

# **An analysis of spatial development paradigm for enhancing regional integration within national and it's supporting spatial systems in Africa**

**DC Okeke  
22590285**

Thesis submitted for the degree *Philosophiae Doctor* in Urban  
and Regional Planning at the Potchefstroom Campus of the  
North-West University

Promoter: Prof CB Schoeman

Co-promoter: Prof EJ Cilliers

May 2015



## **Acknowledgements**

I wish to make the following acknowledgements: Foremost is my gratitude to God for answered prayers sought through conscious devotion to the Blessed Virgin Mary. Indeed divine providence made it possible for me to navigate the rouged terrain of this research.

Conducting this research was virtually a joint venture with my extended and immediate family members. My wife, Agatha and children, Paschal, Anita-Christie, Audry-Rose, and JohnPaul were outstanding team-mates whose concern inspired and sustained the effort to conduct the research. All the time I was away from home on research trip abroad they waited patiently and faithfully for my return. The bonding that follows my return spurred me on.

I am grateful to my elder brother Eric for his concern and constant prodding for me to finish the work.

I am grateful to my study leaders Prof C. B Schoeman and Dr E. J. Cilliers for their strategic guidance. I am grateful for the subtle and tactical manner my study leader Prof Schoeman guided and fine-tuned the research without usurping my dreams. In the process my co-study leader Dr Cilliers was outstanding for quality control. It was a pleasant experience working with my study leaders although at some points it was tough.

I am grateful to Prof H. S. Steyn of the Statistical Consultation Unit, NWU for his practical involvement in the research. In the process of analysing my questionnaires Prof Steyn answered my endless questions patiently and insightfully. I really felt at home working with him.

I am grateful to Prof Annette Combrink for the language editing and formatting that added value to the research report. The amazing details of her input humbled me.

I am also grateful to my friend Alderman Chris Landsberg who showed spontaneous concern for my welfare when I was writing the thesis and brokered my stay at Prof Annette's guesthouse.

May I appreciate Ms Carina de Beer, the departmental secretary, for anchoring most of my appointments and may I also appreciate Greg Okolo for coming to my aid at a very critical time. Dankie!

## **Abstract**

The global aim of this research is to postulate a spatial development paradigm for regional integration in developing countries - more specifically, the research prospects to conceptualize form-based spatial planning theory for Africa. This was considered necessary on two grounds: first, the need for spatial regional integration as panacea for economic growth, and second the resilience of formal planning in the context of a neo-liberal paradigm shift in planning for economic growth. The research in essence strives to reconsider formal planning in an attempt to articulate an appropriate planning paradigm for the delivery of spatial regional integration within spatial systems in developing economies.

In view of the foregoing the resilience of form-based planning paradigm informs the research. Hence the research sets out with the null hypothesis that form-based planning attributes are not significantly resilient in the perception of planning initiatives in the African context. The research methodology involved a relevant literature survey vis-à-vis theoretical and analytical frameworks as well as desktop case studies of selected country profiles and planning initiatives and then an empirical case study of integrated development planning (IDP) initiatives in South Africa.

Following six sets of analysis, the research established compliance with a neo-liberal planning paradigm in Africa; however, it disproved the null hypothesis. The neo-liberal planning initiatives were found to be unable to deliver integrated development. Thus a change in development ideology to neo-mercantilism is recommended as a strategic move to redirect attention from private profitability to nation-building vis-à-vis spatial integration. Neo-mercantilism is therefore deployed as thinking instrument for a neo-mercantile planning paradigm postulated to deliver spatial regional integration in developing economies.

The neo-mercantile planning paradigm which seeks spatio-physical bases of integration adopts integrated planning operationalized with spatial integration plans (SIPs) and thematic integration plans (TIPs) instruments. These instruments are designed to establish spatial integration networks. The networking of the spatial systems requires the grading of infrastructure and the classification of cities. While administrative criteria are used to determine the former, the latter is proposed to be conducted with a "Time-efficient" coefficient, an innovative unit with which "Time-efficient effect" of cities as centres of commerce can be measured. This coefficient contributes to the growth of regional development theories from a spatio-physical perspective. Furthermore, the research contributes a neo-mercantile spatial model for urban region development.

The modality of applying the new paradigm in Africa is modelled to integrate the status quo given requisite visionary mind-set and abundant political will. The model adopts the sequence of securing a neo-mercantile planning paradigm, followed by the identification of priority problems, the articulation of a vision statement and then objectives set to achieve spatial regional integration. Present actions were assessed and new action cards proposed, based on priorities for action drawn from priority problems in Africa. The proposed action cards were regrouped into a typology of actions to aid implementation strategies. The strategies made provision for institutional requirements and implementation processes, manpower requirements, financial mechanisms, legal reforms and monitoring measures. The implementation process summarized with a calendar of the action plan for spatial regional integration in Africa.

### **Keywords**

African renaissance; formal (form-based) planning; informality; market forces; Neo-liberalism; Neo-mercantilism; participatory planning; planning rationality; regional integration

## UITTREKSEL

Die oorhoofse doel van hierdie navorsing is om die ruimtelike beplanningsparadigma vir streeksintegrasie in ontwikkelende lande te ontleed en wetenskaplik daaroor te rapporteer. Meer spesifiek fokus die navorsing daarop om vormgebaseerde ruimtelike beplanningsteorie in Afrika te konseptualiseer. Dit word noodsaaklik geag op twee gronde van beredenering: eerstens, die noodsaaklikheid van ruimtelike streeksintegrasie as kernoorweging vir ekonomiese groei en tweedens die vermoë van formele beplanning in die konteks van die neo-liberalisme verskuiwing van beplanning vir ekonomiese groei, te weerstaan en te ondersteun. Die navorsing streef daarna om formele beplanning te herbedink in 'n poging om toepaslike beplanningsparadigmas vir aflewering in ruimtelike streeksintegrasie in ruimtelike stelsels te artikuleer.

In die lig van bogemelde word die vermoë van vorm-gebaseerde beplanningsparadigmas as hooffokus in die navorsing hanteer. Gevolglik word die navorsing onderneem met 'n nulhipotese as basis dat vormgebaseerde beplanningsattribute en nie betekenisvol in die vermoë van die persepsies van beplanningsinisiatiewe in Afrika-konteks is nie. Die navorsingsmetodologie bestaan uit die bestudering van die toepaslike literatuur (teorie) wat betrekking het op analitiese raamwerke insluitende lesenaarstudies van geselekteerde lande se profiele en beplanningsinisiatiewe asook 'n gevolglike gevalle studie in ge-integreerde ontwikkelingsbeplannings (IDP)-prosesse in Suid Afrika.

Gegronde op die stel van ses (6) analyses van die navorsing het die nakoming van die neo-liberalistiese paradigma in Afrika die nulhipotese as ongeldig bewys. Daar is bevind dat neo-liberale beplanningsinisiatiewe nie geïntegreerde ontwikkeling bevorder nie. Dus word 'n verandering in ontwikkelingsideologie na neo-merkantilisme aanbeveel as 'n strategiese skuif om die aandag te her-fokus vanaf privaat-winsgedwendheid na nasiebou deur ruimtelike integrasie. Neo-merkantilisme word dus aangewend as 'n denkinstrument vir 'n neo-merkantilistiese beplanningsparadigma wat aangewend kan word om ruimtelike integrasie in ontwikkelende ekonomieë te bewerkstellig.

Die neo-merkantilistiese beplanningsparadigma wat die ruimtelik-fisiese basis van integrasie nastreef, aanvaar geïntegreerde beplanning wat operasionaliseer is binne ruimtelik geïntegreerde planne (SIPs) wat insluit tematiese integrasieplanne (TIPs) as instrumente. Hierdie instrumente word ontwerp om ruimtelike integrasienetwerke te bepaal. Die skakeling van ruimtelike stelsels benodig die gradering van infrastruktuur asook die klassifikasie van stede (dorpe). Administratiewe kriteria word aangewend om eersgenoemde te bepaal terwyl laasgenoemde aangewend word binne 'n 'Tyds-effektiewe' koëffisiënt ('n innoverende raamwerk) waarbinne die 'Tyds-effektiewe invloed' van stede as kommersiële sentra gemeet kan word. Die koëffisiënt dra by tot die groei van streek-ontwikkelingsteorieë vanuit 'n ruimtelik-fisiese perspektief. Die navorsing dra ook verder by tot die ontwikkeling van 'n neo-merkantilistiese ruimtelike model vir stads- en streeksontwikkeling.

Die modaliteit om die nuwe paradigma in Afrika toe te pas is daarop gemodelleer om die status quo as 'n gegewe visionêre denkpatroon binne 'n alomteenwoordige politieke wil te integreer.

Die model gebruik as uitgangspunt 'n opeenvolgende reeks neo-merkantistiese beplanningsparadigmas, gevolg deur die identifisering van 'n reeks prioriteitsprobleme, artikulasie en visiestellings ten einde doelwitte te formuleer om gestelde ruimtelike streeksintegrasie te verseker. Bestaande aksies word ontleed en nuwe 'Aksie-telkaarte' word voorgestel gebaseer op die prioriteite vir aksies aan die hand van 'n reeks prioriteitsprobleme in Afrika. Die voorgestelde telkaart word daarna hergroepeer in 'n tipologie van aksies om implementeringsstrategieë te ondersteun. Die strategieë maak voorsiening vir institusionele vereistes asook 'n implementeringsproses, mannekragvereistes, finansiële vereistes, hervorming van wette asook moniteringsmeganismes. Die implementeringsproses word saamgevat in 'n kalender van die aksieplan vir ruimtelike streeksintegrasie in Afrika.

