventorization.
   - Brainwriting; writing and pinning down on a presentation board statements freely associated to a specific subject, done by given all participants 3-5 cards on which they can write down key-words to for example the subject Mbale or Social problems etc. The advantage of especially individual brainwriting is that everybody is forced to first think for himself and then clearly presents it to the group, whereas in group discussions some are dominant and others are silent. It also gives a good over-view inventorization for the session leader. the out-come of brainwriting inventorization can be used for group discussions.
   - Constraint discussion; determining what are the restrictions or ‘road-blocks’ are seen in reaching the set objectives.
   - Priority setting; individual voting on inventorizations, done by giving all participants 3 to 5 votes (small pin-up stickers) that can be pinned down on the presentation board where the results are shown of an inventorization or presentation.
   - Categorization; putting the inventorization in different categories (aspects), for example social, economic, environmental etc.
SWOT Strength, Weakness, Opportunity Threat Analysis; analysis for selected aspects of the town. With an INTERNAL Strength and Weakness Analysis of the situation within Town and in present time, and an EXTERNAL Opportunity and Threat Analysis of the situation out side of Town or in the future.

- Interlinkage graph; trying through group discussion finding the interlinkages between found problems potentials and solutions And visualizing that in a so called interlinkage graph.
- Group discussion with presentation; discussion in small groups 2-3-max.4 persons, resulting in presentation by one of the group members (This was introduced as alternative because a lot of people did not feel at ease with the individual brainstorming). Here the advantages of the individual and group work are combined, individual idea generation without the 'group-block' and the additional value of group work. The groups must be selected so that they become both multi-sectoral as well as multi-disciplinary.
- Plenary discussion; discussion by the whole session group
- Action Planning; detailed elaboration of possible actions including all the essential organizational and control aspects of the actions (eg Money, Time, Personnel, Organization, Quality, Information)

Other possible supporting communication techniques:
-orientation and assignment questions; -problem dialogue/analysis; -Aida decision/option graph, problem focus; -FFA Forms, restraining and driving forces; -force field diagram; -impact assessment, score matrix; -task card, planning; -problem and failure change analysis etc.

Again it is not really important what is done during a session or how things are done, as long as the session is structured and focuses both on collective and individual brainstorming/writing. Depending on the experience of the session leader and the participants other more complex/detailed techniques can be used; see for example UNCHS trainers manual and IHS action planning.

3) Description set-up analysis session - see IR 5
This session is planned as a Group Session.

- Objective; to make a fast inventorization of the problems and potentials, and analysis (Strong, Weak, Opportunity, Threat) the situation of town (Mbale) in various aspects (eg social, economic, technical etc), as seen by this multi disciplinary and multi sectorial group.
- Method; structured communication
- Communication techniques: objective and criteria determination, brainstorming and -writing, priority setting, categorization, SWOT analysis, interlinkage graphs, group- and plenary discussion.

From the key-informants interviewed 17 people, from the three different sectors, were selected in consultation with counterpart and TC to participate in this session. A written invitation was delivered to the participants personally.

- Accommodation; Mbale Council Chamber
- Means: a large ‘pin-up’ board plus needles; big markers; paper in different sizes; priority stickers; sheets for explanation and inventorization
- Organization: one session leader (R Meijer); one assistant for minutes and discussions

For the introduction two sheets were used;

Sheet A) OVER ALL SET UP:

1 INVENTORIZATION - interviews
2 GROUP SESSION - analysis
3 PLENARY SESSIONS - problems - solutions
4 GROUP SESSION - vision and strategy
5 ACTION PLANNING SESSION
6 PHYSICAL PLANNING SESSION
+Presentation council
sheet B) ANALYSIS SESSION SET UP:

1 INTRODUCTION
2 OBJECTIVES AND CRITERIA
3 INVENTORIZATION and CATEGORIZATION
4 SWOT ANALYSIS
5 PRIORITY SETTING
6 INTERLINKAGES
7 CONCLUSIONS AND RECOMMENDATIONS
8 EVALUATION

The Introduction starts with an explanation about the intention of the session. Referring to international discussion on the new role of local governments in the urban development process;

"This session is intended to be a rapid information gathering meeting, making use of the additional value of multi disciplinary and multi sectorial group discussions. Which could lead to better understanding of the urban development and sectorial problems and eventually to better inter sectoral participation, cooperation and partnership".

The objectives of the session and communication cycle are also explained, using sheet A.

After a short introduction of all the participants a resume is given of information gathered from the interviews.

The over all set up (sheet B) of the analysis session is shortly explained plus the main Communication techniques: -Brainwriting; -Brainstorming; -Priority Setting

The other techniques are explained along the way.

People are asked to give their personal opinion freely but also to speak for the group they represent.
It is also stated that it was not so important what people write down as long as something is written down. The out come of the group would determine the quality of the information. Not one person can give THE answer the group through inventarization, priority setting and discussion might come near(er).

Following are the main steps of the session briefly described- see sheet B-:

B2 OBJECTIVES AND CRITERIA
People are asked to write down, on small cards, what they see as the main objectives for urban Management or Urban Development. After the brainwriting inventorization a plenary discussion is held on finding a group consensus. Followed by a plenary discussion on criteria for possible future actions.

B3 INVENTORIZATION and CATEGORIZATION
People are asked to write down (brainwriting) three keywords freely associated to a word (i.e. Mbale), on small cards and pin these on the presentation board. After a short presentation by the session leader of the pinned down statements a plenary discussion is held on the question in which categories these statements could be grouped.

B4 SWOT - Strength Weakness Opportunity Threat - ANALYSIS
The categories from the plenary discussion are written down on SWOT schemes. Before filling in the SWOT schemes through brainwriting, the SWOT analysis is explained using a presentation sheet see fig 18.
18.1 illustrates the inventorization  
18.111 the interlinkage discussion  
18.111 the scoring of most mentioned and most given priority  
18.11V examples of the internal and external analysis

**fig.18 SWOT analysis schemes**

Internal analysis stating either Strengths or Weaknesses of the chosen subject. Internal = Now and Inside Town or within sphere of influence.

External analysis stating Opportunities and Threats for the Town. External = Future and Out-side Town or out-side sphere of influence.

The Inventorization of the SWOT schemes is down through brainwriting, for this the group is split in two, each part of the group filling in half of the schemes. Each participant was asked to write down 3-5 keywords for each scheme and pin it down on the appropriate spot of the board. In addition the results are presented and the other half of the group was given the opportunity to supplement the inventorization/analysis through a plenary discussion. This was done with a special focus, by the session leader on the empty spots on the filled-out Swot-scheme.

**B5 PRIORITY SETTING**

People are asked to pin down 3-5 ‘priority stickers’ in order to determine their priorities within the SWOT Analysis Schemes. The importance of the analysis is determined by the total scoring of the subjects mentioned and the times subjects are given a priority. see 18.11
B6 INTERLINKAGES
After the scoring of the priorities people are asked to discuss in two work-groups the interlinkages between Problems and Potentials mentioned. With as starting points for each of the groups one or two of the most scored statements from the SWOT schemes. During the discussion people are steered on Strengths and Opportunities, people intend to look at things in a negative way, whereas it's easier to make use of potentials then to solve problems. Interlinkage discussion were started from clear scored problems and potentials using the SWOT inventorization as a guide line see 18.III

The groups were asked to present their results if possible by an interlinkage graph. To explain the ‘interlinkage graph, a sheet is used. see fig.19

People were given the instruction to question the problem or potential;
-Why is it a Problem?
-What is the problem?
-For whom?
-When?
e tc.
And asked to determine what the inter-related causes and consequences are.

fig.19; interlinkage graph

B7 CONCLUSIONS AND RECOMMENDATIONS
In a plenary discussion the conclusions and recommendations from the analysis sessions are determined.
Focussing on specific often mentioned statements from the analysis.

B8 EVALUATION
Finalizing the session with a plenary discussion on Method and Techniques, plus giving additional explanation on the intention of several steps and asking whether this has worked. Asking specifically for constructive criticism in order to improve the session and/or techniques by adding or leaving out or changing something.

For Crude Results see appendix 6, for complete-results see Interim Report nr 5
Appendix 3: Shelter - see IR 10

Of the in-depth study Shelter most research methods and results are given in the Case-study report and interim report 10. The results and the analysis of the check-list survey have, due to time planning problems, not been included in the above mentioned reports and are therefore given here as an appendix in a more elaborated form. Appendix 3 for the set-up of the survey and Appendix 7 for the crude results and analysis.

The Check list Multi-ple choice Survey consisted of the following elements;
- open question interview with area representatives - see IR 10
- interviews with artisans/fundis in the areas - see IR 10
- questionnaire interview with households (-heads)

The Survey was held in 4 selected low income/informal settlement areas:
(A) Kiyikyafu;
(B) Kiteso;
(C) Busamaga;
(D) Namatala.

Check-list questionnaire; interviews with households (-heads)

Answers of 3, 4, 8 are to be rated, answers of 1, 2, 5, 6, 7 are to be written down
- Area;
- date;

1- What are your main 3 problems?

2- What are your main 3-5 constraints/road blocks in improving your housing situation?

3- Could you give the following information about your housing situation?;

LAND: lease; customary; squatting; unknown
HOUSE: owned; rented; unknown
HOUSE: build yourself; with family; with fundi; contracted out; unknown
WATER: piped individual; piped communal; wells; springs; boreholes; surface; others
TOILET: waterborne individual; waterborne communal; pit latrine individual; pit communal; other; none

4- Do you see the following statements as a problem for building/improving your house and services?
(If you now rent a house then would you consider the following statements as a problem if you would want to start building?)

Answer with YES, NO or UNKNOWN
1 legal land allocation
2 building rules
3 official procedures
4 lack of infrastructures
5 weather
6 high interest rates
7 high inflation
8 difficult to borrow money
9 lack of local financing
10 lack of credit institutions
11 private savings not encouraged
12 low income level
13 high taxation
14 bureaucracy
15 corruption
16 lack of skilled labor
17 price of labor
18 lack of organization/cooperation family
19 lack of participation
20 organization community
21 lack of knowledge for self help
22 problems with contracts for fundis and contractors
23 lack of time to build yourself
24 price of local building materials
25 price of ‘import’ materials (cement, iron sheets etc)
26 transport of materials
27 lack of good materials
28 price changes materials
29 theft material
30 lack of knowledge about materials
31 no participation in decision making of MMC
32 crowding of rooms
33 crowding of plots
34 insecurity of property
35 too high rents
36 poor quality rental houses
37 large families
38 soil conditions
39 lack of local building material production
40 restrictions on brick making in town
41 lack of land property security
42 fear of expulsion without proper compensation
43 customary land tenure
44 agriculture in town
45 land speculation

SERVICES in area
46 roads
47 drainage
48 energy/electricity
49 transport
50 sanitation
51 water
52 waste
53 social services (education, health)
54 commercial services (markets, shops)
55 environment

5- Do you see any positive factors?

6- Do you see any solutions?

7- Do you have any further remarks?

8- How much are you capable or willing to pay for legal housing? (renting or repaying loans)
   less than 5000 shilling ( +/- 5 US$); maximum 10000; maximum 25000; or more than 25000 Shilling
Appendix 4: Additional background information Mbale-Uganda

In this appendix the following additional information will be given concerning Uganda and/or Mbale:
4.1 History; 4.2 Geography; 4.3 Organization MMC and RC structure

4.1 History

Uganda

Like all 'countries/nation states' in Africa Uganda was created by the colonial powers at the conference of Berlin 1884-5 were the colonial powers drew the map of Africa as it is today. Those colonial boundaries had little or no relation with the reality in the regions, in most cases boundaries were drawn over rivers, mountains etc, elements that usually unit a people and not divide. Through these administrative colonial boundaries many peoples/ethnic groups were forced together in one colony, 'protectorate' and later after independence in one nation state, with one inherited national government, -legalization and - army. In this Heritage lie most of the causes of the tragedies of Uganda and the reasons for the mis-functioning of national and local governments in Africa.

The first contact of the people in 'uganda' with the 'out-side world' was in the second half of the last century with arab (slave) traders. Central in what is Uganda today was the powerful kingdom of Buganda, the first Britons to visit the court of the Kabaka (king) of Buganda were the explorers (Speke and Grant) looking for the source of the Nile, later followed by Stanley. Stanley talked to the Kabaka about christianity, which resulted in the invitation by the Kabaka of missionaries. With the arrival of the British missionaries in 1877 the seed was planted for later political conflicts, between the Protestants, Catholics and Muslims, in Buganda and later Uganda. The Arabs had brought the Islam to Buganda, the French Catholism. Internal battles for power in Buganda along the lines of religion erupted until the crucial battle of Mengo 1892, won by the protestants, and the consequent declaration of a British protectorate in 1894. In the early beginnings the British were not at all interested to establish a colony like in the rest of east Africa (because it was considered too expensive). But later on the British rule extended through a system of indirect rule throughout Uganda, using first the protestant Buganda elite to conquer other territories, later through agreements with other kingdoms. Militarily speaking first the Buganda armies were used later on followed by the colonial forces, the Kings African Rifles, in which later mainly ethnic groups from the north took service.

So in the early beginnings of 'colonial' rule a clear division was made between the Administrative service by the people from the south, mainly the Buganda, and the Military service by people from the north, mainly the Acholi and Lango. The Asians were brought in on contract basis to first work on the railway, later on they became the middle-class business elite. After the first world war the British also started introducing western forms of democratic governance, but in this process eventually leading to independence, certain elite classes, ethic groups and regions were favored over others, in power, influence, position and education and other services.

All these imported elements had a major influence on the post-independence development, and even the present local governance and urban management of a town like Mbale today:
- artificial boundaries including 2 linguistic, '4 tribal' and 35 ethnic groups;
- three major religions, forming the basis for future political parties;
- ethnic separation in Administrative and Military service;
- asian business elite;
- western political and administrative Legal, Regulatory and Institutional frameworks.

In 1962 Uganda became independent under the Kabaka of Buganda as President and Obote (protestant from the north) as prime minister. In the following years and decades the politics in Uganda were dominated by the power struggles along the divisions of (a) Ethnicity: North versus South (west), Buganda versus anti(non)-Buganda; (b) Religion: Protestant versus Catholic (islam); (c) Governance: ethnically determined Administrative elite (south) versus Military elite (north). And to a lesser extent the cold war, East-West, communism-capitalism confrontation.