## **SLEUTELWOORDE**

Afrika-rennaissance; formele (vormgebaseerde) beplanning; informaliteit; markkragte; Neo-liberalisme; Neo-merkantilisme; deelnemendebeplanning; beplanningsrasionaal; streeksintegrasie

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## **Acronyms**

AAF-SAP	African Alternative Framework to SAP
AAP	African Association of Planners
AGOA	Africa Growth and Opportunity Act
AMCHUD	African ministerial conference on housing and urban development
APA	American Planning Association
ASDF	African Spatial Development Framework
ASEAN	Association of South East Asian Nations
AU	African Union
CDS	City Development Strategy
EIA	Environmental Impact Assessment
EMR	Extended Metropolitan Region
EPM	Environmental Planning and Management
ESDP	European Spatial Development Perspective
ESPON	European Spatial Planning Observation Network
EU	European Union
FDI	Foreign Direct Investment
FOS	Federal Office of Statistics
FTA	Free Trade Agreement
GaWC	Globalization and World Cities Study Group and Network
GDP	Gross Domestic Product
GNP	Gross National Product
IDP	Integrated Development Planning
ILO	International labour organization
IMF	International Monetary Fund
IUIDP	Integrated Urban Infrastructure Development Planning
LAP	Lagos Plan of Action
MCA	Multi-Criteria Analysis
MDG	Millennium Development Goal
MML	Multiple Modes of Livelihood
MPA	Master Planning Approach
NBG	NEPAD Business Group
NEPAD	New perspectives on Africa Development

NSDF	National Spatial Development Framework
NSDP	National Spatial Development Perspective
OAU	Organization of African Unity
ODA	Official Development Assistance
O&OD	Opportunities and Obstacles to Development
PEDP	Physical and Environmental Development Plan
RAIDS	Resource-based African Industrial and Development Strategy
RIDS	Regional Industrial Development Strategy
SACU	Southern African Customs Union
SAP	Structural Adjustment Programme
SCP	Sustainable Cities Programme
SDF	Spatial Development Frameworks
SDI	Spatial Development Initiative
SSA	Sub-Saharan Africa
SSP	Spatial and statutory planning
SUDP	Strategic Urban Development Plan
TDM	Transport Density Management
UCLGA	United Cities and Local Governments of Africa
UDB	Urban Development Boundaries
UGB	Urban Growth Boundary
UK	United Kingdom
UMP	Urban Management Programme
UN	United Nations
UNECA	United Nations Economic Commission for Africa
UNPAAERD	United Nations Programme of Action for Africa Economic Recovery and Development

## Glossary: definition of terms

Items	Definitions
African city	Not all cities in Africa are indigenous cities. In fact, it can be argued that indigenous African cities are technically extinct. Therefore the phrase 'African cities' is used loosely in literature to refer to hybrid cities that do not necessarily derive from indigenous values, attitudes and institutions; hence they are not responsive to indigenous enterprise and culture. Africa lost its heritage of city development and this is evident in the epistemology of its civilization. But civilization is indeed the culture of cities therefore African cities are perceived in this discourse as representing African civilization.
African renaissance	The concept of "African renaissance" under the influence of South Africa was popularized with the inception of the NEPAD initiative. In its original form it indicated regional integration in political and economic terms. Since its conception general discussions have tended to associate the African renaissance with the economic rebirth of Africa. This discourse identifies with this imperative but goes further to link the African renaissance with the reworking of African space economy. This implies the inclusion of the space dimension as a critical element in managing resource economy in contemporary Africa.
Agro-politan development	This development approach pioneered by Friedman and Douglass in 1978 has its roots in the paradigm of territorial development. It is progressively conceived as a spatial framework for rural development oriented to human needs with a more equitable distribution of economic benefits and direct movement of local people in the process of development and growth. This is based on the activation of rural people, agriculture and resources. This discourse accepts this definition without reservation; however, an assets-based analysis for its application is emphasized.
Agro-villes	The concern for food security especially drew attention to traditional hamlets that exist as food baskets but that hitherto has been terribly neglected. Hamlets have proved to be resilient under changing economic, social and political conditions. However, in their present disposition they cannot continue to service increasing food requirements. The transition of the hamlets to enable this function elicited the agro-ville concept which seeks to increase food production through the provision of a functional base for all categories of potential agriculturists, particularly food-crop producers. It is in this context that the agro-ville concept is applied in this discourse. At present the term agro-ville is used in Pakistan to refer to small and medium towns from the Growth Centre perspective, particularly in the 1970s and mid-1980s.
Development	Friedmann (1972:84) indicates that development can 'occur if growth is allowed to pass through a series of successive structural transformations of the system'. He further submits that development is 'an innovative process leading to the structural transformation of social systems'. In Africa his second submission applies, development is an innovative process than a growth process. In recent times innovations parachute into the spatial system mostly through neoclassical investment mechanisms without impacting the social system. This is not acceptable.

	<p>Preferably development is a growth process that relates to the unfolding of the creative possibilities inherent in society. It is therefore perceived to connect with Lozano's (1990) idea of civilization which implies that the culture of cities is built on indigenous values, attitudes and institutions.</p>
Growth	<p>Friedmann (1972:86) posits that growth refers to an expansion of the system in one or more dimensions without a change in its structure. From the spatio-physical perspective this correlates strongly with the qualitative urban growth concept in which a new unit is introduced into an urban system. Also quantitative, structural and smart growth manifest variously. The operational growth in this discourse is structural growth which refers to growth of any complex structure that is associated with changes in form. In this case growth process involves changes in the relationship of the parts" (Lozano, 1990:109).</p>
Planning concept	<p>Current trends in which planning is regarded as an event and not as an activity are not acceptable in this discourse. Acceptable definitions of planning abound but those posted in the net by Ravi Business Studies are apt and are used in this discourse. This internet material indicates that planning means deciding in advance what is to be done, when, where, how and by whom it is to be done. Planning bridges the gap from where we are to where we want to go. It includes the selection of objectives, policies, procedures and programmes from among alternatives. A plan is a predetermined course of action to achieve a specified goal. It is an intellectual process characterized by thinking before doing. It is an attempt on the part of manager to anticipate the future in order to achieve better performance. Planning is the primary function of management.</p>
Spatial planning	<p>Trends of spatial planning losing its essence as a tool for determining the use of space are gaining momentum. This is as a result of attempts to enlarge its content to address cross-cutting, rather than concentrating on core planning issues. Hitherto at its inception spatial planning dealt with the management of land use change (Todes et al., 2010:416). This discourse maintains fate with its concern for the core issues of space-activity relationships in managing land use change. However, this concern is linked with the distribution of resource utilization in space as represented in territorial planning sometimes referred to as territorial cohesion (see Faludi, 2005).</p>
Spatial system	<p>According to Friedmann (1972) a spatial system is a territorially organized social system. He further explains that spatial systems are integrated through a given structure of authority-dependency relations maintained partly by a belief in the legitimacy of the relation itself and partly by coercion. Therefore Friedmann's perception of spatial systems is based on authority structures. Lozano (1990), on the other hand, explained that human systems in planning cannot be adequately explained if they are not related to space. This discourse is inclined towards Lozano's relation of human systems to space. Hence a spatial system is perceived as a territorial concept that is expressed in geographic space with human elements engaging in a functional flow of activities.</p>
Urban form	<p>Urban form is a growth-dependent variable. It is the function of the factors of</p>

	<p>urban land use distribution, urban growth patterns, and urban activity systems. Urban form will evolve in a suitable manner as size increases and size and form limit and determine one another, etc. The consideration of critical mass lead to the alternative and perhaps more appropriate nomenclature of urban form as community form. The community form as a sustainable physical spatial-form is a growth-dependent variable with factors of change characterized in land use as mixed development, in social imperatives and community as critical mass or heterogeneous nucleation, in economy as urban employment and in transit as walk-ability, among others. These accredited perceptions derive from submissions of Lozano (1990).</p>
World-System	<p>The world system is a variant of the neo-Marxist approach of viewing the global economy. The world system in a neo-Marxist perspective, which explains the mechanism through which growth and strength of the core regions of global economy are made possible by the exploitation of the rest of the world (see Portes &amp; Walton, 1981; Castells &amp; Portes, 1989). The world system is therefore built on the core-periphery principles which the institutionalist school upholds for the delivery of globalization. In practical terms at the local level this finds expression in the dichotomy of urban and rural economies and most times there is a backward linkage driven by informality. The proliferation of informality is underway in a neo-liberal dispensation. This is at variance with the mind-set of this discourse. Hence, the world system is perceived as the bane of regional integration in developing economies and in Africa in particular.</p>
Neo-mercantilism	<p>Neo-mercantilism is founded on the use of control of capital movement and discouraging of domestic consumption as a means of increasing foreign reserves and promoting capital development. This involves protectionism on a host of levels: both protection of domestic producers, discouraging of consumer imports, structural barriers to prevent entry of foreign companies into domestic markets, manipulation of the currency value against foreign currencies and limitations on foreign ownership of domestic corporations.</p>
Neo-liberalism	<p>Neo-liberalism is a philosophy in which the existence and operation of a market are valued in themselves, separately from any previous relationship with the production of goods and services, and without any attempt to justify them in terms of their effect on the production of goods and services; and where the operation of a market or market-like structure is seen as an ethic in itself, capable of acting as a guide for all human action, and substituting for all previously existing ethical beliefs.</p>

**“Discovery consists of seeing what everybody has seen and thinking what nobody has thought” .....SIFE**

## **SECTION A: THEORETICAL FOUNDING**

### **Chapter 1: Conceptual framework**

In this chapter the signposts for this research are outlined. The signposts are designed to guide the research towards delivering an appropriate spatial development paradigm. The prospective paradigm is intended to enhance regional integration within the national and its supporting spatial systems in developing economies and Africa in particular. Therefore it introduces the research against the backdrop of trends in the treatment of planning paradigms worldwide and particularly in Africa. The justification of the research is provided, followed by a preliminary literature review presented under the subheadings of points of departure and research arguments which are further stratified into theoretical and analytical frameworks. Thereafter the identification of the research problem and core research question, coupled with subsidiary questions, is undertaken. Based on the foregoing the aims and objectives of the research are stipulated and the study area determined. A general framework of the research methodology is given alongside the limitations and the significance of the research. Lastly, the structure of the research report is configured in a graphic presentation.

#### **1.1 Introduction**

There are broadly two scenarios that describe intellectual contributions towards the growth of spatial development paradigms worldwide. Firstly, there is an elucidation of trends that emanates from the global north where the production of planning knowledge seems to concentrate. Secondly there is the criticism of new trends essentially from the point of view of the institutionalist school of thought. Critics from this school of thought are not necessarily inclined towards a change of trends - rather they are concerned with a domesticating trend that seeks to reinvent planning in different political economies. In both scenarios there are established content drivers, mainly multinationals, in the first instance led by the UN vis-à-vis UN-Habitat and in the second instance independent scholars commonly affiliated with multinational institutions as well as private organizations, mainly external development partners.

Details of activities in both sides of the divide and the attitude of their content drivers vary widely but again a common trend can be discerned. Both the producers and consumers of planning knowledge tend to be unanimous in accepting new perspectives in spatial planning. Their common denominator is that they most probably belong to an institutionalist school of thought and operate within a defined kaleidoscope determined by the institutionalist notion of world systems. Another trend within this context is notable and consists of the consideration of neo-liberal participatory planning based on local influence - that is, local conditions only. The intuitive process tends to be oblivious of the links and relationships that neo-liberal participatory planning has with global influence vis-à-vis the delivery of neo-liberal global economy. Hitherto the very scanty dissenting schools of thought that are critical of global influence are either schemed out, stereotyped, or effectively intimidated by the overarching influence of content drivers who have at their disposal resources and structures to deliver the yearnings of trends induced by global capitalism.

Trends are also manifest in diagnostic approaches and in the issues addressed in the design of planning instruments. This outcome is more pronounced in the African context. Focusing on Africa, it emerges that urban predicaments have increasingly ceased to be considered in the context of African epistemology, thus signalling the dearth of an annals approach in diagnostic research for planning. What obtain commonly are spot evaluations fraught with banal diagnoses of causalities in African urban dynamics. It is not uncommon to notice symptoms of this lapse tucked in here and there in accounts of urban planning in Africa as presented by some African scholars, particularly those commissioned by external assistance agencies. Most of these studies are related to UN research efforts to transcribe urban planning in Africa. To this end attention is drawn to three topical studies, namely, reassessment of urban planning in African cities in 1999; a regional overview of the status of urban planning and planning practice in Anglophone (sub-Saharan) African countries in 2009; and revisiting urban planning in sub-Saharan Francophone Africa in 2009.

There is an increasing tendency of addressing cross-cutting issues rather than core issues in planning. Environmental management and decentralization policies now effectively usurp urban policies. Hence attention drifts from spatio-physical aspects of urban form, expressed in the urbanity of cities, to urban quality issues that dwell on degradation in socio-economic and environmental terms. This explains in part the frail



relation between modernist and post-modernist planning. More significantly, it explains to a great extent the paradigm shift in planning which has had a chequered history epitomized in the 1980s.

The trend of a paradigm shift has regional peculiarities in Africa. For Francophone Africa it moved from physical planning to action planning leading to planning tools such as urban reference plans, urban audit plans, urban contract plans and urban grid plans, all for purposes of implementing urban projects. Next to action planning is strategic development planning, with its strengths and weaknesses, and finally there is a move to localizing the Millennium Development Goals (MDGs). For Anglophone Africa the successive approaches are comprehensive master planning, action planning, structure planning, strategic planning, community planning, sustainable cities programme (SCP), city development strategies (CDS), and an infrastructure-led development approach. Okpala (2009:16) claimed that a more comprehensive urban-rural inter-linkages perspective or regional planning approach to planning is being advanced and promoted courtesy of UN-Habitat contributions. He further claimed that many countries have imbibed the new perspective although this is not very visible in literature. Moreover a lot depend on the nature of linkage in anticipation because linkages could be backward and unproductive. Such linkages are based on survivalist objectives which UN advocates for the so-called "poor environments" found in Africa.

As a result of these trends, thematic treatment of planning is the vogue hence the emergence of sectoral planning. The subject matter of planning transits to poverty issues, hence pro-poor planning coupled with the consideration of informality as a core determinant factor of planning initiatives. In the circumstances, independent nations tend to find their own synthesis depending on their local conditions, however, seldom with regard to regional (territorial) integration. Most of the planning initiatives are driven by the prevailing neo-liberal planning theory although the resilience of formal planning theory is noticed and remarkably acknowledged by UN-Habitat. Meanwhile it is noteworthy that neo-liberal planning theory succinctly seeks economic bases of integration. After more than three decades of its experimentation, neither positive growth nor regional integration is assured. Growth expressed in positive GDP is diagnosed in the context of increasing poverty and unemployment. In other words growth without development is manifest and underlain with declining productivity. In view of the

forgoing, there is no gainsaying the need to rethink the practice of following global trend in planning to address the planning requirement for African renaissance.

Some measure of a radical approach is imperative for a renewed beginning. The road map for this regeneration exercise is outlined in this research. The research is based on a comprehensive review of trends in the development of planning paradigms worldwide and since the 1960s; however, with an emphasis on Africa. The research adopts a change in mind-set and outlook to reconsider planning theory that recognizes the spatio-physical bases of integration. In a similar but more classic manner Friedmann (1972) developed a general theory of polarized development. In this instance a substantive and not classical theory is intended, because growth visions for Africa will act as a determinant factor to develop a new theory. The prospective theory will consider endogenous growth according to the convergent hypothesis of regional development theories. These strategic options are meant to enable Africa pull out of dependency in global economy. Therefore presumably the continued application of neo-liberalism as development ideology shall be determined and it is expected that this will catalyse the anticipated change in planning for Africa.

In view of the foregoing, this research navigates trends in the development of planning principles and practice. It does so through the review of literature within the transition period ranging from 1960s. The review is meant to appreciate the theoretical framework for spatial planning since the inception of neo-liberal planning. Efforts will be made to determine compliance with the new framework at country profile and planning initiative levels. This will be done against the backdrop of trends in the development of regional development theories and urban theories of land use structures. The knowledge base acquired will make possible the analysis of planning practice with the intent to determine the functional capacity of planning instruments to achieve economic growth in tandem with spatial integration in space.

## **1.2 Justification of the research**

This research is justified on two counts. Firstly, it addresses the resilience of formal planning which urban researchers tend to ignore in pursuit of trends dictated by neo-liberalism. The research considers planning paradigms from substantive and not classical planning theory perspectives. It is expected that this will throw light on remote causal factors that are responsible for urban productivity decline in Africa. Thus issues

bothering on valid development ideology for African renaissance hitherto externally induced shall receive considerable attention. Second, the analytical method intended is independent of discrete neo-liberal principles. The approach is reminiscent of a world systems approach as informed by the Annals school and dependency theory with its focus on the linkages between proliferation of informality and global restructuring (see Martinez-Vela, 2001; Portes & Walton, 1981; Castells & Portes, 1989). This approach will refresh the stale and bewildered outlook of the current search arena which is somehow moribund while scarcely making a visible impact on redressing distortions in Africa's urban regions initiated in the colonial period.

### **1.3 Points of departure**

The basic scenario in Africa on which this research is conceived is characterized by introverted urbanization and extroverted urban economy that fails to render productive growth as in-formalization gained momentum. Under the influence of informality in planning the transition of the legendary 'urbanization without growth' to 'growth without development' is indeed underway and commonplace in Africa. To understand this trend requires a thorough knowledge of the neo-liberal system that determines global economy vis-à-vis the activities of external development partners and issues related to the politics of space economy which has historic antecedents in Africa.

Elucidating these issues will take us outside the focus of this discourse yet its mechanisms explain the dynamics of productivity decline in urban Africa. Suffice it to say that informality of the survivalist category which obtains in Africa and which provides the theoretical base for informal planning tends to sustain development procedures that do not have compelling theoretical causation with growth. Traditionally growth is sourced through formal form-based spatial planning and at the moment an antithesis is yet to be fully theorized and verified. Meanwhile growth without development explains the tendency of most African countries to manifest positive GDP growth amidst stagnant or negative productivity measured in declining per capita GDP, growing poverty, debilitating unemployment and high Gini coefficients. African countries' profiles manifest these points of departure which are typical in Nigeria and South Africa and to a lesser extent in Tanzania and perhaps Egypt. They remain within the realm of a dysfunctional state that indicates enclave economy invariably extroverted and directly linked with inequality.

With the incidence of informality in planning the changes that have occurred in spatial planning theory since 1980s are revolutionary. Subsequent planning activities rest on neo-liberal theoretical frameworks. As it were, the purpose of planning in the present dispensation oscillates from acting on the city to acting on the people, depending on the content driver. Meanwhile, causality is visible between a focus on the city and visionary planning and a focus on people and existential planning. The point of departure here relates to preference for visionary or existential planning and this in turn point to mind-set and planning outlook issues as they relate to the global objective of securing an African renaissance. It also relates to the resilience of formal planning which is grounded in visionary planning. The requisite mind-set for achieving an Africa renaissance is likely to be defined by commitment to introvert the economy of urban Africa and pull-out of dependent capitalism (see Chukuezi, 2010:133). This being the case, a visionary planning outlook from spatial planning perspective is incidental for modelling a meaningful space economy that responds to form and function as first principle of growth. It is within this context and pointed focus on the city that the entry point for sourcing a spatial development paradigm for Africa is determined.

The choice of the best line of action presents serious challenges considering the objectives of structural change involved. In the first instance, there is a need to revisit neo-liberalism as a thinking instrument for a paradigm shift in planning for Africa. Also critical is the need to synchronize the activities of content drivers with achieving, in concrete terms, the global objectives of African renaissance. To these ends the point of departure for pragmatic action lies in harmonizing the theoretical base for spatial planning in Africa with the fundamentals of formal planning. Therefore the choice ostensibly implies the synthesis of form-based and non-form-based perspectives. This initiates the process of conceptualizing a spatial development paradigm for Africa; however, based on new facts driven either by environmental determinism which includes sustainability, climate change, global warming or by humanistic interventionist activities contained in informality, inclusiveness, and productivity. In other words this research is not chasing a new perspective but it is rather theorizing an alternative paradigm drawn from existing perspectives for an African renaissance.

## **1.4 Major research arguments**

### **1.4.1 Theoretical perspective**

The cyclical evolution noticed in the development of planning theory from classic–rational– neo-classic, which is in tandem with the evolution from pre-modern, modern and post-modern periods in planning epistemology, is not a coincidence. Equally illuminating is the synchronizing evolution of urban design in planning represented by the changing orientation of urbanism from old urbanism–traditional urbanism–new urbanism. All three categories of evolutions are driven by new facts generated either through environmental determinism or humanistic interventionist activities. The combination of neo-classical planning theory and new-urbanism acting in the post-modern period in planning provides a lead to the contemporary emphasis on the use of space in spatial planning. Given their provisions the essence of planning without interferences of new perspectives remains within the realm of morphology, hence the focus on the city.