111
The real struggle for power started from 1966, with subsequent changes in political power, sometimes political 'ideology' but in general with massive corruption, violation of human rights up to the extent of massacres, and civil wars. Subsequently Obote, Amin, Lulu, Binaisa, Obote, Okello and finally in 1986 Museveni came to power. Museveni used the NRA National Resistance Army, based on the principles of a Maoistic peoples army, to come to power, and introduces a No Party system, the NRM national resistance movement aiming at mass participation in democracy/governance through RC's resistance councils (see 4.3)

Apart from the periods of civil war bringing about some of the coup-d'etats, also the expulsion of the Asians by Amin in 1972 had a major impact on the economic development.

Mbale
Mbale was as much affected by the above briefly described history as Uganda as a whole. Mbale situated in east of Uganda, Bugisu region, was founded in the beginning of this century by Kakungulu a Baganda chief who conquered territories out side Buganda for the British. The British founded their administrative siege for east Uganda in Mbale, and Kakungulu for some time was colonial administrator, later he was granted a large area of free-hold land north of Mbale.(which is still held by his grandson see fig.28 appendix 8) With Kakungulu came large numbers of his (Baganda and Busoga) followers (army) whosettled north-west of the colonial center, their successors the colonial and post colonial military came originally from the north (Acholi and Langi). With the coming of the railway came the Asians who later developed themselves as the business men of Mbale taking control, until 1972, over trade, commerce and industry making Mbale also the commercial and industrial center of the East. Due to the drought, insecurity and civil war many refugees from the north-east (Karamajong and Iteso) settled in the squatter areas of Mbale in the recent past.

This illustrates that the complexity of Uganda can also be retraced in Mbale. And because Mbale was a Colonial administrative and political center the influence of the inherited Frameworks is so eminent until today. And because Mbale was an Asian commercial and industrial center the effect of the 72 expulsion and the subsequent economic collapse is also eminent until today.

 Mbale as Uganda was relatively rich and had enormous potentials in the 60's (and maybe still has), but because of the subsequent changes of mis-government, the civil wars, the expulsion of the asians and the continuing insecurity in the North the developed had virtually stopped since the 60's, with only a economic revival in the last few years. Mbale as a town is the visualization of the stop of formal developments, because since the 60's hardly anything changed the then existing infrastructures and building have only deteriorated.

Because of all this can we then still consider Uganda representative for an African LDC ? I think we can because most of the above mentioned heritage effects and the confrontation between ethnically determined interest groups can be found everywhere in sub saharan Africa. But the 30 years of corruption, insecurity and civil wars did have an influence on the functioning of the economy and has consequences for human behavior. Because of the insecurity:
- people have no long term security for themselves and their property and therefore economic activities. This results in short term 'survival' actions, with no major investments, no trust towards government;
- within government people are not sure of their position. out of short term self interest this leads to corruption, and political oppression.

4.2 Geography
Uganda is situated in east Africa, on the north shore of lake Victoria, around the equator. Mbale the third largest town in Uganda, is capital of the Mbale district in the east of Uganda. Mbale, situated at +/- 1500 meters altitude, is the 'capital' of the Bugisu (ethnic) region. (see fig.21) The region of Mbale is dominated by mount Elgon (+/-4300 M), a volcanic mountain on the border with Kenya. The region is very fertile and has a milt climate. This attributes to the great agricultural potential of the region, with mainly Matoke (bananas as bulk-food for own consumption and local market) and coffee and cotton as cash-crops. Mbale town is the Administrative, Commercial, Trade, and Industrial center of the region, and the east and north-east of Uganda. The town has road and rail connections to both the south and the north.

112
fig. 21; map of Africa and Uganda

Following are some relevant data for Uganda and Mbale:
- Uganda: area 197,006 km² - density (92): 95 per sq km
- Uganda: two linguistic groups Nilotic (north) and Bantu (south), four ‘tribal’ groups Bantu, Nilotic, Nilo-Hamitic and Sudanic, and 35 ethnic groups; largest group Baganda (Bagisu in Mbale)

source UNFPA (93) Population Indicators

<table>
<thead>
<tr>
<th></th>
<th>Africa</th>
<th>E. Afr</th>
<th>Kenya</th>
<th>Uganda</th>
</tr>
</thead>
<tbody>
<tr>
<td>Population 1992</td>
<td>681.70 *1,000</td>
<td>207.4</td>
<td>25.4</td>
<td>18.7</td>
</tr>
<tr>
<td>Population 2025</td>
<td>1,582.5*1,000</td>
<td>516.0</td>
<td>63.8</td>
<td>45.9</td>
</tr>
<tr>
<td>Avg. growth 90-95</td>
<td>2.9%</td>
<td>3.1</td>
<td>3.4</td>
<td>3.0</td>
</tr>
<tr>
<td>Birth rate 90-95</td>
<td>43 per 1000</td>
<td>48</td>
<td>44</td>
<td>51</td>
</tr>
<tr>
<td>Death rate 90-95</td>
<td>14 per 1000</td>
<td>16</td>
<td>10</td>
<td>21</td>
</tr>
<tr>
<td>Life expect.90-95</td>
<td>53 years</td>
<td>49</td>
<td>49</td>
<td>42</td>
</tr>
<tr>
<td>Child death 90-95</td>
<td>95 years</td>
<td>108</td>
<td>66</td>
<td>104</td>
</tr>
<tr>
<td>Urban Popul.1992</td>
<td>33%</td>
<td>20</td>
<td>25</td>
<td>12</td>
</tr>
<tr>
<td>Urban growth 90-95</td>
<td>4.6%</td>
<td>5.8</td>
<td>6.8</td>
<td>5.6</td>
</tr>
<tr>
<td>Fertility 90-95</td>
<td>6.0 per woman</td>
<td>6.0</td>
<td>6.3</td>
<td>7.3</td>
</tr>
</tbody>
</table>

Some Social Indicators for Uganda:
- Literacy M/F: 62/35%
- Access Health facilities: 85-88; 61%
- Access Clean drinking water: 85-88; 21%
- Rural population per Hect. Agricultural land: 88; 2.1
- GDP 1990: 220 us $ per capita

Source The courier no.141 (93) - Uganda profile:
- Income distribution (89-90): highest 20% of national income held by 8% of the population, lowest 20% of national income held by 30% of the population
- Inflation: 7% (June 93)
- GDP: US $ 2.6 billion (93)
- GDP growth rate: 5% per annum
- Balance of trade: -362.3 million US $ (92)
- Balance of payments: 128 million US $ (92)
- Principal exports (in million US $):
  - 1990       1992
  - Coffee     140   98
  - Cotton     5.8   8.2
  - Tea        3.5   7.7
  - Tobacco    2.8   4.4
source Housing and Population census (91):

<table>
<thead>
<tr>
<th></th>
<th>Uganda</th>
<th>Mbale district</th>
<th>Mbale town</th>
</tr>
</thead>
<tbody>
<tr>
<td>total</td>
<td>16.671.705</td>
<td>710.980</td>
<td>53.987</td>
</tr>
<tr>
<td>male</td>
<td>8.185.747</td>
<td>355.803</td>
<td>25.358</td>
</tr>
<tr>
<td>female</td>
<td>8.485.958</td>
<td>355.177</td>
<td>28.629</td>
</tr>
<tr>
<td>urban</td>
<td>1.889.622</td>
<td>60.298</td>
<td></td>
</tr>
<tr>
<td>rural</td>
<td>14.782.083</td>
<td>650.682</td>
<td></td>
</tr>
</tbody>
</table>

Urban density:
- land 85
- 284
- >700

Mbale district Urban population (= 60.298 total of which 53.987 in Mbale town):

age distribution:
- 0-04 years 17.0%
- 5-14 26.5
- 15-64 55.1
- 65+ 1.4

Households:
- average size: 4.3
- type of fuel for lighting:
  - electricity/gas 34.5%
  - paraffin 64.4
- type of fuel for cooking:
  - electricity/gas 02.8%
  - charcoal 67.0
  - firewood 25.5
- access to save drinking water:
  - piped water 13.9%
  - borehole 02.9
  - protected well 17.0

- main source of livelihood:
  - subsistence farming 09.5%
  - commercial farming 00.3
  - trading 26.5
  - employment income 40.1
  - family support 18.5

- by tenure of dwelling unit:
  - owner occupied 17.2%
  - rented 68.7

4.3 Organization MMC and RC structure - see IR.1

A Municipality in Uganda has: a policy making body, the Municipal Council; an executing body the Municipal administrative departments. The Council has elected political members, the departments have appointed civil servants on staff. Next to this 'normal' segregation of policy making and execution, there is in Uganda the National Resistance Movement NRM which is organized on all levels of society in Resistance Councils RC's. Both the organization structure of MMC as of the RC structure in general will be shortly described. see fig.22 for organization scheme.
MMC Mbale Municipal Council

MMC as a political Resistance Council will be explained in the next paragraph. The Municipal council makes an annual budget plus planning, which has to be approved by the ministry of local government (LG in fig.22), the Administrative departments have to do the execution.

The TC town clerk is the highest ranking civil servant, and through the town clerks department coordinates the following Departments: Town Treasurer, Education, Town Engineer, Public Health.

The departments have, according to the 92/93 budget, the following main tasks:
- Town Clerk: administration, enforcement and security, social welfare
- Treasury: administration, purchasing, stores, graduated tax
- Education: supervision primary schools
- Town Engineer: administration, parks, open spaces and cemetery, roads and drainage, streetlighting, public land control, municipal buildings and staff houses, bus and taxi parks etc
- Public Health: administration, vector control, hygiene and sanitation, municipal clinics, ambulance, abattoir, municipal market services, refuse collection and disposal services.

In practice little of all these services are executed, and most of the budget (70%) is spent on personnel related costs, if community oriented actions are undertaken then mainly maintenance of existing structures.

Parastatals and Ministries

most essential services are delivered by Parastatals:
- National Water and Sewerage Corporation
- Uganda Electricity Board
- Post and Telecommunication
- Commercial Bank of Uganda

All these parastatals operate as semi-independent enterprises, which work on cost-recovery basis, only for the determination of tariffs and major extensions/investments they need the approval of the concerned ministry.

Some ministries also operate directly or indirectly via MMC on local Mbale level, for example Ministry of Education for higher education, Ministry of Health for the district hospital Ministry of works for road maintenance and the Ministry of Lands for Physical Planning and development control.

RC Resistance Committee Council

Since 1986 ('Museveni's victory over the Okelllos) Uganda has a No-Party system, the National Resistance Movement NRM tries to embody all fractions of society. All people in Uganda are organized and represented through the RC structure. The political organization (mass participatory 'popular democracy') is out-lined in the '87 Resistance Council and Committee Statute - RC.
In all of Uganda villages and neighborhoods are organized in groups of 10 to 20 homesteads. All persons over 18 years constitute together a cell/village RC.I Resistance Council (≈ +/- 100 persons). Elected from the R.Council is a R.Committee of 9 persons.

All RC.I committee members are member of the parish R.Council II. A parish RC.II consist of about 10-20 RC.I’s. The R.Council II elects a 9 member R.Committee II, who are member again of the R.Council III.

This pyramid system of council, committee, council continues with some changes up to national level.

The RC structure bottom-up:
- RC.I = village or cell level
- RC.II = parish level
- RC.III = sub-county level
- RC.IV = county level
- District RC = district level
- National RC = national resistance council = parliament

Within MMC there are:
- 3 ‘Boroughs’ = RC.III
- 11 ‘Wards’ = RC.II
- 71 ‘Cells’ = RC.I

MMC Mbaile Municipal Council = a County = RC.IV
KCC Kampala City Council = a District = DRC

M.M.Council-RC.IV consist of 3 times R.Committees.III= 27 persons, plus 9 RC.IV committee members.

The RC.IV committee consists of: 1 Chairman (=mayor), 1 Vice Chairman, 1 Committee Secretary and 6 Secretaries (for: information, defence, finance, education, women and youth)

The municipal council has 7 council committees. These municipal council committees make policy that has be approved by full Municipal Council. The Municipal Resistance Committee oversees the implementation of the approved policies, and the Municipal Administrative Departments execute them.

According to the 87 RC statute: ‘a RC council shall be a policy making organ, within its area; identify local problems and solutions, formulate and review development plans’

Remark author: In theory this form of mass participation and population mobilization appears to be an ideal way to accomplish participation in both politics and urban management and development. But in practice (Mbale) most people feel that the communication between the population and the Councils (government) stops at RC.III level. Depending on the specific neighborhood situation the RC.I and II’s are in some cases effective community organizations.
Appendix 5: overview case study work done

The Tested Tool consisting of three main parts;
I Communication
II Physical planning
III Studies
was tested during the Mbale case-study in 11 steps, of all these steps interim reports-IR were made;

IR 1; Structures (Organization MMC)
IR 2; Interviews (Mbale; public, private + community sector)
IR 3; City-profile
IR 4; Mini Project (test session)
IR 5; Analysis Session
IR 6; Plenary Sessions (internal (MMC) and external (RC I+II, NGO, and private sector)
IR 7; Vision and Strategy Session
supplement IR 7; Action Program Meeting
annex A; Action Program proposal Mbale-Zaanstad
annex B; Shelter pilot project proposal
IR 8; Additional Interviews (national level)
IR 9; Physical Planning Exercise
IR 10; Shelter
IR 11; Land Allocation Systems

Final Case-Study Report with Executive Summary.

This 5 page summary has been distributed to all participants and all members of full MM council.

All reports are available for consultation at the Town Clerks Office MMC and with the Author.

The information gathering consisted of;
-5 communication sessions, 2 canceled (45 people involved)
-52 long office interviews
-8 long field interviews
-24 short field interviews
-204 Household-interviews in check list survey
-220 Household-interviews in open question survey
-50 private sector-interviews in open question survey

+ total
-603 people involved = +/- 1% of Population Mbale (60.000)
Appendix 6 MAIN CRUDE RESULTS SESSIONS

contents 6.1 Analysis session; 6.2 crude results plenary sessions; 6.3 Action Program meeting

6.1 analysis session elaborated results. see appendix 2 for set-up session

Out come session:
Of the 17 organizations/people invited (16 agreed/promised the day before to come) 11 showed up. The session started 45 minutes late with 9 people present.

After a short introduction of all the participants a resume is given of information gathered from the interviews (in this case; 
- Public sector; lack of capacity, lack of finance not enough tax revenues, low salaries
- Private sector; lack of working capital, lack of property security, too high and complex regulation and taxation system
- Community sector; poverty, bad living conditions population, restrictive regulation on income generation and self-help shelter.)

B2 - Objectives and criteria;
After an individual brainwriting inventorization (20 different statements), a brainstorming discussion resulted in the following ‘consensus’ on objectives for urban management or urban development:
- SERVICE DELIVERY; -ECONOMICAL DEVELOPMENT; -PLANNING;
- INTER SECTORAL COOPERATION; and -RECONSTRUCTION/REHABILITATION

The following step was a discussion on; ‘which criteria should be used, in order to determine if actions have a chance of success and reach the above mentioned objectives?’ - Out come:
- AFFORDABILITY; -SUSTAINABILITY; -INTEGRATED;
- LEGITIMACY; -ACCESSIBILITY; -ACCEPTABILITY

B3 - Inventorization and categorization
Out come brainwriting inventorization (3 key-words on Mbale) 30 statements; 10 on inadequate Technical and Social Infrastructures, and 7 on financial situation MMC

after a plenary discussion categorized in the following groups;
1 SOCIAL
2 ECONOMIC
3 TECHNICAL
4 INSTITUTIONAL (administrative)

B4 - SWOT analysis
The 4 categories were written on a SWOT sheet
Before filling in the SWOT schemes through individual brainwriting the SWOT analysis was explained using a example/explanation sheet, Special attention was given to the difference between Internal and External Analysis.

Following the total scores Number of times mentioned;

<table>
<thead>
<tr>
<th>Category</th>
<th>S</th>
<th>W</th>
<th>O</th>
<th>T</th>
<th>Total</th>
</tr>
</thead>
<tbody>
<tr>
<td>1 SOCIAL</td>
<td>07</td>
<td>06</td>
<td>01</td>
<td>02</td>
<td>16</td>
</tr>
<tr>
<td>2 ECONOMIC</td>
<td>05</td>
<td>05</td>
<td>03</td>
<td>05</td>
<td>18</td>
</tr>
<tr>
<td>3 TECHNICAL</td>
<td>04</td>
<td>13</td>
<td>03</td>
<td>02</td>
<td>22</td>
</tr>
<tr>
<td>4 INSTITUTIONAL</td>
<td>03</td>
<td>11</td>
<td>03</td>
<td>01</td>
<td>18</td>
</tr>
<tr>
<td>TOTAL</td>
<td>19</td>
<td>35</td>
<td>10</td>
<td>10</td>
<td></td>
</tr>
</tbody>
</table>

Subjects mentioned more then once (2); poverty, deteriorated infrastructures, too high taxation, expensive/bad education services, regional function Mbale as potential, (small scale)/(aero-based) industrial potential.
Number of priority given:

<table>
<thead>
<tr>
<th>Category</th>
<th>S</th>
<th>W</th>
<th>O</th>
<th>T</th>
<th>Total</th>
</tr>
</thead>
<tbody>
<tr>
<td>1 SOCIAL</td>
<td>01</td>
<td>09</td>
<td>00</td>
<td>03</td>
<td>13</td>
</tr>
<tr>
<td>2 ECONOMIC</td>
<td>01</td>
<td>02</td>
<td>03</td>
<td>01</td>
<td>07</td>
</tr>
<tr>
<td>3 TECHNICAL</td>
<td>01</td>
<td>09</td>
<td>01</td>
<td>00</td>
<td>11</td>
</tr>
<tr>
<td>4 INSTITUTIONAL</td>
<td>03</td>
<td>05</td>
<td>00</td>
<td>00</td>
<td>08</td>
</tr>
<tr>
<td>TOTAL</td>
<td>06</td>
<td>25</td>
<td>04</td>
<td>04</td>
<td></td>
</tr>
</tbody>
</table>

Subjects/Statements given the most priorities:
- Technical maintenance infrastructures Weak 4 times
- Poverty Weak 4
- Health services Weak 3
- Rural land shortage Threat 3
- Administrative MMC professionals Strong 3
- Regulations Weak 3
- Educational Services Weak 2
- Coffee exports Strong 2
(for total inventorization see IR 5)

B6 - Interlinkages
Before starting the interlinkage discussion and the interlinkage graph were explained using an example/explanation sheet. During the group discussions the session leader (R Meijer) and counterpart assisted/participated the groups. People were instructed to question the problems/potentials and the interlinkages; WHY is it a problem? WHAT - WHEN - WHO - HOW - ?? etc And the participants were asked to visualize the out-come in a so called interlinkage-graph.

Interlinkage discussion in two groups on subjects given high priority;
group 1 on Interlinkages Social Services and Poverty, group 2 on Technical Maintenance and Regulations

Group 1 used a Graph for the presentation (see fig.23), as starting point was chosen; HEALTH services:

WHAT is the problem?
- the Quality and Quantity, it's very expensive and not enough

WHY?
- Lack of money People and Government. People don't have enough money because of poverty, this is related to the state of the economy. Government does not have enough money Funds, because of low tax revenues, from poor population and poor economy.

WHY is there a poor economy?
- Lack of finance, lack of initiatives, lack of income generation.

WHY?
- economic activities restricted by regulations, lack of planning, lack of credit

WHY no investments?
- no property security, which could be the basis for self-investment or obtaining credits for investments in business and shelter

WHY no property security?
- difficult to obtain legal land, too expensive and difficult procedures (unaffordable for the majority of the population) and very high (expensive) directly related building standards and procedures.
Regulation and Bureaucracy are seen as restrictive. Leading on the one hand to lack of property security, and therefore little investments, and lack of credit possibilities. On the other hand directly restricts income generation, because of tax, license and fee systems.

Solutions were seen in:
- empowerment of the community;
- enable private and community sector, instead of constraining;
- simplify all regulations and bureaucracy, differentiate for the different levels within society, "make regulations easy affordable and fast";
- decentralize, the example of a so called "one-stop-shop" was given, that one only has to go one office, to obtain a license, a permit, or a land lease;
- reduce taxation, to stimulate consumption, improve competitive position business, and for the taxes paid, something must be done, results must be visual for the tax payer.

Group 2 in short;
- starting point Technical Maintenance; Because of lack of capacity of Government, because of low tax revenues which is related to the state of the economy, see group 1
- Institutional; no interlinkage, but call for reform and revision and decentralization

B7 - Conclusion and Recommendations participants

Results of the plenary discussion:
1 Bureaucracy 'a lot of red tape', 'rules and regulations work restrictive on private sector and community development', a call was made for revision of all regulations in order to make them more realistic, affordable and simpler;
2 Decentralization in decision making, planning and revenue collection; the tax collection should be simplified and integrated; the tax level should be lowered and be paid periodically; the management of the town should be done in a more business minded way, with special attention to the weakest groups in the society;
3 Privatization was advocated for service delivery, but at the same time the risk for the creation of monopoly and speculation was mentioned; services must be affordable and sustainable (cost-recovery); so a redefinition of the level and standards of services and infrastructures is needed;
4 Self Help Approach MMC should revise its functioning and become an enabler of local development, also the community should take more action; the self help approach was advocated people should be less dependent, and more empowered", at the same time MMC will have to work more effectively and in a more business style manner, ridding itself of the culture of a "welfare organization"; so the people have to depend more on themselves;
5 Transparency was advocated for in budget and in regulations and procedures;

B8 - Evaluation participants

In the beginning people only said that "it has been good", after some discussion it became clear that the participants did recognize the advantages of multi-disciplinary and multi-sectoral group discussions. And after insisting by the session leader some constructive criticism was given:
- should also invite tax payers, not just officials, business managers and organization coordinators;
- need for a more relaxed atmosphere, MMC Chamber is not seen as a political neutral ground;
- work more in smaller workgroups;
- SWOT was seen as quite (too) complex and tricky;
- a Data-base or Information support would be helpful in discussion

OUTCOME TOOL:

Evaluation and observations (by R Meijer, made at that time)
- accommodation technically good but not neutral
- the atmosphere during the session was not so good, not relaxed enough, even a bit schoolish.
- people did not really seem at ease because:
  1? of presence Town Clerk;
  1? of MM Council chamber;
  1? group not homogeneous enough;
  1? not used to techniques,
  1? of fear for individual opinion giving within this group

120
The people did not speak up as during interviews held.
- the outcome of the sessions was very much influenced by the constitution of the group, because there was only one (shy) representative of the Community sector (NGO), and because of the dominance of some individuals in the plenary discussions the outcome has become very much economic oriented;
- people were not used to brainwriting, walking around and pinning down during a meeting this created some confusion in the beginning;
- the quality of the statements and the SWOT analysis was questionable because some participants did not fully understand the techniques, despite explanations;
- together with the invitation the participants should be given already some explanation, information and questions in order to better prepared;
- SWOT and Interlinkage took long and considered (too) difficult, quality of outcome was too low, interlinkage discussion group 1 too much steered by session leader.

Recommended improvements (by R Meijer, made at that time)
- composition group should be more homogeneous;
- work more in small workgroups with presentation of group results, because then people might speak-up more freely;
- the presentation, should be slower better, with more attention to time planning;
- number of people that attended showed the motivation for this session, this could be improved by offering something
- in general the whole set up should be more simpler;
- SWOT should be reduced to simple Problem - Potential analysis.

6.2 plenary sessions brief crude results rest see IR 6

I Out come external session;

Inventorization (nr. =number of times mentioned/rated)

<table>
<thead>
<tr>
<th>PROBLEMS</th>
<th>nr.</th>
<th>priority</th>
</tr>
</thead>
<tbody>
<tr>
<td>water</td>
<td>10</td>
<td>04</td>
</tr>
<tr>
<td>housing</td>
<td>09</td>
<td>02</td>
</tr>
<tr>
<td>roads</td>
<td>07</td>
<td>01</td>
</tr>
<tr>
<td>education</td>
<td>06</td>
<td>04</td>
</tr>
<tr>
<td>electricity</td>
<td>04</td>
<td>00</td>
</tr>
<tr>
<td>health</td>
<td>03</td>
<td>01</td>
</tr>
<tr>
<td>sanitation</td>
<td>02</td>
<td>01</td>
</tr>
<tr>
<td>licenses</td>
<td>01</td>
<td>04</td>
</tr>
<tr>
<td>others</td>
<td>05</td>
<td></td>
</tr>
<tr>
<td>TOTAL</td>
<td>49</td>
<td>17</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>POTENTIALS</th>
<th>nr.</th>
<th>priority</th>
</tr>
</thead>
<tbody>
<tr>
<td>housing</td>
<td>1</td>
<td>1</td>
</tr>
<tr>
<td>hospital</td>
<td>1</td>
<td>0</td>
</tr>
<tr>
<td>social places</td>
<td>1</td>
<td>0</td>
</tr>
<tr>
<td>people</td>
<td>1</td>
<td>0</td>
</tr>
<tr>
<td>market places</td>
<td>1</td>
<td>0</td>
</tr>
<tr>
<td>tap water</td>
<td>1</td>
<td>0</td>
</tr>
<tr>
<td>TOTAL</td>
<td>6</td>
<td>1</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>CONSTRAINTS</th>
<th>nr.</th>
<th>priority</th>
</tr>
</thead>
<tbody>
<tr>
<td>land, housing</td>
<td>06</td>
<td>05</td>
</tr>
<tr>
<td>taxation</td>
<td>04</td>
<td>06</td>
</tr>
<tr>
<td>water</td>
<td>03</td>
<td>09</td>
</tr>
<tr>
<td>no coop. MMC</td>
<td>02</td>
<td>07</td>
</tr>
<tr>
<td>education, health</td>
<td>02</td>
<td>07</td>
</tr>
<tr>
<td>licenses</td>
<td>01</td>
<td>02</td>
</tr>
<tr>
<td>corruption</td>
<td>01</td>
<td>02</td>
</tr>
<tr>
<td>TOTAL</td>
<td>19</td>
<td>38</td>
</tr>
</tbody>
</table>
TOTAL PRIORITY problems, potentials and constraints
- water 13
- education 13
- licenses and taxation 12
- land, housing, sanitation 07 (incl. regulations)
- no cooperation/assist. MMC 07
- corruption 02
- roads 01

Solutions were seen in the reduction of bureaucracy; community - public sector cooperation in low standard local water supply; improved accessible education; local, neighborhood commercial electricity supply; land allocation, legalization 'squatter' rights customary owners, tenants; allowing self-help housing of lower standard, possibly with material or capital credit; credit facilities in general; lower, simpler taxation etc.

ii Out come internal (MMC Staff) session;
The MMC staff was also asked to give their opinion about MMC as an organization.