Spatial planning ontologically is form-based and the integrity of planning rationality rests on this premise without prejudice to pluralism which is the hallmark of new perspectives in planning. Spatial planning remains an art and a science with the explicit aim to manage the use of space. It is argued that a new perspective in so far as it is without the form element lacks merit to initiate a theoretical evolution in spatial planning. Otherwise sustainable urbanism would have lost its impetus under pressure from neo-liberal planning. The hard reality of the limited role of new perspectives in driving evolution in spatial planning has dawned on neo-liberal planning in Africa and indeed worldwide because ultimately organized use of space cannot be circumvented and more so in the present syndrome of sustainable urban development. However, an interface could be sought that does not usurp the principles of form and function in spatial planning and this is where the African region misses the mark, unlike counter-part regions in the global north. In all of their commitment to neo-liberal planning it is understood in these regions that form and function cannot be compromised hence the complementary role of urbanism.

It is noteworthy at this juncture that a participatory process is not necessarily what makes neo-liberal planning a new perspective in planning. It is indeed a change in value systems associated with liberalization in global economy and planning outlook that is increasingly project-oriented and existential and the commitment to investigate

development in a deregulated spatial planning context which identifies it as a new perspective. Participatory process plays a facilitating role and this perhaps explains the tango of neo-liberal planning with the substrate of informality. On second thoughts, neo-liberal planning is all about access to the control of space economy.

Informality is somehow connected with new perspectives in planning, hence the expression *informal planning*. Theoretically speaking, informal planning is an aberration amounting to parallel planning systems, although it could seek legitimacy on account of planning practised during the popular design tradition in the earlier segment of the pre-modernist planning period. Indeed, spatial planning of the earlier epoch, although practised in informal circumstances, was nevertheless orthodox spatial planning. In the present dispensation it is argued that informality could be accommodated; however, as hypothetical design simulation(s). The simulations will be based on educated assumptions led by formal expertise/knowledge in planning and used as planning instrument for enhancing participation at the inception of spatial planning intervention. In this way planning principles are not compromised yet participation is not impaired.

Also, new perspectives in spatial planning theory argued for the African region are such that they make growth in the context of integrated territorial development theoretically compelling for spatial planning. Such developmental or indeed applied planning theory will drive the appropriate spatial paradigm - the working instruments - with capacity to redress the distortions in Africa's development surface.

#### **1.4.2 Analytical perspective**

The problem with plan implementation is one of the key factors that gave rise to the new perspective of neo-liberal planning. It is argued in neo-liberal planning circles that poor plan implementation is rooted in the non-participatory orientation of plan preparation. This research argues otherwise. The problem with plan implementation is linked instead with sharp practices in funding mechanisms the circumvention of which indeed elicits the need for participation. *Ab initio* participation is rooted in a breakdown of trust in the manipulative planning system that is commonplace in Africa and which in technical terms is participatory in nature. Also, linking plan implementation with participatory planning is connected with the need to facilitate the involvement of external development partners in the development process in Africa. In view of their funding mechanisms the

development partners function with project planning, which correlates strongly with participatory neo-liberal planning processes.

Under the manipulative planning system the workability of a plan is subject to the attitude of planning administrators' towards it and this explains to a greater extent the redundancy of master plans and indeed structure plans. It is argued that their attitudes are becoming increasingly repressive and this paves the way for the growing syndrome of development control without reference to formal procedures that is to say planning control. It is on account of this manipulative participatory system that informal planning finds expression; however, at the existential level because visionary planning is impaired practically.

Plan preparation which is becoming increasingly desktop is bedevilled by mediocrity and complicated by quackery and charlatanism. These vices in planning highlight the situation when untrained personnel engage in taking planning decisions. The interactive participation advocated in neo-liberal planning tends to provide legitimization for this syndrome. Continued liberalization of planning decisions is likely to be counter-productive in modelling the urban region and shaping the city as manifested with IDP/SDF applications in South Africa. These design requirements are technical issues that demand a lot more than political analysis. It is therefore argued that formal expertise knowledge should take precedence over informal expertise knowledge in planning, although it is admitted that the availability of reliable formal expertise knowledge could be limited in some African countries such as the DRC, Angola, Ethiopia, etc. That notwithstanding, informal expertise/knowledge should in principle play a facilitating role on the basis of which an appropriate interface will be found for political and technical analysis in planning.

Lastly, planning in Africa at the moment should not cease to be visionary; therefore it should be design-oriented given the need for regional integration in spatial contexts. However, the design process could be made more participatory than it is now and the design principles will be guided by new facts.

## **1.5 Problem statement and substantiation**

The African development surface is known to manifest distortions that are responsible for the urban productivity decline. Indeed, these distortions, according to Hicks (1998) 'leave the legacy of isolated urban hierarchies with limited linkages in the urban region

mainly in the form of urban-rural dichotomy and fragmentation of the private sector 'with extroverted modern sector' sparsely 'related with the local economy'. Therefore the global objective of development action for Africa is invariably focused on integrated regional development. Viewed from the planning perspective this objective focuses on spatial integration underpinned by territorial planning.

The global objective of integrated regional development is connected with sourcing enhanced productivity through the introversion of the economies of urban Africa. Succinctly put, the objective indicates an African renaissance. Efforts towards realizing the global objective have led to new partnerships in African development (NEPAD) initiatives with its political and economic reforms. This provides a compelling opportunity to consider appropriate spatial paradigms that will translate the global objective into space. The visionary process required to theorize the paradigm for the spatial planning intervention is seen to be dilemma due to paradigm shifts in planning linked with the incidence of neo-liberal planning.

In spite of the predating status of neo-liberal planning perspective, it is clear from literature that the master planning paradigm remains resilient. In practical terms, process-oriented and non-form-based planning, which are content drivers of the visioning process for NEPAD implementation, is upheld against product-oriented or form-based planning perspectives which are common in national development planning. The resilience of form-based planning paradigm preoccupies this research. Applying this knowledge base to determine an appropriate planning paradigm in which participation is mainstreamed for the delivery of spatial regional integration within spatial systems in Africa represents the core research problem.

At the moment the docile disposition of the resilience identified is a curious phenomenon. Coordinated effort towards sustaining this outlook in African countries probably explains in part the recession of urban policies in preference to decentralization and environmental policies. So far, the planning perspective driven by neo-liberal interpretation of these policies pointedly aims attention on spatial modelling for the urban regions and shaping the city in favour of growth through natural processes. Per adventure this scenario continues to underscore spatial planning in Africa and will be threatened with a crisis of relevance and no doubt the African vision will be compromised.



## 1.6 Research questions

In the prevailing circumstances of a paradigm shift in planning, neo-liberalism as thinking instrument cannot be ignored. Therefore the central research question to address the core research problem is: How can a form-based planning tradition in the context of neo-liberalism contribute to the conception of an appropriate planning paradigm for the delivery of spatial regional integration within spatial systems in Africa? Other follow-up questions include:

- i. Why should Africa consider an alternative development ideology besides neo-liberalism?
- ii. Why is neo-liberalism not a preferred thinking instrument for theorizing planning paradigms in Africa?
- iii. How can new facts or new perspectives determine a spatial planning paradigm?
- iv. To what extent does the theoretical framework for planning contain form-based elements?
- v. How can planning initiatives in Africa be exclusively compliant with neo-liberal planning principles?
- vi. To what extent are country profiles in Africa disposed towards neo-liberal planning paradigm?
- vii. Why does form-based spatial planning tend to be resilient in Africa?
- viii. How can planning initiatives deliver spatial regional integration in Africa?
- ix. To what extent are neo-liberal participatory planning principles related to planning practice and desired practice?
- x. What is the interface between technical and political analysis in planning?

The literature study will *inter alia* address the first three research questions. The global research objective will address the rest in a stratified manner. The specific research objectives will zero-in on principles and practice and the instrumentality of technical and political analysis in planning.

## 1.7 Purpose of research

This research is located in the realm of applied spatial planning in which classic planning is oriented towards achieving substantive development objectives. Presumably it draws

from the same realm where neo-liberal paradigm is inspired that is the substantive and not the generic realm. Therefore the purpose of this research is to make a case for reconsidering the resilience of formal planning in articulating an appropriate planning paradigm for the delivery of spatial regional integration within spatial systems in Africa. The rider here relates to connecting the paradigm shift to the developmental vision for Africa and not necessarily considering it in isolation from the aspirations of the context where it will apply as is often the case. The research therefore proposes to support the argument for a neo-African development paradigm with particular reference to the spatial planning component subsumed in neo-African spatial development theory. The theory in view is expected to facilitate spatial integration through territorial planning for enhanced productivity of urban Africa.

### **1.8 Global aim and objectives of research**

The general aim of this research is to conceptualize a spatial development theory oriented towards form-based planning tradition for the delivery of spatial regional integration in developing countries vis-à-vis Africa. To this end the following objectives will be pursued:

- i. To evaluate compliance with form-based and neo-liberal planning principles in the theoretical framework of planning in Africa,
- ii. To conduct an iterative desktop study on the interplay of spatial and neo-liberal participatory planning processes in the country profile of selected African countries,
- iii. To conduct a perception desktop study of the capacity of planning initiatives to deliver regional integration in selected African countries,
- iv. To conduct an empirical case study of principles and practices of neo-liberal planning initiatives and the interface between technical and political analysis in planning for regional integration in selected African countries.

### **1.9 The specific aim of the research**

The specific aim of this research is to conceptualize a form-based spatial planning theory for Africa. It pursues this aim by means of establishing the performance of

participatory planning initiatives as instruments for spatial planning in selected African countries.

### **1.9.1 Specific objective of research**

The study methodology shall pursue the following specific objectives;

- i. To determine the extent to which the principles of the planning initiative conforms to contemporary theoretical frameworks,
- ii. To examine the relationship between the principles and practice of the planning initiatives,
- iii. To examine the relationship between the present practice and desired practice of the planning initiatives,
- iv. To examine the relationship between the principles of the planning initiative and desired practice of form-based spatial planning,
- v. To conduct a SWOT analysis of the planning initiatives,
- vi. To conduct an own assessment of the planning initiatives, and
- viii. To simulate new knowledge on the basis of established findings.

### **1.9.2 Hypothesis statement**

Spatial planning instruments that contend for relevance in redressing distortions in the structure of urban regions and reverse the extroversion identified in the development of space economy in Africa are arranged into two categories, namely form-based (formal) and non-form based (pragmatic) planning instruments.

For purposes of clarity, form-based instruments operate with the principles of form and function in planning for land-use interventions. Hence it upholds planning rationality as determinant for integrated development of the urban region. On the other hand, non-form-based planning instruments dwell on informality which in principle disregards planning rationality. It upholds market forces as a determinant factor for land use intervention. The two schools of thought represent alternative approaches to spatial planning for integrated development of space economy. Both approaches pursue economic growth but it is argued that the former does so in the context of shaping the

urban region in the spatio-physical sense for nation-building, unlike the latter which does so strictly in the economic sense for private profitability.