MBALE TOWN

<table>
<thead>
<tr>
<th>PROBLEMS</th>
<th>nr.</th>
<th>priority</th>
</tr>
</thead>
<tbody>
<tr>
<td>-housing</td>
<td>3</td>
<td>4</td>
</tr>
<tr>
<td>-AIDS</td>
<td>1</td>
<td>3</td>
</tr>
<tr>
<td>-security</td>
<td>1</td>
<td>2</td>
</tr>
<tr>
<td>-roads</td>
<td>2</td>
<td>1</td>
</tr>
<tr>
<td>-unemployment</td>
<td>2</td>
<td>1</td>
</tr>
<tr>
<td>-health</td>
<td>2</td>
<td>0</td>
</tr>
<tr>
<td>-drinking</td>
<td>2</td>
<td>1</td>
</tr>
<tr>
<td>-farming</td>
<td>1</td>
<td>1</td>
</tr>
<tr>
<td>-water</td>
<td>2</td>
<td>0</td>
</tr>
<tr>
<td>others</td>
<td>9</td>
<td>0</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>POTENTIALS</th>
<th>nr.</th>
<th>priority</th>
</tr>
</thead>
<tbody>
<tr>
<td>-food</td>
<td>4</td>
<td>2</td>
</tr>
<tr>
<td>-weather</td>
<td>2</td>
<td>1</td>
</tr>
<tr>
<td>-hospital</td>
<td>2</td>
<td>1</td>
</tr>
<tr>
<td>-commer.center</td>
<td>1</td>
<td>1</td>
</tr>
<tr>
<td>-freedom ass.</td>
<td>1</td>
<td>1</td>
</tr>
<tr>
<td>-near mombassa</td>
<td>1</td>
<td>0</td>
</tr>
</tbody>
</table>

TOTAL 26 14

MBALE MUNICIPAL COUNCIL MMC

<table>
<thead>
<tr>
<th>PROBLEMS</th>
<th>nr.</th>
<th>priority</th>
</tr>
</thead>
<tbody>
<tr>
<td>-salary</td>
<td>8</td>
<td>4</td>
</tr>
<tr>
<td>-councilors</td>
<td>1</td>
<td>4</td>
</tr>
<tr>
<td>-transport</td>
<td>5</td>
<td>3</td>
</tr>
<tr>
<td>-sectarian.</td>
<td>1</td>
<td>2</td>
</tr>
<tr>
<td>-relationsh.</td>
<td>1</td>
<td>2</td>
</tr>
<tr>
<td>-no training</td>
<td>1</td>
<td>2</td>
</tr>
<tr>
<td>-job overlap</td>
<td>1</td>
<td>2</td>
</tr>
<tr>
<td>-housing</td>
<td>5</td>
<td>1</td>
</tr>
<tr>
<td>-communic.</td>
<td>3</td>
<td>1</td>
</tr>
<tr>
<td>-tribalism</td>
<td>1</td>
<td>1</td>
</tr>
<tr>
<td>-salary man</td>
<td>1</td>
<td>1</td>
</tr>
<tr>
<td>-taxes</td>
<td>1</td>
<td>1</td>
</tr>
<tr>
<td>-no promot.</td>
<td>1</td>
<td>1</td>
</tr>
<tr>
<td>-others</td>
<td>6</td>
<td>0</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>POTENTIALS</th>
<th>nr.</th>
<th>priority</th>
</tr>
</thead>
<tbody>
<tr>
<td>-business contract</td>
<td>1</td>
<td>0</td>
</tr>
<tr>
<td>-administration</td>
<td>1</td>
<td>0</td>
</tr>
<tr>
<td>-jobs</td>
<td>1</td>
<td>0</td>
</tr>
<tr>
<td>-medical treatment</td>
<td>1</td>
<td>0</td>
</tr>
<tr>
<td>-near home</td>
<td>1</td>
<td>0</td>
</tr>
<tr>
<td>-burial assistance</td>
<td>1</td>
<td>0</td>
</tr>
</tbody>
</table>

TOTAL 36 23

remarks: many statements were made about the councilors and the importance of relationships within MMC (sectarianism, tribalism, old-political parties and religious groups) and the related corruption.
Solutions for Mbale credit facilities and relaxed taxation and regulation; for MMC reorganization MMC, clear demarcation of responsibilities between political and administrative officials; transparency; discourage discrimination and corruption; reduce over-staffing etc

OUTCOME TOOL:
The simpler set-up and techniques as compared to the analysis session proved to be an improvement. The crude results of the two plenary sessions are given to prove the point that the constitution/composition of the group influences the outcome of a session. In both cases the groups were not multi-sectoral and therefore the results were very much focussed on the problems of the group. For the RC.1 and II’s (low level political community representatives) the main problems were those of the community low-income level and inadequate shelter (specifically services). While in comparison the MMC staff mainly complained about the fact that they were not being paid (at all or properly) and that councilors would take their money. Where water and poor social services, together with the constraining tax, license and regulation systems where seen by the RC’s for their community, these points were hardly mentioned by the people in public administrative service.

6.3 Results Special Action Program Meeting with TC

According to the TC priority must be given to Community oriented projects, followed by capacity building of MMC. The elaborated five fields of actions are:

i-community orientated projects;
for example -community water supply systems, -rehabilitation of social and technical infrastructures, -solid waste management. And in combination with student research the execution of a 'pilot shelter project', which has as objective the research and implementation of small scale alternative, appropriate (technology) solutions for shelter (housing and services), at household and cell level, for the low-income groups.
R Meijer presented the proposal for this project at the action program session.

ii-technical assistance from Zaanstad to Mbale;
for example -technical assistance for projects if needed, -formation of a 'economic development unit' (like the one active in Zaanstad), for study and policy recommendations for economic development in general and aero-based industrial development in specific, -revision of the structure plan (1959 outline scheme; R Meijer started on this during the UM case-study see chapter), -reorganization consultation/exercise of MMC.

iii-student research;
see pilot shelter project= shelter related (socio-economic) technical research. And for example: -income generation (informal sector), customary owner-customary tenant relationship =the rental market situation;

iv-training/capacity building;
in the Netherlands: -financial management; -organization and general management; and if needed training related to projects
in Uganda Workshops: -supervision; -performance improvement; -vocational training; and general on the job training by technical assistants.

v-(supporting)equipment;
There where needed for the implementation of the projects and for the capacity building (=retooling).

Other suggestions by R Meijer; -research local credit institution building (for small-scale private - and community sector), -revision/simplification of tax system, -revision local regulation = general deregulation.

-for Action program see Annex A supplement IR 7
-for Shelter pilot project see Annex B supplement IR 7
Appendix 7: results surveys Shelter
See the Interim report nr.10 for the results of the Open-Question survey and the Shelter interviews.

7.1 check-list survey:
7.1.1 crude results survey
7.1.3 measures
7.1.2 analysis survey results
7.1.4 comparison with other researches
7.2 local literature study
7.3 evaluation method
7.4 conclusions and recommendations

7.1 Multi-ple choice ‘check list’ survey
See Ir.10 for the results of the interviews with the area representatives as held during the check-list survey.

7.1.1 crude results survey;
the questionnaire consisted of 5 open questions and 55 to be answered by Yes-No-or-Unknown
Answers of 3, 4, 8 were rated, answers of 1, 2, 5, 6, 7 were open noted down.

Survey executed in four areas; (- see map fig.20 -appendix 3)
A-Kikyafu 30 households
B Kiteso 69
C Busamaga 18 * (survey refused)
D Namatala 87
total 204

Following are the crude results, in order of importance, of the open questions:

1. What are your main 3 problems?
highest rated: -Income, -Water, -Education, -Land, -Health, -Food, -Housing, -Unemployment

2. What are your main 3-5 constraints/road blocks in improving your Shelter situation?
highest rated: -Money, -Materials, -MMC Regulations, -Land, -Ownership

Ad 1 and 2 overview crude score per area

<table>
<thead>
<tr>
<th>1 PROBLEM / area</th>
<th>A</th>
<th>B</th>
<th>C</th>
<th>D</th>
<th>total</th>
</tr>
</thead>
<tbody>
<tr>
<td>-Income</td>
<td>13</td>
<td>19</td>
<td>10</td>
<td>29</td>
<td>71*</td>
</tr>
<tr>
<td>-Water</td>
<td>14</td>
<td>03</td>
<td>01</td>
<td>30</td>
<td>48*</td>
</tr>
<tr>
<td>-Education</td>
<td>07</td>
<td>04</td>
<td>02</td>
<td>13</td>
<td>26</td>
</tr>
<tr>
<td>-Land</td>
<td>05</td>
<td>07</td>
<td>05</td>
<td>06</td>
<td>23</td>
</tr>
<tr>
<td>-Health</td>
<td>06</td>
<td>04</td>
<td>02</td>
<td>11</td>
<td>23</td>
</tr>
<tr>
<td>-Food</td>
<td>01</td>
<td>05</td>
<td>02</td>
<td>14</td>
<td>21</td>
</tr>
<tr>
<td>-Housing</td>
<td>04</td>
<td>05</td>
<td>01</td>
<td>08</td>
<td>18*</td>
</tr>
<tr>
<td>-Unemployment</td>
<td>02</td>
<td>04</td>
<td>03</td>
<td>05</td>
<td>14*</td>
</tr>
<tr>
<td>-Electricity</td>
<td>03</td>
<td>00</td>
<td>00</td>
<td>06</td>
<td>09</td>
</tr>
<tr>
<td>-Clothing</td>
<td>04</td>
<td>01</td>
<td>00</td>
<td>03</td>
<td>08</td>
</tr>
<tr>
<td>-Many children</td>
<td>01</td>
<td>00</td>
<td>00</td>
<td>06</td>
<td>07</td>
</tr>
<tr>
<td>-MMC</td>
<td>00</td>
<td>00</td>
<td>00</td>
<td>07</td>
<td>07*</td>
</tr>
<tr>
<td>-Large families</td>
<td>01</td>
<td>00</td>
<td>00</td>
<td>05</td>
<td>06</td>
</tr>
<tr>
<td>-Taxation</td>
<td>01</td>
<td>01</td>
<td>00</td>
<td>03</td>
<td>05*</td>
</tr>
<tr>
<td>-Materials</td>
<td>02</td>
<td>00</td>
<td>00</td>
<td>03</td>
<td>05</td>
</tr>
<tr>
<td>rest less then 5</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>TOTAL</td>
<td>73</td>
<td>59</td>
<td>26</td>
<td>152</td>
<td>310</td>
</tr>
</tbody>
</table>

Average 1,5 valid answers per household, so less then 3 per respondent, this partially because people did not ‘knew’ anything more, and partly due to the quality of the surveyors.
* Remarks:
- This reconfirms the general picture on the importance of lack of income, unemployment as the top-priority for people.
- Also here water is seen as the technical problem, this was also enforced by the fact that at the time of the survey Mbale suffered from a drought period.
- Remarkable is that only D Namatala complains in this stage of the survey about MMC and its taxation.
- Housing relatively low priority problem.

<table>
<thead>
<tr>
<th>2 CONSTRAINT/ area</th>
<th>A</th>
<th>B</th>
<th>C</th>
<th>D</th>
<th>total</th>
</tr>
</thead>
<tbody>
<tr>
<td>Money</td>
<td>14</td>
<td>13</td>
<td>02</td>
<td>15</td>
<td>44</td>
</tr>
<tr>
<td>Materials</td>
<td>04</td>
<td>03</td>
<td>00</td>
<td>23</td>
<td>29</td>
</tr>
<tr>
<td>MMC Regulations</td>
<td>02</td>
<td>00</td>
<td>00</td>
<td>18</td>
<td>20</td>
</tr>
<tr>
<td>Land</td>
<td>02</td>
<td>03</td>
<td>00</td>
<td>10</td>
<td>15</td>
</tr>
<tr>
<td>Ownership</td>
<td>06</td>
<td>04</td>
<td>00</td>
<td>00</td>
<td>10</td>
</tr>
<tr>
<td>Water</td>
<td>00</td>
<td>01</td>
<td>00</td>
<td>09</td>
<td>10</td>
</tr>
<tr>
<td>Transport</td>
<td>03</td>
<td>00</td>
<td>00</td>
<td>06</td>
<td>09</td>
</tr>
<tr>
<td>Large Family</td>
<td>00</td>
<td>05</td>
<td>00</td>
<td>01</td>
<td>06</td>
</tr>
<tr>
<td>Rent</td>
<td>01</td>
<td>02</td>
<td>00</td>
<td>03</td>
<td>06</td>
</tr>
<tr>
<td>Labor</td>
<td>01</td>
<td>01</td>
<td>00</td>
<td>03</td>
<td>05</td>
</tr>
<tr>
<td>rest less then 5</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>TOTAL</td>
<td>37</td>
<td>39</td>
<td>02</td>
<td>89</td>
<td>167</td>
</tr>
</tbody>
</table>

Average 0,8 valid answers per household.

This reflects the 'logical' sequence of Money, (price for) material and restriction(land, ownership) on for example use local material, due to regulations, and therefore high transport costs.

3 Could you give the following information about your housing situation?; -highest rated-

**LAND:** 47% customary owned
**HOUSE:** 45% rented, 42% built with fundi
**WATER:** 59% springs *, 19% (in)direct access to piped water, 14% uses surface water
**TOILET:** 56% communal PIT latrines

* the question on the type of water sources was in the beginning not well understood by the Surveyors, 59% is non-piped water like protected wells, springs, boreholes.

Total crude results per area

<table>
<thead>
<tr>
<th>3/area</th>
<th>A</th>
<th>B</th>
<th>C</th>
<th>D</th>
<th>total</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>LAND:</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>- lease</td>
<td>07</td>
<td>10</td>
<td>02</td>
<td>10</td>
<td>29</td>
</tr>
<tr>
<td>- customary</td>
<td>14</td>
<td>35</td>
<td>06</td>
<td>41</td>
<td>96</td>
</tr>
<tr>
<td>- squatting</td>
<td>02</td>
<td>16</td>
<td>07</td>
<td>27</td>
<td>52</td>
</tr>
<tr>
<td>- unknown</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>27</td>
</tr>
<tr>
<td><strong>HOUSE:</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>- owned</td>
<td>16</td>
<td>28</td>
<td>06</td>
<td>39</td>
<td>89</td>
</tr>
<tr>
<td>- rented</td>
<td>10</td>
<td>40</td>
<td>02</td>
<td>39</td>
<td>91</td>
</tr>
<tr>
<td>- unknown</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>24</td>
</tr>
</tbody>
</table>

125
In general the outcome differs per area for almost all aspects, this indicates the need for not just a town strategy but even an adapted Neighborhood approach because the land/house ownership status and level of services differ per area. Also the demographic differences per area are evident with in some areas large groups of migrants from the north. This introduces also large cultural and ethnic differences.

4 Do you see the following statements as a problem for building or improving your house/services?

Answer with YES NO or UNKNOWN

<table>
<thead>
<tr>
<th>Statement</th>
<th>YES</th>
<th>NO</th>
</tr>
</thead>
<tbody>
<tr>
<td>Legal land allocation</td>
<td>A</td>
<td>B</td>
</tr>
<tr>
<td>Building rules</td>
<td>C</td>
<td>D</td>
</tr>
<tr>
<td>Official procedures</td>
<td>A</td>
<td>B</td>
</tr>
<tr>
<td>Lack of infrastructures</td>
<td>C</td>
<td>D</td>
</tr>
<tr>
<td>Weather</td>
<td>A</td>
<td>B</td>
</tr>
<tr>
<td>High interest</td>
<td>C</td>
<td>D</td>
</tr>
<tr>
<td>High inflation</td>
<td>A</td>
<td>B</td>
</tr>
<tr>
<td>Difficult to borrow money</td>
<td>C</td>
<td>D</td>
</tr>
<tr>
<td>No local financing</td>
<td>A</td>
<td>B</td>
</tr>
<tr>
<td>No credit institutions</td>
<td>C</td>
<td>D</td>
</tr>
<tr>
<td>Savings not encouraged</td>
<td>A</td>
<td>B</td>
</tr>
<tr>
<td>Low income level</td>
<td>C</td>
<td>D</td>
</tr>
<tr>
<td>High taxation</td>
<td>A</td>
<td>B</td>
</tr>
<tr>
<td>Bureaucracy</td>
<td>C</td>
<td>D</td>
</tr>
<tr>
<td>Corruption</td>
<td>A</td>
<td>B</td>
</tr>
<tr>
<td>No skilled labor</td>
<td>C</td>
<td>D</td>
</tr>
<tr>
<td>Price of labor</td>
<td>A</td>
<td>B</td>
</tr>
<tr>
<td>No organization/coop.family</td>
<td>C</td>
<td>D</td>
</tr>
<tr>
<td>Participation</td>
<td>A</td>
<td>B</td>
</tr>
<tr>
<td>Organization community</td>
<td>C</td>
<td>D</td>
</tr>
<tr>
<td>Knowledge selfhelp</td>
<td>A</td>
<td>B</td>
</tr>
<tr>
<td>Contract fundi etc</td>
<td>C</td>
<td>D</td>
</tr>
<tr>
<td>No time for self building</td>
<td>A</td>
<td>B</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Known causes</th>
<th>Total</th>
<th>Total</th>
</tr>
</thead>
<tbody>
<tr>
<td>Legal land allocation</td>
<td>104</td>
<td>47</td>
</tr>
<tr>
<td>Building rules</td>
<td>110</td>
<td>40</td>
</tr>
<tr>
<td>Official procedures</td>
<td>117</td>
<td>40</td>
</tr>
<tr>
<td>Lack of infrastructures</td>
<td>107</td>
<td>29</td>
</tr>
<tr>
<td>Weather</td>
<td>107</td>
<td>24</td>
</tr>
<tr>
<td>High interest</td>
<td>122</td>
<td>39</td>
</tr>
<tr>
<td>Difficult to borrow money</td>
<td>146</td>
<td>54</td>
</tr>
<tr>
<td>No local financing</td>
<td>107</td>
<td>24</td>
</tr>
<tr>
<td>No credit institutions</td>
<td>147</td>
<td>57</td>
</tr>
<tr>
<td>Savings not encouraged</td>
<td>107</td>
<td>24</td>
</tr>
<tr>
<td>Low income level</td>
<td>122</td>
<td>39</td>
</tr>
<tr>
<td>High taxation</td>
<td>146</td>
<td>54</td>
</tr>
<tr>
<td>Bureaucracy</td>
<td>147</td>
<td>57</td>
</tr>
<tr>
<td>Corruption</td>
<td>147</td>
<td>57</td>
</tr>
<tr>
<td>No skilled labor</td>
<td>147</td>
<td>57</td>
</tr>
<tr>
<td>Price of labor</td>
<td>147</td>
<td>57</td>
</tr>
<tr>
<td>No organization/coop.family</td>
<td>147</td>
<td>57</td>
</tr>
<tr>
<td>Participation</td>
<td>147</td>
<td>57</td>
</tr>
<tr>
<td>Organization community</td>
<td>147</td>
<td>57</td>
</tr>
<tr>
<td>Knowledge selfhelp</td>
<td>113</td>
<td>47</td>
</tr>
<tr>
<td>Contract fundi etc</td>
<td>113</td>
<td>47</td>
</tr>
<tr>
<td>No time for self building</td>
<td>113</td>
<td>47</td>
</tr>
</tbody>
</table>

126
24 price local materials  26--34--05--53=118  03--22--09--09=043  43
25 price import materials  27--36--09--55=127  02--18--09--15=044  33
26 transport materials  28--43--11--61=143  02--19--04--11=036  25
27 no good materials  21--21--02--43=087  08--35--13--27=083  34
28 price changes materials  27--40--12--70=149  01--15--03--02=022  33
29 theft materials  21--29--11--44=105  07--28--06--17=058  41
30 knowledge materials  19--26--08--41=094  08--32--10--24=074  36
31 no particip.decision MMC  20--44--10--57=131  08--04--07--17=036  37
32 crowding of rooms  05--35--10--56=108  22--32--08--17=079  17
33 crowding of plots  22--31--09--51=113  01--27--06--14=048  43
34 insecurity property  23--37--12--40=112  06--26--04--25=061  31
35 too high rents  10--29--09--44=092  07--30--08--22=067  45
36 quality rentals  08--27--13--65=113  10--29--04--10=053  38
37 large families  18--40--12--52=122  11--20--06--25=062  20
38 soil conditions  12--08--03--20=043  15--49--15--37=116  45
39 local material production  23--32--04--59=109  05--29--14--26=074  21
40 restriction brick making  28--47--03--69=147  00--12--15--11=038  19
41 land property security  17--30--03--58=114  01--25--05--13=044  46
42 fear expulsion/ no compens.  16--20--14--57=107  01--26--01--08=036  61
43 customary land tenure  17--18--05--40=080  07--38--08--06=059  65
44 urban agriculture  18--25--02--41=086  11--42--15--24=092  26
45 land speculation  12--18--12--47=089  16--34--06--21=077  38

*remark: many questions were answered with unknown, this indicates the difficulty of the questions and possibly the quality of the explanations/translations by the surveyors.

SERVICES in area available? or seen as problem?

46 roads  15--35--10--32=092  14--30--07--36=087  25
47 drainage  19--19--02--16=056  11--06--16--44=077  71
48 energy/electricity  22--30--03--49=104  07--28--13--29=074  23
49 transport  19--22--09--52=102  10--39--09--15=073  29
50 sanitation  21--18--01--21=061  08--39--12--44=103  40*
51 water  25--40--07--77=149  04--39--12--03=041  14*
52 waste  10--18--06--28=062  17--37--11--38=103  39*
53 social services  22--22--06--49=099  04--36--10--22=072  33
54 commercial service  11--33--08--46=098  18--34--10--21=083  32
55 environment  01--09--05--27=042  17--32--07--23=079  83*

*remarks;
- Water was mentioned the most times, further more services were not really seen as a big problem.
- Environmental and sanitary issues were even considered not a problem.

5 Do you see any positive factors?
only a few answers were given: -good quality mud, -lot of space/land, -nearby town

6-Do you see any solutions?
also here few answers: -(building material) loans/credit, -Public/Community water supply projects (Wells, Springs etc).

7-Do you have any further remarks?
several answer given, most mentioned problems:
-harassment/corruption by ‘law enforcement’, -restriction on brickmaking, -restriction on Urban Agriculture, -bureaucracy, regulation, taxes.
Often a demand was made for credit facilities for self-improving shelter situation.

*remark; many questions were answered with unknown, this indicates the difficulty of the questions and possibly the quality of the explanations/translations by the surveyors.
This clearly illustrates on the one hand the restricting and constraining role of the local government, and on the other hand the belief that people are able and capable of solving their own housing needs, when given the legal allowance and maybe assistance through credit systems.

8 How much are you capable or willing to pay for legal housing? (renting or repaying loans)

<table>
<thead>
<tr>
<th>Range</th>
<th>Number</th>
<th>Percentage</th>
</tr>
</thead>
<tbody>
<tr>
<td>Less than 5000 shilling</td>
<td>15-37-14-45 = 111*</td>
<td>111%</td>
</tr>
<tr>
<td>Maximum 10000 shilling</td>
<td>12-05-01-02 = 20</td>
<td>20%</td>
</tr>
<tr>
<td>Maximum 25000 shilling</td>
<td>00-03-00-02 = 5</td>
<td>5%</td>
</tr>
<tr>
<td>More than 25000 shilling</td>
<td>00-00-00-00 = 0</td>
<td>0%</td>
</tr>
<tr>
<td>Unknown 25000 shilling</td>
<td>68</td>
<td>68%</td>
</tr>
</tbody>
</table>

1000 shilling = +/- 1 US Dollar $.

The most mentioned 5000 shilling limit indicates that little is to be expected from the proposed low-cost housing project, where the cost will be in the range of 15.000 shilling per month. Only when the project can guarantee sufficient income generation, then there is chance for success. Estimated average 'low-income' 500 shilling per day, in the survey areas the most occurring household income would be around 1000 per day. For example MMC staff has as basic salary 12.000 to max. 42.000 Shilling per month, exclusive allowances.

7.1.2 Analysis survey results

32 questions answered: YES by more than 50%
7 questions answered: NO by more than 50% of the respondents

The 14 highest scores more than or equal to

1 low income level
2 price changes materials
3 restriction on brick making in town
4 high taxation
5 difficult to borrow money
6 transport material
7 lack of credit institutions
8 no participation in decision making MMC
9 price of ‘import’ materials (cement)
10 corruption
11 high inflation
12 large families
13 lack of local financing
14 no participation in decision making MMC

Of the services Water was mentioned as a problem 149 times!

Remarks:
- low income level also here seen as major problem
- next to the difficulty of obtaining credit
- lack of skilled labor, plus the denial of the problems of: (21) knowledge self-help 116 No; (18) no organization or cooperation family 113 No; (23) No time for self-help 107 No; and (19) no participation 100 No. Gives a clear indication of the potential or at least belief in self reliance by the respondents.
- also the constraining role of the local government comes clearly forward; restrictions, taxation, no participation in decision making MMC and corruption.
The 14 highest scores per area over 122(=60%)

<table>
<thead>
<tr>
<th>YES</th>
<th>NO</th>
<th>??</th>
</tr>
</thead>
<tbody>
<tr>
<td>A</td>
<td>B</td>
<td>C</td>
</tr>
<tr>
<td>12 low income level</td>
<td>25-55-16-74=170</td>
<td>01-11-01-05=018</td>
</tr>
<tr>
<td>28 price changes materials</td>
<td>27-40-12-70=149</td>
<td>01-15-03-03=022</td>
</tr>
<tr>
<td>40 restriction brick making</td>
<td>28-47-03-69=147</td>
<td>00-12-15-11=038</td>
</tr>
<tr>
<td>13 high taxation</td>
<td>22-41-15-68=146</td>
<td>06-15-01-15=037</td>
</tr>
<tr>
<td>8 diff. borrow money</td>
<td>29-41-11-65=146</td>
<td>00-23-06-14=043</td>
</tr>
<tr>
<td>26 transport material</td>
<td>28-43-11-61=143</td>
<td>02-19-04-11=036</td>
</tr>
<tr>
<td>10 no credit institutions</td>
<td>19-37-14-70=140</td>
<td>10-17-03-07=037</td>
</tr>
<tr>
<td>16 no skilled labor</td>
<td>01-15-00-29=045</td>
<td>26-47-15-49=137</td>
</tr>
<tr>
<td>31 no partic.decision MMC</td>
<td>20-44-10-57=131</td>
<td>08-04-07-17=036</td>
</tr>
<tr>
<td>25 price import materials</td>
<td>27-36-09-55=127</td>
<td>02-18-09-15=044</td>
</tr>
<tr>
<td>15 corruption</td>
<td>21-45-09-52=127</td>
<td>06-14-06-27=053</td>
</tr>
<tr>
<td>9 no local financing</td>
<td>19-30-12-63=124</td>
<td>10-20-03-12=045</td>
</tr>
<tr>
<td>7 high inflation</td>
<td>23-35-10-54=122</td>
<td>06-15-03-15=039</td>
</tr>
<tr>
<td>37 large families</td>
<td>18-40-12-52=122</td>
<td>11-20-06-25=062</td>
</tr>
</tbody>
</table>

services; 51 water | 25-40-07-77=149 | 04-39-12-03=041 | 14 |

**CATEGORIES** all indicators scored over 50% (>102) of total grouped in categories

**A general**

i **external factors**

11 high inflation | 122 Yes |
14 soil conditions | 116 no |
22 weather | 107 yes |
23 theft of materials | 105 yes |

ii **(MMC) regulation #**

3 restriction on brick making in town | 147 Yes |
4 high taxation | 146 Yes |
8 no participation in decision making MMC | 131 Yes |
9 corruption | 127 Yes |
13 official procedure | 117 yes |
15 lack of land property security | 114 yes |
17 insecurity of property | 112 yes |
18 building rules | 110 yes |
22 fear of expulsion without compensation | 107 yes |
22 bureaucracy | 107 yes |
24 legal land allocation | 104 yes |

iii **socio-economic/demographic**

1 low income level | 170 Yes |
11 large families | 122 Yes |
16 poor quality rental houses | 113 yes |
16 crowding of plots | 113 yes |
21 crowding of rooms | 108 yes |

iv **institutional @**

4 difficult to borrow money | 146 Yes |
6 lack of credit institutions | 140 Yes |
10 lack of local financing | 124 Yes |
20 private savings not encouraged | 109 yes |
<table>
<thead>
<tr>
<th><strong>B labor</strong></th>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>7 lack of skilled labor</td>
<td>137 No*</td>
<td></td>
</tr>
<tr>
<td>15 price of labor</td>
<td>114 yes</td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th><strong>C materials</strong></th>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>2 price changes materials</td>
<td>149 Yes</td>
<td></td>
</tr>
<tr>
<td>5 transport material</td>
<td>143 Yes</td>
<td></td>
</tr>
<tr>
<td>9 price of 'import' materials (cement)</td>
<td>127 Yes</td>
<td></td>
</tr>
<tr>
<td>12 price of local building materials</td>
<td>118 yes</td>
<td></td>
</tr>
<tr>
<td>19 lack of local building mat. production</td>
<td>109 yes</td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th><strong>D organization</strong></th>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>16 lack of organization/cooperation family</td>
<td>113 no*</td>
<td></td>
</tr>
<tr>
<td>22 lack of time to build yourself</td>
<td>107 no*</td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th><strong>E information knowledge</strong></th>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>14 lack of knowledge for self-help</td>
<td>116 no*</td>
<td></td>
</tr>
</tbody>
</table>

Other possible categories: planning/design, land, legislation, infrastructures, techniques, equipment, finance

Remarks:
-# MMC regulation category is the most scoring, which clearly reconfirms the from literature and the sessions following conclusion that the Legal and Regulatory Framework is seen as one of the main reasons for the urban problems.
-@ indicates the inaccessible institutions
-* organization and information/knowledge are not seen as problems, this indicates the self-help potential.