Hitherto the space economy - that is the development of the urban region - in Africa has been fraught with sprawl and disconnects responsible for urban productivity decline and more so in the context of a dependent capitalism underpinned by the consumer economy. The revision of these attributes, entrenched under the growing influence of informality, is the challenge ahead of planning intervention. Essentially planning interventions should rework the space economy and make it compatible with introverted economic growth intended to relieve Africa from dependent capitalism. Delivering on this milestone(s) is postulated as the primary function of the planning approach being targeted. In other words, the planning approach, in practical terms, will deliver an integrated development of the urban region in spatio-physical terms for enhanced productivity in Africa.

This research postulates the antithetical statement (null hypothesis) thus: Form-based planning attributes are not significantly resilient in the perception of planning initiatives within spatial systems in Africa (as measured by the nested perception of related variables in the theoretical framework of the IPD initiative in South Africa).

## 1.10 Determination of study area

### 1.10.1 Introduction

The African continent consists of fifty-four countries. There are various adaptations of sub-division of these countries into sub-regions. This inquiry identifies with the sub-division used in historical studies to analyse traditional African civilization (see **Table 1.1** below).

**Table 1.1: Distribution of African countries in sub-regions**

S/no	Sub-region	Countries
1	Forest area	ECOWAS countries plus Cameroon, Gabon, Equatorial Guinea
2	Western Sudan	Mauritania, Mali, Niger, Chad
3	Central Africa	Central Africa Republic, DRC, Zambia, Zimbabwe, Zaire, Rwanda, Malawi, Uganda, Burundi
4	South-east	South Africa, Mozambique, Tanzania, Kenya, Swaziland, Lesotho
5	Atlantic	Angola, Namibia, Botswana
6	Horn of Africa	North and South Sudan, Ethiopia, Somalia, Djibouti
7	North Africa	Libya, Egypt, Algeria, Morocco, Tunisia

Source: Own construction (2012)

### 1.10.2 Determination of locations for iterative desktop study of country profile for selected African countries

In determining the locations for country profile study the following criteria were considered:

- i. Dysfunctional African states: the dysfunctional states, which coincide with Africa's largest states, include Nigeria, Angola, the DRC, Ethiopia, Sudan, and South Africa. They exhibit varying conditions of dysfunctionality defined as the lack of provision of welfare and opportunity to the population (Herbst & Mills, 2006). Each of these countries as a regional giant was found to have acted more like cabooses due to their development tragedies than locomotives in the drive to develop (Herbst & Mills, 2006:1);
- ii. Regional spread: major regional blocs commonly recognized are North, West, Central, East and Southern Africa. Regional differences are measured along these boundaries;
- iii. Urbanization patterns: the two major patterns of extroverted and introverted urbanization are manifest. In Nigeria it is particularly and unusually extroverted;
- iv. Anglophone and Francophone divide: provided two main backgrounds to urbanization in Africa. While Anglophone Africa (that is, the British territories) which dominated southern Africa experienced a paternalist philosophy of administration, Francophone Africa (representing the French, Portuguese and Belgian territories), mostly in western Africa, experienced the doctrine of assimilation; and
- v. Rate of urbanization: a high rate of urbanization is typical in Africa.

Based on these criteria the countries identified for the desktop study are: **Nigeria** (first in population, tenth in landmass) in the forest area sub-region; **Democratic Republic of Congo** (third in population, second in landmass) in the Central Africa sub-region; **South Africa** (fourth in population, sixth in landmass) in the South-east sub-region; **Angola** (fourteenth in population, fifth in landmass) in the Atlantic sub-region; **Ethiopia** (second

in population, ninth in landmass) in the Horn of Africa sub-region. **Mali** in the Western Sudan sub-region; and **Egypt** in the North African sub-region are included based on related considerations. Also included are **Senegal**, **Rwanda** and **Kenya** from the three sub-regions (forest area, Central Africa and the South-east sub-regions respectively) with the largest number of countries.

### **1.10.3 Determination of locations for perception desktop studies of planning initiatives in Africa**

Based on regional spread, planning initiatives at local level in Mali (West Africa), Egypt (North Africa), Tanzania (East Africa) and South Africa (Southern Africa) were identified for perception desktop studies. Hence perception studies were conducted for Cities' Development Strategy (CDS) initiatives in Mali, the "Shorouk" initiative in Egypt, Opportunity and Obstacles to Development (O&OD) initiatives in Tanzania and the Integrated Development Planning/Spatial Development Framework (IDP/SDF) initiative in South Africa.

### **1.10.4 Determination of location for empirical case study of planning initiative in Africa**

After iterative desktop studies of country profiles and perception desktop study of planning initiatives in selected African countries, South Africa was identified as the location for an empirical case study of participatory planning initiatives. This is because South Africa, among other African countries studied, indicated a consistently better disposition towards neo-liberal planning principles. South Africa belongs to the south-eastern sub-region in Africa, gained independence from Britain in 1910, the earliest in Africa except for Ethiopia but remained under minority rule until 1994. Its urbanization pattern is introverted with a 3 percent urban growth rate. The South African planning system, due to major socio-political transformations, transits from statutory to non-statutory and perhaps partially statutory in practical terms at present. However, post-1994 South Africa demonstrates a rigorous search for a participatory planning methodology. The IDP/SDF initiative, which is identified as a local planning instrument for empirical study, was initiated in 2000 amidst other participatory planning instruments operated at higher levels of government.

#### **1.10.5 Determination of locations abroad for desktop study of spatial models of regional integration.**

Determination of destinations abroad where urban growth boundaries, extended metropolitan regions and polycentric planning models are applied focused on locations with best practice experience. The criteria for choosing locations to be investigated are set out as follows:

- i. Cities that adopt urban growth boundaries (UGB) as growth management instruments;
- ii. Cities that adopt a polycentric primate city region development as development model; and
- iii. Cities that adopt extended metropolitan region (EMR) as a development model.

In line with the set criteria, contending options are drawn from America, Europe and Asian countries. Factors considered for each option are presented in **Table 1.2** below.

For best practice locations **Portland**, Oregon in USA is identified for urban growth boundaries application; **Kuala Lumpur** in Malaysia for extended metropolitan region application and **The Netherlands** for a polycentric planning model application.

**Table 1.2: Determination of case study areas outside Africa**

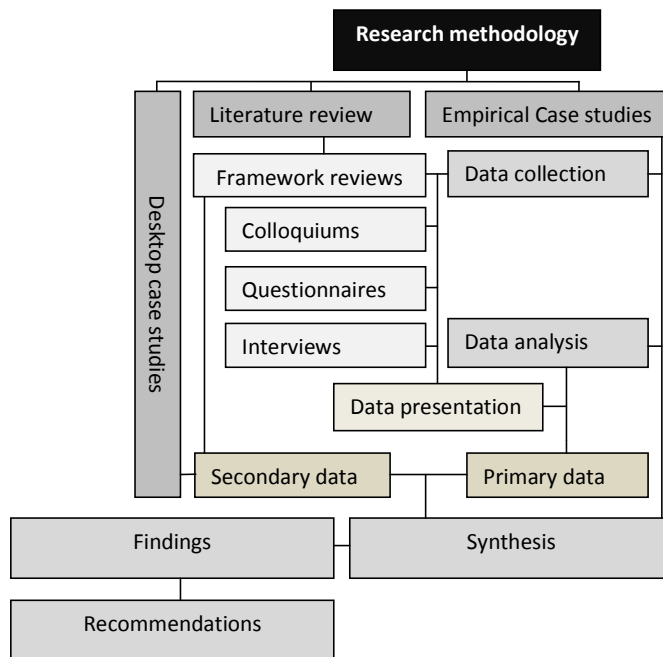
<b>S/no</b>	<b>Option</b>	<b>Factors Considered</b>
<b>1.</b>	<b>America</b>	<ul style="list-style-type: none"> <li>i. The disposition of America towards planning is a viable option for Africa because Africa shares similar spatial planning challenges with America, at least in terms of urban sprawl.</li> <li>ii. The American attitude towards the application of UGB and paradigm shift is exemplary for Africa. The American planners are stable, determined and focused on a design-oriented planning paradigm. New urbanism defines their planning practice in line with the design principles of planning.</li> <li>iii. America operates a polycentric urban system (Schmidt &amp; Buehler, 2007:56).</li> <li>iv. The best place to look for evidence of how UGBs have done is <b>Portland</b> - a major American metropolitan region with a UGB in place since the late 1970s.</li> </ul>
<b>2.</b>	<b>European countries</b>	<ul style="list-style-type: none"> <li>i. UGBs have been used extensively in many European countries.</li> <li>ii. Planning practice is strongly inclined towards a process-oriented paradigm although there are few exceptions found mostly in southern Europe and the UK.</li> <li>iii. Successful application of polycentric development especially in The Netherlands.</li> <li>iv. Shares the need with Africa to engage spatial development perspective. Lots of insight is available with ESDP experience.</li> </ul>
<b>3.</b>	<b>Asian countries</b>	<ul style="list-style-type: none"> <li>i. Concerned with regional integration and pioneers of EMR model</li> <li>ii. Demonstrated outstanding success in using EMR to boost productivity.</li> <li>iii. Applies EMR against the backdrop of low population density and growth management systems.</li> <li>iv. Kuala Lumpur is reputed to have good practice in the application of the 'multiple nuclei' model of EMR which compared with other models of EMR is known not to have issues with equity.</li> <li>v. Kuala Lumpur as a city region in Malaysia has been able to control its growth through the creation of a poly-nucleated pattern of new towns and smaller suburban centres located along the major arterial routes of the city.</li> </ul>



### 1.11 Research methodology

The research methodology adopted is structured as a mixed-scanning approach to investigate the veracity of a paradigm shift to neo-liberal planning in African countries' planning systems. To this end, an investigation was initiated at country level on a broad-based scale to gauge the incidence of neo-liberal planning. Knowledge gained provides the platform for selected study of planning initiatives at closer range. This in turn provides an educated choice of a topical planning initiative for detailed investigation of its attributes.

As illustrated in **Figure 1.1** below, the research methodology has three categories of studies in a descending order, namely the literature review, desktop studies and empirical case studies. These studies anticipate three categories of activities, namely data collection for secondary and primary data, data analysis and synthesis. Multi Criteria Analysis (**MCA**) was used for perception analysis. This instrument of analysis was aided by a **SWOT** analysis for quality control and own assessments with a self-styled template code-named **4As**. The analysis of processed data and their synthesis generates findings which were used to conceptualize spatial development paradigm and subsequently simulate new knowledge.



**Figure 1.1: Conceptualization of research methodology**

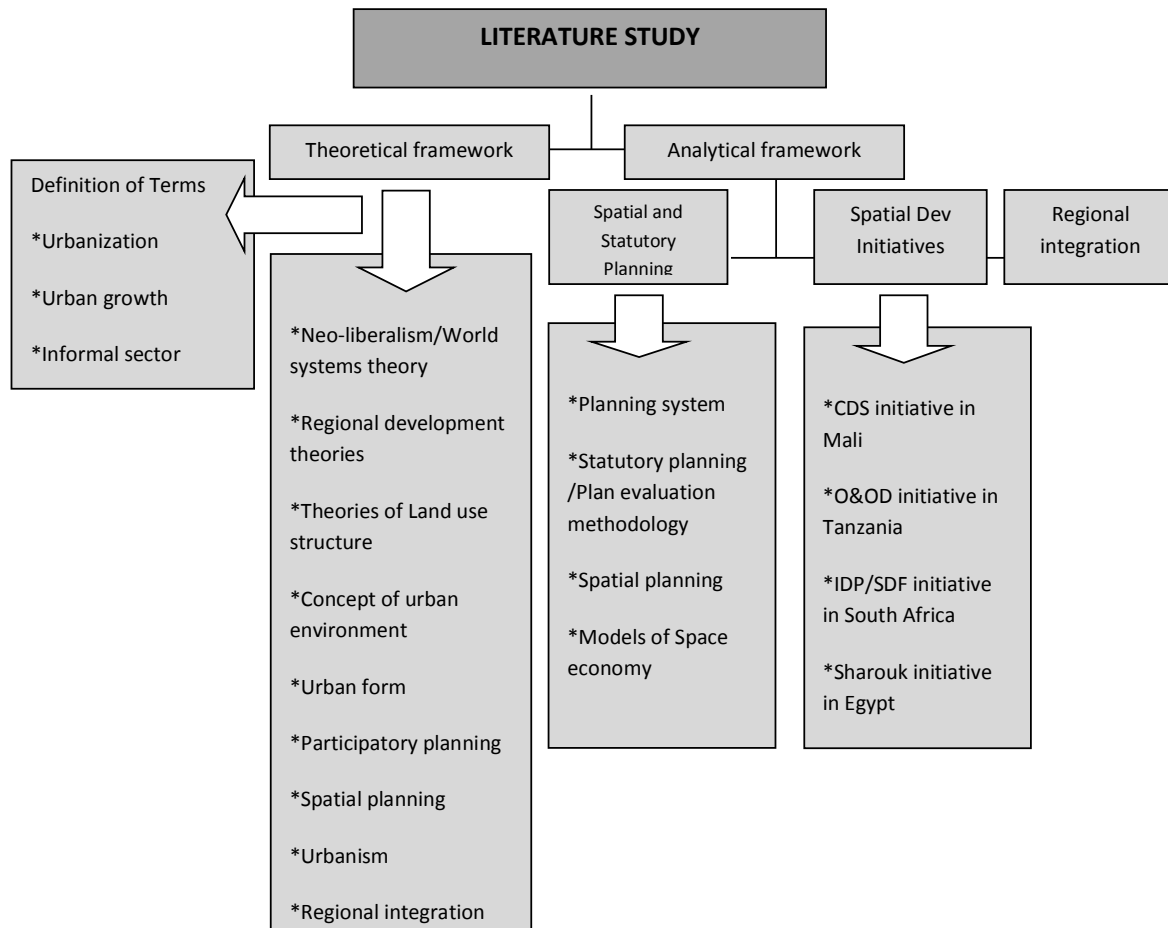
Source: Own construction (2011)

### 1.11.1 Literature review

**Figure 1.2** below illustrates the scope of the literature review.

The review of literature was framed to answer three research questions as indicated earlier. Hence it was targeted at the following objectives, namely to elucidate the anatomy of topical issues that pose challenges to contemporary planning, to bring to bear global influences that impact development processes which have planning implications, and to examine the history of African civilization vis-à-vis the culture of cities. These sets of objectives informed study themes grouped as related literature. The other set of objectives was intended to examine the dynamics in the development of spatial planning concepts – initiatives, perspectives and frameworks, to expound urban models used to develop space economy and to review substantive planning initiatives. These sets of objectives elicit themes treated as relevant literature stratified into theoretical and analytical frameworks. The purpose of these trends of studies *inter alia*

is to provide a level playing ground for the impending analysis intended to be substantive.



**Figure 1.2: The scope of the literature study**

Source: Own construction (2011)

### 1.11.2 Data-collection approach

A multiple case study approach was used to collect secondary and primary data from multiple sources of evidence including published information, a questionnaire survey and personal interviews. The case study approach adopted is further split into desktop and empirical case studies for extensive and intensive investigations respectively. The desktop case studies which were used for extensive investigation focused on country profiles and planning initiatives as subjects of investigation while the empirical case study was used to zero-in on investigations of planning initiatives.

### **1.11.2.1 Desktop case studies**

Two approaches of desktop case studies were adopted. First, an iterative desktop case study was adopted for investigating country profiles. The source of data here is mainly published information. An investigation was conducted on sixty-six planning-related variables for ten African countries, including the DRC, Angola, Mali, Egypt, Senegal, Kenya, Nigeria, South Africa, Tanzania and Ethiopia. Second, review studies that are mainly explanatory which benefited from the prior development of theoretical propositions were adopted for investigating planning initiatives. This manner of investigation was conducted in the first instance on planning initiatives in four African countries including Mali, Tanzania, South Africa and Egypt. The theoretical and analytical frameworks of the initiatives as separate entities were investigated vis-à-vis their links and relationships, then analysed and compared qualitatively. It was applied in the second instance to IDP protocols to facilitate the empirical studies.

### **1.11.2.2 Empirical case study**

The empirical case study adopted was conducted for one of the four planning initiatives identified in desktop case studies as a topical neo-liberal planning initiative. The empirical case study assumed the outlook of a perception study that sought primary data through planning questionnaires and personal interviews. Both questionnaire survey and personal interviews were directed to four categories of respondents, namely academia, planning consultants, politicians and role players (including planning administrators). Their perceptions were sought on the performance of IDP/SDF initiative as participatory and spatial planning instrument in South Africa.

### **1.11.3 The analytical approach**

The analytical approach in this research is reminiscent of the world system analysis used in social sciences to examine historical systems. Therefore it is holistic and executed in the context of historical systems particularly as it is manifested in the neo-liberal era alongside the epistemology of African civilization. This analytical orientation assumes an historical perspective of examining paradigm shifts following major socio-economic transformations at global and local levels. This overarching scenario of analysis is complemented by perception analysis using the MCA approach and own assessment to assess the context and content of planning initiatives. Meanwhile all

analytical procedures were guided by the mind-set of instituting spatial regional integration in Africa.

#### **1.11.4 Synthesis**

The set of findings generated in the research served as theoretical foundation for the proposed spatial development paradigm. Through a visioning process the applicability of the proposed paradigm is tested in the conceptualization of a hypothetical planning paradigm for Africa codenamed the 'neo-African paradigm'. The initiative, perspective and framework instruments derived from neo-African paradigm wholly represent original new knowledge which this research contributes towards the development of planning theory in Africa.

#### **1.12 The world-system analysis**

In the words of Wallerstein (2004), "World-system analysis originated in the seventies around the work of Immanuel Wallerstein and, after more than thirty years, it still represents a minority view, an oppositional view in the world of social sciences but it is recognized as a major intellectual achievement". World-system analysis is a holistic approach that seeks to explain the dynamics of the "capitalist world-economy" as a "total social system". Again Wallerstein (2004) indicates that the core concepts of world-systems analysis were not new but borrowed from different disciplines, such as history (the term world-system itself), economics (unequal exchange), sociology (classes), and politics (balance of powers). He further explained that what was new was the articulation of these concepts into a coherent holistic perspective. The integrative process basically changed the unit of analysis from political structures (i.e. nation states) to marketization and privatization, incorporated core-periphery concepts, and encouraged multidimensional and multi-secular (i.e. historical) analysis. These attributes underpin the overarching global influence on paradigm shifts in planning.

There is no gainsaying that global influences are largely responsible for the new perspective in planning that seeks to reinvent planning in line with neo-liberal standards. Yet at the moment there is no indication that these influences inform current perspectives of analysing trends in spatial planning in Africa, perhaps the most threatened region in the world system. Analytical procedures are pre-occupied with addressing local influences centred on sourcing plan implementation, while predating

global influences hijack the system to push its agenda. Thus the delivery of docile planning as required in the world system is underway, strongly guided by the principles employed in historical systems - global capitalism - to suppress dissenting views.

World system analysis is focused on global influence, therefore it is best suited to analyse current trends in development perspectives. It is intended that this approach be used to analyse the evolution in urban planning paradigms in Africa.

### **1.13 Limitations of the research**

Logistical constraints limited the empirical case study to perception analyses of the planning instrument. Otherwise the investigation would have extended to the study of the pattern of urban development which is the subject of investigation. This would have adequately measured the impact of market force and planning regulation in the control of space economy. It would have measured performance on the ground and provided very sound bases for assessing the planning initiatives. In other words, the assessment would have been more pragmatic and a good complement for the perception analysis that was done. In the same vein the desktop studies of initiatives in some of the selected African countries preferably would have been full-scale empirical studies. In this way the conclusions drawn from the research would have been more authoritative.

Data limitation and reliability extend to conflicting figures on urbanization, urban growth, and urban economies published by different observatories. Ironically, most of the so-called reliable data are those published by the same content drivers whose activities are viewed with scepticism. The same argument holds for the framework of planning concepts that inform the foundations of the research. Most of the concepts that interplay in the investigation are northern-based and using the mind-set that is predominantly culture-specific, pre-capitalist and pre-industrial in orientation – so they are considered to tend towards limitations associated with civic identity.