<table>
<thead>
<tr>
<th>Services</th>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>2 water</td>
<td>149 Yes*</td>
<td></td>
</tr>
<tr>
<td>24 energy/electricity</td>
<td>104 yes</td>
<td></td>
</tr>
<tr>
<td>25 waste</td>
<td>103 no*</td>
<td></td>
</tr>
<tr>
<td>25 sanitation</td>
<td>103 no*</td>
<td></td>
</tr>
</tbody>
</table>

*Remarks; Water is expensive through vendors and Sanitation not really seen as a problem, due to lack of knowledge, environment is not at all considered a problem by the people

**Comparison open questions with check-list**

1-General PROBLEMS: (in all areas) Income; -Water (esp.: A + D); -Education; -Land; -Health; -Food (esp.: D); -Housing; -Unemployment (related to income)

2-Shelter CONSTRANT: (in all areas) -Money; -Materials (esp.: D); -MMC Regulations (esp.: D); -Land; -Ownership; -Water; -Transport.

7-Most mentioned remarks: -harassment/corruption by 'law enforcement'; -restrictions MMC; and call for credit facilities.

Checklist 14 most scored indicators for all areas;

- low income level
- price changes materials
- restriction on brick making
- high taxation
- difficult to borrow money, no credit institutions, no local financing*
- transport material
- skilled labor available
- no participation in decision making MMC
- price import materials
- corruption
- high inflation
- large families
- services: Water and to a lesser extent Energy as problem.
Comparison; in both open questions as check-list came forward;
- the importance of low income.
- the problem of water.
- restrictions through regulatory and legal framework.
- issues related to building materials; price, transport, restrictions on local building material use and production.
- the unavailability of legal credit and the call for credit institutions.
- the potential for self-help.

7.1.3 measures
Following are some proposed measures for the 14 highest rated factors;

1 low income level
- description; most money is spent on more essential needs
- impact; little money available for investing in shelter
- measures short term; lower cost of construction
- long term; poverty alleviation programs, credit facilities
- effect; more time to build, less money necessary

2 price changes of materials
- description; fluctuations of prices
- impact; incontinuity and uncertainty in construction process
- measures short term; use local materials
- long term; tax and price control
- effect; more predictable building process

3 restriction on brick making (burning) in town
- description; production and use unburned bricks not allowed
- impact; burned bricks have to be transported from out of town
- measures short term; allow production and unburned bricks
- long term; develop alternative local on site production
- effect; cost reduction (material and transport)

4a high taxation
- description; local and national taxes consume part of income
- impact; less investments, little return for paid taxes
- measures short term; relaxed and differentiate taxes
- long term; revision tax system or more direct tax return
- effect; more money available, higher service level

4b difficult to borrow money
- description; no access to credit, if available high rates
- impact; only (limited) personal savings available
- measures short term; allow more gradual legal development
- long term; creation accessible credit system, revolving funds
- effect; more money available for investments, personal and macro-economic stimulus

5 transport of materials
- description; high costs for material transport
- impact; major increase in cost price construction
- measures short term; allow local material use and production
- long term; develop on-site material production, local shops
- effect; less dependency on price increasing transport

6 lack of (legal) credit institutions
- description; inaccessible official credit institutions
- impact; no credit available
- measures short term; facilitate legal property security
- long term; allow differentiated (NGO) credit institutions
- effect; more investment possible, see also 4b.
7 NO - lack of skilled labor
- description; fundis and craftsmen available in the area
- impact; local expertise, reduced labor costs
- measures short term; allow/legalize informal sector
- long term; in corporate in projects
- effect; cost reduction
8 no participation in decision making MMC
- description; people feel excluded
- impact; no trust towards MMC, no incentive to initiatives
- measures short term; involve people through plenary sessions
- long term; promote planning/management on neighborhood level
- effect; more involvement, more commitment, more trust in government and in future, leading to more individual and community development activities.
9a price of 'import' materials (iron sheets, cement, paint etc)
- description; high costs of non-local materials (often Kenya)
- impact; increase in production costs
- measures short term; allow local material use
- long term; promote durable local material production
- effect; cost reduction
9b corruption
- description; extra money involved in procedures, and harassment by "law enforcement" task force TC department
- impact; extra costs, less willing to invest
- measures short term; reorganization "law enforcement"
- long term; reform, leading to transparency and accountability
- effect; cost reduction, more access to legal property
10 lack of local financing
- description; no investment money available
- impact; less investments, less construction activities
- measures short term; avail legal property security
- long term; NGO/CBO's creation of credit (revolving) funds
- effect; more money - available see also 4b
11a high inflation
- description; high increase in prices
- impact; unpredictability construction costs
- measures short term; allow local material use
- long term; is macro economic/ national level
- effect; less dependency on market products
11b large families
- description; many persons in one dwelling/room/household
- impact; crowding, need for shelter expansion
- measures short term; allow subletting rooms and production cost reduction as mentioned above
- long term; family planning
- effect; reduced demand for space and services

7.1.4 comparison with other research
The survey results will be compared with: (i) Phd research Erkelens; (ii) Housing indicators program;

(i) Phd research Erkelens (91)
The check-list survey questionnaire used in Mbale is abstracted from the 'method for improving the house building by low-income groups', developed in the PHD research of Dr.Ir.Peter A.Erkelens (1991). The research and method was applied to Kenya. Self-help is defined by Erkelens as self-management or self-organization rather then self-construction, this means the involvement of the small scale ‘informal’ building industry (fundis or petty contractors) for at least part of the work.
An assessment model has also been developed. The model showed that, in Kenya, 'up to the year 2000, 60% of the urban population cannot afford a house which fulfills the requirements as laid down in the present building regulations or even what can be regarded as the bare minimum'. 'It was found that there is widening gap between the decreasing purchasing power of the people and the increasing housing costs'.

Erkelens mentioned as solutions on the one hand;
- to allow subletting of rooms
- lowering building standards
- development of housing with a minimum of basic infrastructure
And on the other hand, the cost side;
- allow self-help/-organize housing for the low income groups. ‘Self-help assumes the participation (finance, labor, administration) will result in cost reductions’.

Following are the crude results check-list survey Kenya (1991), review of the 13 most important impairing productivity factors for Kenya, in decreasing order of importance;

<table>
<thead>
<tr>
<th>Factor</th>
<th>Erkelens</th>
<th>Meijer - Mbale (94)</th>
</tr>
</thead>
<tbody>
<tr>
<td>1-difficult to borrow money*</td>
<td>01</td>
<td>04 = 71%</td>
</tr>
<tr>
<td>2-unavailability of infrastructure*</td>
<td>02</td>
<td>09 = 63% 41% NO</td>
</tr>
<tr>
<td>3-high cost building materials</td>
<td>03</td>
<td>12 = 58% local material</td>
</tr>
<tr>
<td>4-low income level</td>
<td>04</td>
<td>01 = 83%</td>
</tr>
<tr>
<td>5-local materials not available</td>
<td>05</td>
<td>02 = 73%</td>
</tr>
<tr>
<td>6-disappearance of equipment/materials</td>
<td>06</td>
<td>03 = 73%</td>
</tr>
<tr>
<td>7-frequent price changes materials</td>
<td>07</td>
<td>04 = 42% 44% NO</td>
</tr>
<tr>
<td>8-crowded small plots</td>
<td>08</td>
<td>05 = 55%</td>
</tr>
<tr>
<td>9-lack of skilled labor</td>
<td>09</td>
<td>06 = 67% 22% yes</td>
</tr>
<tr>
<td>10-variability of weather</td>
<td>10</td>
<td>07 = 51%</td>
</tr>
<tr>
<td>11-insecurity of land legalization*</td>
<td>11</td>
<td>08 = 67%</td>
</tr>
<tr>
<td>12-limited ress. for prefinancing</td>
<td>12</td>
<td>09 = 51%</td>
</tr>
<tr>
<td>13-burdensome building codes*</td>
<td>13</td>
<td>10 = 71%</td>
</tr>
</tbody>
</table>

* Also found as a precondition factor; 'These factors were also found to be an important prior to the start of building'. Or to put it differently; people will not start building without:

- money, from savings or credit
- property security
- realistic affordable regulations
- basic infrastructure services

This was largely reconfirmed by both the interviews and the Survey executed in Mbale.

In Mbale also the aspects of Capital/Credit related to Property Security, Regulations and Infrastructure, conditions were often mentioned as Preconditions for private sector and community sector initiatives and investments for income generation/economic development. So the lack of all these factors are not only a constraint on Housing development for the low-income groups, but also on the general Economic Development of the Town/City.

Comparison Kenya-Mbale: all the above mentioned 13 indicators were used in the Mbale survey. Comparison relative height of rating, and % mentioned:
Remarks;
- there are clearly some differences in the outcome, this underlines the principle that every concept or strategy will have to be adjusted to the specific local circumstances and conditions in order to have a chance on success.
- 5 of the 13 highest rated indicators of Kenya returned in the Top 14 of Mbale. 5 others scored over 50%
- there are three remarkable non confirmations;
  - nr.2 unavailability of infrastructure not really seen as problem in Mbale, this is correct Mbale has a very extensive infrastructure net-work, although in a deteriorated state.
  - nr.5 local building material are available in Mbale, but not allowed to be used (restriction MMC), this reconfirms the more rural character of the secondary town.
  - nr.9 lack of skilled labor, denied by 67% is the most significant difference, this reconfirms the statements from the interviews. But although skilled labor (fundis, artisans, petty contractors) is available, 56% of the respondents finds the price of labor a problem.
- the major differences with the Top 14 of Mbale are the very locally specific issues like: (3=rate Mbale) restriction on brick making in town; (4) high taxation; (5) transport of material; (8) no participation in decision making MMC; (9) corruption; (11) high inflation; and (11) large families.

Erkelens; Total score of 33 main impairing productivity factors ordered in Categories;

<table>
<thead>
<tr>
<th>Category</th>
<th>Score</th>
</tr>
</thead>
<tbody>
<tr>
<td>A General</td>
<td>10</td>
</tr>
<tr>
<td>B Labor</td>
<td>04</td>
</tr>
<tr>
<td>C Equipment/D Materials</td>
<td>06</td>
</tr>
<tr>
<td>E Organization</td>
<td>07</td>
</tr>
<tr>
<td>F Information</td>
<td>06</td>
</tr>
</tbody>
</table>

Comparison Mbale; At first the results per category look different in comparison with Mbale, but his mainly due to the different categorization; also in the Kenya survey issues related to Regulations, Material Prices, Credit Facilities, were rated the highest. But in detail as illustrated above there are major local differences.

Next to the above mentioned 13 most negative factors, in Kenya some positive or 'enhancing' factors were mentioned: the role of women; the importance of community participation; the role of NGO's. These factors did not came forward that clearly in the Mbale survey; although they, except the role of the women, were often mentioned in both the Shelter and Urban Management interviews

Erkelens concludes that the Kenya survey confirmed that 'low-income groups increasingly have to help themselves'. with as major recommendations:
- relaxation of Bylaws
- provision of material yards and water kiosks near building sites
- stimulation of material production and even self-help production
- development of other credit facilities, setting up a security fund and building projects with an employment component.

For the implementation, a step-wise approach is promoted to begin with, so that a pilot project may, in time, resulting in an overall policy in which case strong support from a specialized NGO's is expected from the start'.

In Mbale the people interviewed during the survey, stressed the need for credit facilities, but clearly stated that from that point on they were able to construct for themselves. The concerned population in Mbale fear the proposed Housing Project by AHF/Danida, because they expect that it will be unaffordable, and therefore it will lead to expulsion of the original population, without adequate compensation. At 'grass-root' level people saw the solution in credit facilities, in combination with MMC allowing self-help.

The by Erkelens advocated PILOT project was also proposed by the author as part of the Mbale-Zaanstad cooperation program, but in this case on very small scale level (household and cell) and primarily for self-help upgrading with limited external support. -see Annex B IR 7-
(ii) Housing Indicators Program HIP - Survey by UNCHS/WB

The HIP is promoted as a first step to a new global approach of housing policy in LDC's. A survey of the housing market performance was executed in 52 countries, sub-divided in five income groups and 6 geographical areas. The ultimate goal was 'creating tools for managing the housing sector in developing countries'. the Word Bank stresses the need for a fundamental change in the role of the local government in the housing process, from realization to a condition creating role.

In general there is a strong positive correlation between the GNP per capita and the performance of the housing market. The strongest negative influences are: (a) overregulation; (b) inappropriate norms and standards; (c) inaccessible financial institutions; (d) monopoly and cartel formation on the offer side of the market; etc. Solutions are seen in: (a) revision legal and institutional frameworks; (b) credit systems; (c) subsidies; (d) infrastructure delivery; (e) land-use planning; etc.

'It becomes increasingly clear that the regulatory and institutional environment of the housing sector affects its performance in a number of important ways';
1 by making housing unaffordable to low income groups
2 by restricting residential land supply
3 by preventing the formation of new housing institutions
4 by preventing markets from operating efficiently
5 by making investments in housing unattractive
6 by forcing large numbers of people to break the law
7 by creating bureaucratic bottlenecks which cause delays
8 by preventing the development of property taxation

One of the key objectives of the H.I.P. is to draw attention to the importance of the regulatory and institutional environment.'

A legal framework must guarantee:
- clearly defined, stable and reasonably broad private ownership and use rights in land and housing
- the ability for private actors to transfer those rights through enforceable agreements
- a predictable, inexpensive, publicized and accessible system for enforcement.'

Conradi (93) mentioned the main criticism towards this new policy, that it looks again like 'the trickle down' approach of the 60-70's; that the poor should eventually and indirectly profit from a improved market, local economy. If the poor(est) will profit at all is questionable, that they might become the drop-outs of the commercial system is to be expected.

Priemus (92) the Dutch executing consultant on Amsterdam in the HIS survey, questions the methodology and applicability; 'we should not have too high expectations of the utility of the indicators.' But he sees good opportunities for cross section and time series analysis on the basis of the data.'
The authors criticism follows the line of the two above mentioned authors: (a) the incomparability of the cities; (b) uselessness of the 'median' measurements, and thus the methodology; (c) questionable recommendations on the new role of local governments ( credits, subsidies, infrastructures, regulatory and legal reform, building industry ) seen the limited capacity and political and administrative will of these local governments; and (d) the doubt if the more competitive, commercial markets will also supply the poor(est) with the necessary security and services.

As stated before it is doubtful whether these reforms of the frameworks can be expected from within the public sector, because those reforms go against the self interest of the people within the public sector. The to the reforms related studies and documents will be made, but whether they will be implemented, is to be seen taking in consideration the local commitment and willingness of both political and administrative official now in power.

Mbale In general one can conclude that the findings of the Mbale surveys coincide with the main findings of the housing indicators survey. If the local governments can or want to play the new role, advocated by HIS is to be seen but at least doubted, unless with sufficient political pressure from within an emancipated society, or external attraction or pressure from the international political and donor community.
7.2 Local literature study

A National Shelter Strategy for Uganda; Prepared by Min.Dept. of Housing (July 1992)

In short the strategies formulated fall in four categories;

i Adjusting existing legislation

ii Policy making, Institution reform, restructuring and strengthening or forming new institutions

iii Enforcing existing regulations, by-laws and procedures

iv Change in concept and research

Formulated key-issues in Housing;

- Land
- Housing Finance
- Building materials and construction
- Shelter related manpower
- Housing related institutions
- Infrastructures
- Environment
- Statues, Regulations, Standards and Procedures
- the Socially and economically disadvantaged

Strategies;

1 Government divesting itself from direct participation in the provision of housing

2 Allocation of reasonable proportion of funds to the development of the housing sector

3 Reviewing of legislation, standards, building codes and statues, procedures and other related statues

4 Reviewing and streamlining of housing related institutions

5 Planning and programming for rural housing improvement

6 Planning for an orderly and balanced urbanization

7 Improvement in the training of manpower/professionals in the development of the housing sector

8 Environment conservation

9 The socially and Disadvantaged groups

10 Boosting and mobilizing the housing finance

11 Strengthening building industry and construction sector

Ibanda of the Min. of Housing was asked during an interview what she thought of the NSS; "It's a GOOD program, but there are 101 good programs, and all depends on the local Political and Administrative Will and Commitment to implement it". Whether that Will or Commitment is there is doubted.

In an Interview with the RC.IV chairman (the mayor) the NSS was discussed. The RC.IV chairman advocated general reform of Shelter related regulations, as stated in the NSS. The NSS, on page 67, calls for: 'revised rules that will be applicable to the local conditions and also conductive to taking on new initiatives and local materials (...) Urban Authorities will (should) allow and encourage people to use simple technology in housing development'.

But according to the RC.IV Chairman, 'many people, politicians and even technocrats are hard to convince about the need to reform the regulations in this sense'.

Shelter Strategy for Mbale

Some conclusions for Mbale:

- Virtually all inhabitants in Mbale district are holding land under customary tenancy, on public land which in Uganda is legally not recognized,
- Building materials are scarce and very expensive
- The majority of the population earn subsistence incomes
- There are no formal Housing Finance Institutions which offers mortgage finance for housing
- MMC has most of its land unsurveyed
- Acquisition of land is very costly
The specific Mbale Shelter Strategy follows mainly the NSS:
1. increase the supply of building materials
2. increase the housing stock
3. encourage home ownership for as many Ugandans as possible
4. strengthen the capacity of local contractors
5. encourage cooperative movement, establish housing coop.
6. create financial mechanism to mobilize funds for housing
7. uplift the housing conditions for the disadvantaged
8. ensure balanced growth, with emphasis on the environment

The NSS follows in general the main lines of the 'Urban Agenda for the 1990's' and 'global shelter strategy 2000' by the UNCHS/WB and follows the recommendations of the advocated "enabling policy". So the same criticism can be given towards the NSS as towards the enabling policy. Specifically knowing the capacity and performance (motivation, commitment and will) of the local government of Mbale MMC. Because of that one can question if this new role with all above mentioned aspects is realistic. Because this new role and new 'enabling' tasks would mean an increase instead of a decrease in work for MMC. Because until recently with over 600 employees MMC delivered little services and performed poorly and restrictively the limited tasks. And now with the ongoing reforms, revisions, decentralization and retrenchment it is very much doubted if the new role will be executed as intended.

NSS - Malukhu survey
As part of the local Shelter Strategy a low-cost Housing project by AHF/Danida has been proposed for Mbale, in Maluku. A Survey executed in 1991 for the project in the 'squatter' area of Maluku, produced the following main results:
- 43% of the population are Iteso, refugees (drought and insecurity) from the North who have stayed in Maluku 0-5 Years
- 89% of the Households live in one room, 57% of total units are rented, with average 4.52 people per room.
- 94% of the houses are made of Mud and wattle construction, with 96 % compacted earth floor, and 72 % iron sheets roof
- 37% have less 30.000 Shs (30$) monthly income, 32% 30-60.000
- 65% get their drinking water from water vendors
- 73% use communal PIT latrines

Recommendations for the project, by the Survey/research team:
- implementation must integrated
- 'replan the whole settlement afresh'
- allocate plots to both low-income as high-income groups, 'that could be made to subsidies the low-income earners' in order to prevent the Poor to be 'bought off' by the rich.
- 'Above all, ...the project must be based on the concept of Affordability through matching of needs to resources'
- in order to be successful 'priority must be accorded to creating management capacity within Mbale Municipal Council'.

The proposed Project, which was officially started in Oct.93 by MMC and the Min. of Housing, is still without the official support/approval of AHF/Danida, so still little has been done. The Maluku project, also foreseen for the areas Namatala and Kichafu, (the two areas covered in the check-list survey 94), has as objective to upgrade squatters settlements, through self-help housing and material production connected to credit systems and income generating activities. In Jinja-Massesene already a similar project is operational, and relatively successful. But one can doubt the affordability of the project; in Jinja people pay 21.000 Shilling/month. And for sure and also admitted by the Jinja project staff the project is not a copy-able pilot, because of the large additional funding and assistance by Danida. These funds gradually 'dry up' when the whole area is upgraded.

From the interviews with area representatives in the check-list survey, it is clear that people fear expulsion from the area because they cannot afford the (level of) upgradings (now people indicate that they can spent a maximum of 5000 Shilling per month on housing). Also there is much unclarity about the situation of the
Customary land owners versus the rights of the land-tenants and house/room tenants. Finally people fear that they will be expelled without proper compensation, because officially MMC only gives compensation for buildings and crops and not for (customary) land interest. Furthermore MMC is accused of still using the 1962 compensation standards, although officially the latest update is from 1991.

7.3 Evaluation

**check-list survey**
The method itself is workable, but the Yes-No checklist is too long and too difficult for most people. For rapid assessment the open question: (1) main problems; (2) main constraints; (3) remarks - solutions; and (4) indication monthly payment, would be enough. Maybe with a short specific check-list attached. The inventorization survey questions could be done or separately or replaced by the area interview. The area interview with a small selected representative group could give all the additional Qualitative information: inventorization, check-list, and solutions. (using some session and communication techniques)

The motivation of MMC-staff to participate in the Survey was still low despite the allowances available. The differences in quality and quantity of the survey work done by the various surveyors, was big. On some questions one Surveyor had all answered by YES and an other surveyor all by NO. This together with the large number od Unknown answers, because the total were incorrect, had great influence on the out-come. It is thought by the researcher that some of the surveyors just filled in art of the survey themselves, without interviewing people. In general the surveyors did not really ‘thought along’ with the researcher on the set-up/contents of the survey despite several discussion and evaluation meetings.

Because of the differences in Quantity of the work done by the surveyors and because the Busamaga survey was canceled because of conflicts between MMC and the population about land issues, the last day of the survey in Namatala has become dominant in the results. Busamaga = 9% of the respondents Namatala= 43% others 15+33%

In short one can say that the Survey was more a ‘long and dirty approach’ as characterized by Chambers, then a rapid assessment. The additional out-come of the survey, above the information gathered through interviews and sessions cannot justify the extra time and money involved in executing, processing and analyzing the survey.

7.4 Conclusions and recommendations

Apart from the obvious constraint of low-income level (unemployment), the existing Legal, Regulatory and Institutional frameworks related to land allocation and housing development were seen in the interviews and surveys as the main reason for the still growing shelter problems in Mbale. The majority of the population lives in spontaneous settlements without property security and adequate services.

Because of the lack of property security people do not have access to legal credit, and do not have the incentives to invest in their own shelter situation.

Other major problems and conclusions: (a) high prices building material, plus restriction on local material production(burned bricks in town) and use; (b) lack of accessible credit facilities; (c) next to burdensome regulations the connected bureaucracy and corruption -especially mentioned the "law enforcement" task force; (d) expensive social services; (e) the water problem; (f) demographic pressure; (g) low awareness of sanitary and environmental risks; (h) importance of the rental sector in supplying affordable housing; (i) the relatively low priority of housing compared to Income, Water, Social Services and Food; (j) the almost still rural character of the peri-urban areas considering construction materials and techniques, the water and sanitation standards, the importance of urban agriculture; (k) the limited capacity to pay for legal housing 55% less then 5000 Sh (=5 us$) per month; (l) the therefore undesired ‘low-cost’ housing projects; (m) the general fear of expulsion from customary land without proper compensation; (n) the claimed confidence in self-help, given security and maybe credit, no need for (expensive) assistance.
The major policy recommendations for MMC in sequence:
1 Allowing self-help, not obstructing, not harassing
2 Legalizing, through reform and relaxation of regulations
3 Coordinating communal self-help activities
4 Enabling self-help, by creating development conditions
5 creating commitment by participatory decision making

In the process of self-help management a crucial role will have to be played by the local and maybe international NGO's, and specifically the local CBO's and traditional Institutions.

Further essential critical issues: (a) connecting income generation and shelter, through employment projects or simply by allowing mixed-land-use (Housing, Production and trade in one area on one plot), strengthening the home-work relationship; (b) allowing/legalizing/encouraging the rental sector, subletting rooms, building of rental units; (c) sensitization and information about the importance/danger of sanitation, hygiene and living environment; (d) activities in the field of family planning; (e) research and legalization new local building material and techniques, plus promotion commercial production and trade; (f) allowing/legalizing/encouraging private sector and community (local) service delivery e.g. water, electricity, sanitation, energy, etc; and (g) aiming at Public-Community participation and Public-Private partnership in service delivery (social and technical infrastructures); (h) legalizing customary land claims, plus allowing subdivisions under planning control (tax promotion), plus construction rental units.
Appendix 8: Physical Planning
In this appendix some additional background information will be given about the physical planning of Mbale specifically and in some cases secondary towns in general. The issues discussed: first the existing situation; then theoretical aspects; and finally recommendations, will be illustrated by several figures.

Characteristics existing situation Mbale

Figure 24 Characteristics.
As already stated in the report Mbale has a very explicit North-South Axe by the main road, plus perpendicular to that the ‘old-50/60’s-center’ with strict segregation of quarters and zones. The colonial heritage is very much reflected in the spatial planning concept and the physical appearance of the town. Mbale was founded as a colonial governing town and became due to the introduction of the cash-crop production in the region and the arrival of an asian middle-class of traders and producers also a trade and industrial center. As in the rest of east-Africa the different population groups and different functions were clearly established in the spatial zoning of the town. In Mbale the ‘apartheid’ planning is still visual: Low-density ‘European’ quarters in the east; Middle-density ‘Asian’ quarters in and around the center; and High density ‘African-employees’ estates scattered in the west and north. In the colonial days the African rural population was not allowed to settle in town. In the post-colonial days the rural-urban migration took place and the migrants settled themselves as squatters within the municipal boundaries. The other functions of the town are reflected in the subsequent zones; governmental, commercial, service and industrial. Some education and other institutions are scattered within the municipality at a few kilometers distance from the compact center. Especially in the center but also to the more remote schools etc an extensive, but deteriorated infrastructure network is in place. Characteristic for Mbale are the still rural peri-urban areas just outside the old center. And the many open spaces within and the low density of the old center. Also around the center are planned open spaces like the golf course and the urban forest in the south. Mbale is still only ‘urban’ in and just around the old center while most of the area within the municipal boundary is still mostly empty and rural in character, both in settlement structure as in economic activities.

fig,24; Mbale characteristics

fig.25; structure plan 1959 and extension plan 1991 for Mbale
After the analysis it is determined which areas are to remain intact and which areas are allowed to be changed, upgraded or adjusted. For these amendments and changes several phased scenarios should be elaborated. Finally determining for the remaining area which are allowed to change in this phase, what their spatial capacity is. Not superimposing a plan or program on an area but fitting in a plan/spatial program within an existing area. Letting the area determine the program and not the program the area.

Figure 31: Friedmann - Christaller
Friedmann shows 'the sequence of stages in spatial organization' related to the economic development. Which clearly shows the differentiation in urban, not just concentrating on one urban center but creating several urban centers. The Christaller model is promoted by DHV for Rural center planning; a grid/cell model for differentiated small scale urban development (urbanization, service delivery, and non agricultural economic activities) within rural areas.

Recommendations Physical Planning
All these last models advocate the spreading off urban spatial development for the sake of spreading economic development, distribution of services, reducing distances and transport, spreading of urbanization.

This is also the basis for the proposed structure plan, see fig. 14, which is a plan that combines the above mentioned principles of: (a) respecting existing structures (Cell structures in the "social land"); (b) spreading/distribution of urban development (by creating sub-centers within town and satellite-centers around town, this reinforces the characteristics of a secondary town and reinforces the urban-rural ties); (c) compacting the existing center around the existing infrastructures ( compacting is advocated in order to:
- make more optimal use of the existing infrastructures;
- reduce the cost of land by making the plots smaller and the coverage percentage higher;
- thereby reducing the infrastructure costs per plot;
- reducing the internal distances within town, thereby reducing infrastructure investments and transport distances;
- leaving the rural hinterland as much as possible intact).