Experience shows that it is increasingly difficult to get respondents to fill-out questionnaires. They are either time-constrained or complacent or weary of the intent of the research or they are somehow experiencing the brain-drain syndrome born of professional sterility. The municipal administrators were particularly weary, elusive and secretive, less prepared to cooperate, especially with the interviews. They are more at home with the politics of planning than exploring planning theories and processes.

Overall it was observed that there is no common ground to access planning theory and planning instruments.

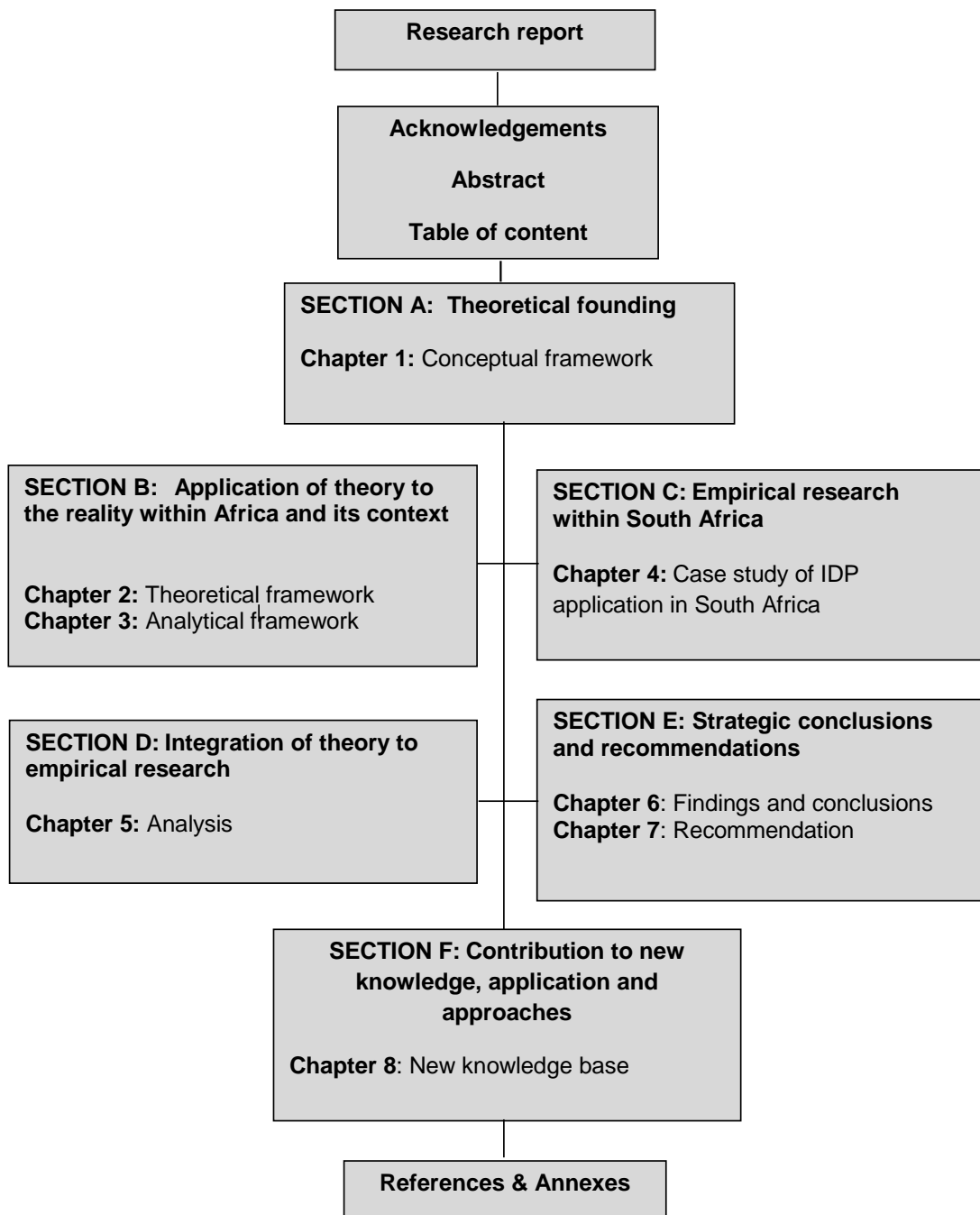
#### **1.14 Significance of research**

The significance of this research runs in five directions. They are:

- i. It prepares the mind-set and approach for planning in Africa,
- ii. It captures the theoretical base for spatial planning in Africa,
- iii. It makes a case for the adoption of substantive planning theories for Africa,
- iv. It leads to African Spatial Development Perspective (ASDP) for shaping the city and managing space economy in Africa,
- v. It provides a strategic guide for curriculum change in planning education for African planning schools.

#### **1.15 Structure of the research report**

The report is presented in six sections and nine chapters. A schematic illustration of the structure of the research report is shown in **Figure 1.3** below.



**Figure 1.3: The structure of the research report**

Source: Own construction (2012)



## 1.16 Conclusion

This chapter established trends in the delivery of planning theory that are contestable, especially with regard to the dispensation of neo-liberal planning in the African context. The trends are manifested in the domestication of paradigm changes in planning, courtesy of content drivers who are driven by the institutionalist school of thought. Some of the trends identified include: the bandwagon acceptance of new perspectives in planning, the oversight of global influence in the dynamics of paradigm shift in planning, the diagnostic approach in planning studies that disregard the epistemology of African civilization, the focus on cross-cutting issues rather than core issues of planning, the thematic treatment of planning leading to sectoral planning, the change of the subject matter of planning from the city to poverty issues thus directing attention to economic bases of integration, the disregard for planning rationality, and ultimately the receptive attitude towards informality in planning that justifies pragmatic planning, etc. As justification for the research the chapter indicates the use of a world systems analytical approach to challenge the validity of following these trends.

Preliminary literature is given under major research arguments and points of departure. The points of departure are contained in the basic scenario of development in Africa, which is fraught with distortions, then paradigm shifts that have the tendency of reinventing planning and lastly rethinking neo-liberalism as an intuitive instrument for paradigm shifts in planning. The research arguments are stratified into theoretical and analytical frameworks. The theoretical framework questions the effort to divert planning attention from the city and maintains fate with the integrity of planning rationality. It indicates that the nature of neo-liberal planning is beyond the objectives of classic participatory planning. Neo-liberal planning is more concerned with the liberalization of space economy than the interactive ethos of participatory planning. Informality is found very useful to deliver neo-liberal planning through informal planning. Neo-liberal planning is therefore thought to be an aberration that cannot deliver the integration sought for African renaissance.

The analytical framework identified the capacitating of plan implementation processes as justification for neo-liberal planning. Disagreeing with this viewpoint, attention was drawn to sharp practices in the financial management of plan implementation procedures and the repressive attitude of planning administrators towards the use of provisional planning documents. Attention was also drawn to the democratization of planning decisions and

the incidence of quackery and charlatanism in planning practice. For this reason planning is now more existential than visionary.

In view of the foregoing, the securing of integrated development is critical. The resilience of formal planning is food for thought that engages the attention of this research. Taking advantage of the resilience of formal planning to articulate a spatial development paradigm for regional integration was identified as the core research problem. How to conduct this mission informed the core research question. Several other subsidiary research questions were also posed to support the core research question. The consideration of the resilience of formal planning fundamentally changes trends in planning paradigm. Making a case for this change is identified as the primary purpose of this research.

The global aim of the research is to postulate a spatial development theory that seeks spatio-physical bases of integration. For this purpose four broad objectives were identified, involving a review of theoretical frameworks for planning, the interplay of planning and participatory processes, capacity studies, and the nature of planning initiatives. Against this backdrop the articulation of a spatial planning theory was identified as the specific aim of the research. The objectives identified for this purpose focused on diagnosing the performance of participatory planning initiatives as instruments for spatial planning in a selected Africa country. For the global and specific aims of the research the resilience of formal or form-based planning was a central element. Therefore a hypothetical statement (null hypothesis) was considered necessary for the research. The hypothetical statement presumed that the perceived resilience of formal planning attributes in planning initiatives does not exist, thus requiring a test of hypotheses.

The following provisions were made for case studies. For iterative desktop studies of country profiles ten countries were identified. They are the DRC, Angola, Mali, Senegal, Kenya, Egypt, Nigeria, South Africa, Tanzania and Ethiopia. For perceptive desktop study of planning initiatives four initiatives were identified from the four cardinal points of Africa. They are the Cities Development Strategy (CDS) initiative in Mali (West Africa), the "Shorouk" initiative in Egypt (North Africa), the Opportunities and Obstacles to Development (O&OD) initiative in Tanzania (East Africa) and the Integrated Development Planning (IDP) initiative in South Africa (Southern Africa). For the empirical

case study the IDP initiative in South Africa was isolated. To this end the Tlokwe local municipality was identified as a case study area and Matlosana and Rustenburg local municipalities were identified as control locations. For desktop study of spatial models of space economy the extended metropolitan region (EMR) model of Kuala Lumpur was identified, and the polycentric model of The Netherlands was identified. For the study of growth management instruments the urban growth boundaries (UGB) in Portland, Oregon was identified. Details of the study methodology were provided and thus insight could be given into the world systems analysis which is intended to be used in the research.

The limitations of the research were identified which rested on the limited scope of case studies, especially the empirical studies. Data limitations were also identified as well as the increasing difficulty of securing the attention of respondents for planning studies. Lastly, the significance of the research, which runs in five directions, was identified followed by a graphic representation of the research report.

The next section deals with the review of literature in two parts: the theoretical framework and the analytical framework. The review of the ideological perspective of neo-liberalism and regional development theories as well as the iterative desktop study of country profile and perception desktop study of planning initiatives are major elements in this section.

## **SECTION B: APPLICATION OF THEORY TO THE REALITY WITHIN AFRICA AND ITS CONTEXT**

### **Chapter 2 Theoretical framework**

This chapter underlines trends in the perception of key terms that are critical in this discourse. These terms include urbanization, urban growth and the informal sector. Thereafter the ideological perspective of neo-liberalism and world systems theory will be reviewed. This deals with the prevailing development dispensation and its operational system, as well as the review of urban and regional development theories followed in tandem with conceptual explanations of urban environments. The concluding part elucidates spatial models for regional integration and growth management instruments.

#### **2.1 Introduction**

In the 1960s trends in the reform of planning instruments sought to replace product-oriented planning with process-oriented planning, a move that literarily seeks to liberalize planning decisions and to transit from statutory master planning to the preparation of non-statutory spatial frameworks in a decentralized democracy. The welfare state spatial planning lost favour under the influence of contradictions noticed at the instrumental level of planning.