This plan is the a combination of the concepts B ("compacting") + C ("spreading") of fig.11 (=the three spatial concepts, to used for the spatial strategy discussion),this is also the preference of Werikhe (see 15.2).
Following are some specific aspects of the planning recommendations illustrated:

**Figure 32 Mixed Land Use**
This allows on a plot and in an area several different activities to take place, so abandoning the strict zoning. For example on one plot: a house, shop, small scale production building, and field for (urban) farming. Also these mixed activities should be allowed within one area as long as there is no hazard or disturbance to a third party or public interest. Apart from the mixed land use more differentiation of spaces, plot sizes and plot forms are advocated, in the process of respecting the existing natural and man-made structures.

**Figure 33 Customary landowner-ship**
Respecting the existing structures also means respecting the rights of the customary owners of land. In this figure the principle of legalization of full size customary land is illustrated. Where in the process of detailed planning it is necessary to adjust the shape of the legalized customary plot for e.g. road construction or spaces for public use or interest, the customary owner should be fully compensated (including land value) for this land readjustment. For the rest of his land the customary owner is free, he can either: (a) still use it for agricultural use; (b) he can under development control develop legal rental units, and rent out rooms and/or houses; (c) sell or lease parts of his land under planning control.

So the role of a local government would ‘only’ be:
- legalization of traditional land (surveyed to appropriate standards) and property;
- plan public spaces and infrastructures in consultation and cooperation with the existing population;
- development control for rental housing and general sanitation and hygiene, to protect the tenants and public interest;
- planning control for sub-selling of land.

But all transfers of land, houses and rental units should/could be left to the market. The development and planning control and surveying and public planning standards should be appropriate and adjusted to the specific location in town - see Dual land market. Urban development can be stimulated over agricultural use by operating a differentiated land/property tax system, whereby it would become financially interesting for a customary owner to sell or rent part of its property and letting the part of the Tax. This next to the financial advantage of the transaction.
**Figure 34 Dual Land Market**

This figure illustrates (like fig.14) the principle of Dual Land Market; with Prime Land around the existing center and infrastructures and Social Land within the peri-urban areas.

**Prime Land:**
- is sold on a free tendering commercial market;
- should be developed according to set more or less high development and planning standards (mixed land use if possible), and within a specific period of time;
- land should be serviced with a high level of infrastructures, with a direct pay for service system (cost-recovery/commercial);

**Social Land:**
- respects as much as possible the existing structures within the area, with planning on cell level, legalization of customary land ownership etc;
- transfer of land, houses or rental could be a free market system, but preferably with some sort of price control in order to safeguard the accessibility and equity;
- area, land and plot can be developed according to mixed land use and low appropriate planning and construction standards;
- the areas must be serviced with an appropriate, low, affordable level of services.

Next to the dual land market the local government through its planning legalization should ensure the public interest; public open spaces; public service spaces; space for infrastructures; protection against environmental risks; conservation cultural and historical interest etc.

**Figure 35 Public Private/Community Partnership**

In service delivery to the dual land market the local government should where possible privatize or contract out services in order to increase the effectiveness. For infrastructure investments and maintenance in the Prime land areas the local governments should try to establish PPP Public Private Partnerships. For the upgrading of the existing residential areas PpP Public population Partnerships should be promoted. For the upgrading and the appropriate low level service delivery (implementation and self-management) in the Social land areas, PCP Public Community Partnership or cooperation is advocated. The profits from the Prime land market should be invested in infrastructures and partly as a cross-subsidy used for the service delivery in the social land areas.
REFERENCES

General:

Atman R.E.
DE FAUBOURG ALS MIDDELEEUWSE VOORLOPER VAN DE SQUATTER
1993 TU Delft Publicatieburo Bouwkunde

Bangikwa W.F.
the spatial impress of town planning in east africa
RUPSEA (vol 2) 89 pp 59-68

Baross P.
ACTION PLANNING - IHS working paper no 2
plus various articles on Action Planning by IHS
1991 IHS Institute for housing studies Rotterdam

Beeker C., Guiebo J.
Plotting the urban field of Ouagadougou
- 1993 - PDI Institute of Demography and Planning University of Amsterdam

Beekman P.
STEDEBOUW EN STADSBESTUUR
1993 University of Technology Eindhoven

Boelens L.
De nieuwe opleving binnen de stedebouw en planologie
STEDEBOUW EN VOLKSHUISVESTING - maart 1988

Bolt D. - ITC International Institute for aerospace Survey
various articles -1993- ITC Enschede

Conradi P.; interview with Cohen M. - World Bank
laat de markt zijn werk doen
INTERNATIONALE SAMENWERING 1.93 pp 34-35

Chambers R.
RAPID RURAL APPRAISAL - Discussion Paper
1980 IDS Publication Brighton

Davidson B.
THE BLACKMAN'S BURDEN
Africa and the curse of the nation state
1994 London

DGIS Ministry of Foreign Affairs
A WORLD OF DIFFERENCE
1991 DGIS Den Haag

DGIS Ministry of Foreign Affairs
A WORLD IN CONFLICT
1993 DGIS Den Haag

DHV
RURAL CENTER PLANNING
several publications
1979-1992 DHV Amersfoort

Dijk W.J., Hol C.J. Poeger, etc
various publications;
-Strategic urban management- june 1993
-PARAMARIBO; een ondernemende stad' aug.1992

PDM Planning, Design and Management International University of Technology Delft - Civil Engineering

Erkelens P.A.
SELF HELP BUILDING PRODUCTION
a method for improving house building by low income groups applied to Kenya 1990-2000
1991 Eindhoven University of Technology

Kironde J.M.L.
received concept and theories in African urbanization and management strategies; the struggle continues
URBAN STUDIES vol 29 no 8 1992 pp 1277-1292
Kumar S.
Subsistence, consolidator and petty-capitalist Landlords
1993 -lecture University of Technology Eindhoven

NAR Nationale Adviesraad voor Ontwikkelingssamenwerking
ADVIES ONTWIKKELINGSSAMENWERKING EN STEDELIJKE ARMOEDEBESTRIJDING
1994 NAR Nr.103 Min.Buza - DGIS Den Haag

Olowu D. - IULA
AFRICAN LOCAL GOVERNMENTS AS INSTRUMENTS OF ECONOMIC AND SOCIAL
DEVELOPMENT - publication 1415
1988 IULA International Union of Local Authorities The Hague

Priemus H.
housing indicators; instrument in international housing policy
NETH.JOURNAL OF HOUSING AND BUILD ENVIRONMENT - vol 7 no 3 1992 pp 217-238

Prok J.
DE KRITISCHE GRENS; beschouwingen over tweespalt en orde
1994 Prometheus Amsterdam

Ramachandran A. executive director UNCHS
Schermherhorn lecture ITC - 1992 -

Stren R.E.
african urban research since the late 1980’s; responses to poverty and growth
URBAN STUDIES vol 29 no 3/4 1992 pp 533-555

Stren R.E. - White R.R.
AFRICAN CITIES IN CRISIS; managing urban crisis
1991 Westview Press

Stroebe A.J.
Effectief brainstormen doe je in je eentje
1994 Volkskrant

Thung P.H.
ENABLED SQUATTER SETTLEMENTS
1993 University of Technology Eindhoven

UMP Urban Management Program

Bernstein J.D. - UMP 12 Urban Management Program
LAND USE CONSIDERATIONS IN URBAN ENVIRONMENTAL MANAGEMENT 1994

Davey K.J. - UMP 11 Urban Management Program
ELEMENTS OF URBAN MANAGEMENT 1993

Dillinger W. - UMP 16 Urban Management Program
DECENTRALIZATION AND ITS IMPLICATIONS FOR URBAN SERVICE DELIVERY 1993

Dowall D.E. - UMP 7 Urban Management Program
A FRAMEWORK FOR REFORMING URBAN LAND POLICIES IN DEVELOPING COUNTRIES 1991

Farvacque C., McAuslan P. - UMP 5 Urban Management Program
REFORMING URBAN LAND POLICIES IN DEVELOPING COUNTRIES 1992

Leitmann J. - UMP 14 + 15 Urban Management Program
RAPID ENVIRONMENTAL ASSESSMENT: lessons from cities in the developing world 1993
volume 1 = UMP 14; Methodology and preliminary findings
volume 2 = UMP 15; Tools and Outputs

Paulsson B. - UMP 9 Urban Management Program
URBAN APPLICATIONS OF SATELLITE REMOTE SENSING AND GIS ANALYSIS 1992

UMP Urban Management Program
World Bank - Washington,
UNCHS United Nations Center for Human Settlements - Nairobi,
UNCHS - World Bank
THE HOUSING INDICATORS PROGRAM: extensive survey part I - II - III 1992

UNCCHS
THE MANAGEMENT OF SECONDARY CITIES IN SUB-SAHARAN AFRICA:
Traditional and Modern institutional arrangements
1991 UNCHS - Nairobi

UNFPA
WORLD POPULATION REPORT 1993
1993 UNFPA New York

The World Bank
URBAN POLICY AND ECONOMIC DEVELOPMENT; an agenda for the 90's
1991 World Bank Washington

Specific Uganda:
Earle C. manager KUS: Kampala Urban Study project
First Urban Project - World Bank - Kampala
1993 several publications
NSS Uganda a National Shelter Strategy, and Mbale strategy
Ministry of Lands, Housing and Urban Development
1992 Kampala Uganda

National workshop on Urban Land Policy and Management
Ministry of Lands and UMP
1993 Entebbe Uganda

President Museveni YK of Uganda
interview on Civil Service Reform by Langseth P, World Bank chief technical advisor CSR
next to the above mentioned references the following literature was used;

General:
Alsuyad N
Levels of congruence of urban form and institutional structure in different countries
Amis P
HOUSING AFRICA'S URBAN POOR
1990 Manchester University Press
Andreasen J
URBAN RURAL TIES and their impact on housing
1987 no 2 Royal Academy of Fine Arts Copenhagen Denmark
Boden R
The influence of traditional values and historic symbolism on urban design
CITIES
special issue may 1992 urban management Forbes Davidson IHS
DHV
GUIDELINES FOR URBAN AND REGIONAL SOCIO-ECONOMIC SURVEYS
1991 DHV Amersfoort
Gilbert A
Third world cities: housing infrastructure and servicing
URBAN STUDIES vol 29 no 3/4 1992 pp 435-460
Harris N
CITIES IN THE 1990'S
1992 UCL London
IHS
Reader/hand-out; several articles/papers Urban Management Course - 1993 IHS Rotterdam
Lang M
Urbanization and development in sub-saharan Africa
REVIEW OF RURAL AND URBAN PLANNING IN SOUTH AND EASTERN AFRICA 1/91 pp 57-82
Magatu G
Sites and services for low income housing - Turner and the Worldbank
REVIEW OF RURAL AND URBAN PLANNING IN SOUTH AND EASTERN AFRICA 1/91 pp 35-55
Meijer R
Amenagement des villages centers au tour de Ouagadougou: Projet Villages Centers DGIS-PDI-DGUT
1991 Ouagadougou Burkina Faso
Pugh C
International Finance and housing policies in developing countries
CITIES may 92 pp 117-137
Pugh C
Land policies and low income housing in developing countries
LAND-USE POLICY jan.92 pp 47-63
Southall A
Small urban centers in rural development
AFRICAN STUDIES REVIEW vol.31 1988 pp 1-15
Tipple A, Graham A, Willis KG
HOUSING THE POOR IN DEVELOPING COUNTRIES
1991 Routledge London
UNCHS
NATIONAL HUMAN SETTLEMENTS INSTITUTIONAL ARRANGEMENTS Selected case-studies
1987 UNCHS Habitat Nairobi Kenya
UNCHS
GLOBAL REPORT ON HUMAN SETTLEMENTS 1986
1988 UNCHS Nairobi Kenya
Vonk
INSTITUTIONAL DEVELOPMENT - IHS working paper no 4
1991 IHS Rotterdam

Westrik J
STEDEBOUWKUNDIGE ONTWERPMETHODEN
TU Delft Publicatieburo Bouwkunde

Several Authors
THE URBAN CRISIS ; Dossier THE COURIER no 131 jan.92 pp 49-77
Several Authors: editors and organizers Erkelens, Vermeulen
PROCEEDINGS - conference 'urban environment in developing countries'
July 1993 University of Technology Eindhoven

Specific Uganda:
Economist Intelligence Unit
UGANDA - country profile 92-93

Gimui
THE IMPACT OF INTERNAL MIGRATIONS ON SOCIO-ECONOMIC SYSTEMS IN MAJOR URBAN
CENTERS IN UGANDA
1992 IUIU Islamic University in Uganda - Mbale

Hansen, Twaddle
UGANDA NOW

Hansen, Twaddle
CHANGING UGANDA

Twaddle
KAKUNGULU and the making of Uganda
1993 Eastern African Studies - Fountain Publishers Kampala

Langlandis BW
Uganda- physical and social Geography 1993 AFRICA SOUTH OF THE SAHARA

Maxwell D
URBAN FARMING IN AFRICA - the case of Kampala Uganda
1992 ACTS press Nairobi

Mandani M
Uganda; contradictions of the IMF program and perspective
DEVELOPMENT AND CHANGE vol.21 1990 pp 427-467

Mudoola
RELIGION, ETHNICITY AND POLITICS IN UGANDA
1993 Fountain Publishers Kampala

Obbo C
Catalysts of urbanism in the country side - Mukono Uganda
AFRICAN STUDIES REVIEW vol.31 1988 pp 39-47

Statistisches Bundesamt
UGANDA 91
1991 Metzler-Poetzel Wiesbaden

Tumusiime - Editor
UGANDA 30 years 1962 -1992
1993 Fountain Publishers

Mutibwa
UGANDA SINCE INDEPENDENCE
1992 Fountain Publishers

The 1991 population and housing census
Ministry of Finance and Economic Planning
Several authors
UGANDA Dossier The COURIER no. 141 - sept./oct. 1993