These contradictions are linked with trends towards neo-liberalism. The rise of neo-liberalism in the 1980s and 1990s with its antagonism towards the welfare state and its adherence to individualism and choice presented a fundamental challenge for planning (Nadin & Stead, 2008:41). While policy-makers wished to curtail the role of planning in regional and district affairs in preference to market processes, they ironically, by specifying sustainability as the guiding statutory purpose for resource use, created the need for increased intervention and more comprehensive planning (Grundy, 1995:241). Planning had to address common challenges of global competition and sustainability. Each continent had to find its own synthesis of planning instruments. Reforms in Europe tended towards European Spatial Development Perspective (ESDP). America focused on smart growth processes, ASEAN countries tended towards extended metropolitan region (EMR) and growth triangle (GT) recipe. Africa is examining spatial development initiatives (SDIs) and development corridors (DCs) paradigm.

## **2.2 Definition of terms**

The trends in planning are influenced by two dominant terms; urbanization and urban growth. A third emerging term especially within regards to planning in developing countries is the informal sector. There is indication that the spatio-physical implications of these terms tend to be disregarded especially urban growth which is the function of contemporary urbanization and the informal sector.

### **2.2.1 Urbanization**

The antecedents of urbanization are not easy to summarize given the intricate nature of the universal concept in development processes. Trends, perspectives and patterns abound at global, regional and national levels. Location-specific disparities are not uncommon and wide-ranging causalities are being established progressively. Stereotyped impressions are commonplace and are seemingly becoming endemic, especially for the African sub-region essentially because of the absence of African urbanization theory which would have been built on the experiences of traditional space economy that obtained prior to slave trade period.

Geographers (see Okeke, 2002:9) the protagonists of urbanization studies, especially Russian geographers, tend to associate urbanization with spatial determinism which deals with distributive changes of the physical environment (Richardson, 1981). Gradually sociologists and economists started making incursions with their emphasis on non-physical space (Okeke, 2002:8-9). While sociologists emphasized demographic change, economists focused attention on resource utilization. More recently political scientists drew attention to changes in administrative functions as indicator for urbanization. Traditionally urban planners identified strongly with the perspective of geographers and emphasized changes in the physical environment. But this position has altered considerably under the influence of the activities of sociologists and economists (see Hoover & Giarratani, 1968). For some time now demographic and economic changes tend to dominate attention in urbanization studies but the need for sustainability and ecological change (climate change) driven by urbanization is gradually reinstating spatial issues under the framework of sprawl studies (see Song & Knaap, 2004:213-214).

### **2.2.2 Urban growth**

Urban growth on the other hand is increasingly being perceived in demographic terms. But urban growth is appreciated more as an attribute of urban form which is the function of the factors of urban (land use) distribution, urban growth patterns, and urban activity systems (Lozano, 1990). In this case urban growth is not limited to demographic increase but manifests other attributes conceived as qualitative, quantitative, structural, spatio-physical, marginal or non-marginal, smart, etc. Qualitative urban growth occurs when a new functional complex is added to a system such as the development of a new hospital complex in a city. It could be characterized as quantitative when existing complexes are expanded through the repetition of similar units or structures such as in the construction of new buildings at an existing hospital complex. Both growth patterns could be marginal, that is, proportionally small compared with the total organization or non-marginal, that is, proportionally large compared with the total organization.

Structural growth refers to growth of any complex structure that is associated with changes in form. Hence the concept of structural growth is defined as one "in which the aggregate which 'grows' consists of a complex structure of interrelated parts and in which the growth process involves change in the relationship of the parts" (Lozano, 1990:109). Its key variables are increases in physical size, an intensification of uses, accelerated economic development, or functional changes, new parts developing, existing parts aging, and relationships among parts being altered, amongst others. Hence size and form limit and determine one another (Lozano, 1990:109). Spatio-physical growth refers to the incidence of growth in urban activities such as retail sales and population with or without physical manifestations. There are other forms of growth such as building growth as in the redevelopment of an urban sector, and negative growth which is common in depressed areas where people and activities leave empty structures; this is a process involving regrouping, redistribution, reuse, recycling, and, in some cases, abandonment – in other words, internal change in the urban organization (Lozano, 1990:90).

### **2.2.3 The informal sector**

At the outset in the 1970s the informal sector elicited pessimistic attitudes in developing countries because of its survivalist outlook which is characterized by marginality and poverty. This was, however, a regional reaction because in developed countries where

the sector manifests an entrepreneurial outlook the reaction was more positive. The momentum of optimism towards the sector reached developing countries in the 1990s, however, without a corresponding transition of a survivalist outlook. This change elicited scholarly inputs on definitional issues, linkage issues, and government role in the sector. Owusu (2007) crystallized three positions, namely: reformists, institutionalist, and neo-Marxist. In his opinion the 'reformists see the informal sector as a potential solution to Africa's unemployment and slow growth requiring government support' (see ILO, 1972; Hart, 1973; Gerry, 1987); the institutionalist sees informality that is, informal sector operations as instinctive and creative responses to excessive and inappropriate regulations by the state (World Bank, 1989). The neo-Marxists are sceptical about the efficacy of the sector to benefit the poor, and maintain that the poverty of the informal sector results from its exploitative relationship with capitalist production and distribution. There are many variants of the neo-Marxist approaches, but the world systems approach with its focus on the linkages between proliferation of informality and global restructuring has large following (see Portes & Walton, 1981; Castells & Portes, 1989). At the moment institutionalist perspectives of the informal sector are very influential in policy circles and have been incorporated into the work of neo-liberal economists, policy advisors and non-governmental organizations, partly because it conforms to the global push for neoliberal and supply-side economics (World Bank, 1989:10). At the moment attitudes towards the sector oscillate from pessimism to optimism depending on the mode of perception.

From a planning perspective an appropriate definition must appreciate the wider picture that exists beyond the survivalist and/or entrepreneurial theory of the informal sector and their interaction with the formal sector. This picture has to do with securing a sustainable model of the urban region for urban economic systems, although conceptually the sector seems to be an organic neo-liberal economic structure that operates beyond the limits of spatial and statutory regulatory frameworks. Nevertheless the informal sector is perceived as a livelihood support system that is subsumed in the natural processes of urban regional development. This perception operates with the maxim that any activity that occupies space requires a planning permit failing which that activity is trading within the realm of informality. The in-formalization of human systems is manifest worldwide and this has caught up with planning instruments with the inception of neo-liberal planning theory.

## 2.3 Dynamics of development ideologies

### 2.3.1 Traditional perspectives in Africa

Most traditional communities in Africa have their way of life expressed in their worldview and religion, which marks them as unique societies. As there are many societies, so there are many philosophies. The *ujamaa* philosophy based on socialist principles in East Africa, the *ubuntu* ideology based on survivalist structures (i.e. the extended family) in Southern Africa, and the '*omenani*' philosophy built on spirituality amongst the Ibos in South-Eastern Nigeria, West Africa are notable examples. It is not clear what transpired in North Africa. The '*shorouk*' idea representing 'sunrise' in Arabic which is embedded in community development initiatives is noted. But it is a relatively new phenomenon, which was initiated in 1994 as development strategy that relies on local leadership, youths and women as well as governmental assistance to development (El Mahdi, 2002 p.26). In this discourse attention is focused on the philosophies in sub-Saharan Africa.

'*Omenani*' is the philosophy of Ibo socialism, which is tied-up with their cosmology therefore their eco-centric use of environment. '*Omenani*' is yet another sermon on morality and spirituality in which transcendentalism is the code of conduct for life and the foundation for value systems. '*Omenani*' determined settlement patterns in a manner that is reminiscent of the garden city Ernest Burgess theorized in 1925. *Omenani* permits two categories of settlements: the home towns and market towns. Spatially, market towns located at the interface of neighbouring home towns. This spatial definition informs the space economy within which the functional flow of trade relations is organized in time and space by local institutions to avoid overlap. The sovereignty of the home towns and its sustained focus on transcendental ends is protected as it performs its resource management functions.

The *ujamaa* ideology in East Africa traditionally is a mindset determined by socialist values. Essentially, it describes African socialism symbolized with the extended family system in much the same way the industrial revolution and class distinction founded European socialism. The Tanzanian government translated *ujamaa* into a political-economic management model in 1967 when it became a development ideology for the delivery of African socialism. Naturally, the Tanzanian *ujamaa* model is opposed to capitalism, which seeks to build a happy society on the basis of the exploitation of man by man; and it is equally opposed to doctrinaire socialism which



seeks to build its happy society on a philosophy of inevitable conflict between man and man (Nyerere, 1962). Africa socialism, which *ujamaa* represents is a traditional heritage. After being modeled as a management tool, some argue that *ujamaa* is not just a development theory but an ideology for the reconstruction of an imaginary relationship of individuals at the level of the state (Cornelli, 2012 p.24).

*Ujamaa* as a concept tilts heavily towards socialism, brotherhood, and family hood. The core assumption of the concept is human equality and its primary principles (practices) are: love, classless society, everybody is a worker, and wealth is shared. Thus, *Ujamaa* is an expression of human equality, popular democracy, state ownership of property, self-reliance and freedom (Cornelli, 2012 p.51). It is inferred from literature that these principles, which informed the *ujamaa* concept, are reactions to slave trade, colonialism, disappearance of African institutional system, development of individualism and selfishness, poverty, dependence, etc.

*Ujamaa* is an ideology for the following reasons: it represents the imaginary relationship of individuals to their real condition of existence, it had functional necessity, it is required to transform the lives of the people, it had material existence, and it interpolates individuals as subjects (Cornelli, 2012 p.161). As an ideology, *ujamaa* is expected to perform integrative functions for a society that is segregated along tribal, religious and race lines. Also transformative functions are anticipated to minimize class domination. Apparently, it was not recognized that *ujamaa* had planning functions to perform. This function is probably one of the most critical functions of a development ideology that seldom receives attention in the African context. But planning concretizes a development ideology in space.. The villagization program of *ujamaa* ideology and the coercion of people into the villages suggest the oversight of an *ujamaa* planning theory as basic requirement to consolidate the ideology in space.

The liquidation of *ujamaa* villages at the approach of neo-liberalism remarkably expressed the collapse of *Ujamaa* ideology. It is not for fun that neo-liberalism approached with neo-liberal planning theory. By mid-1980, following the change in leadership, Tanzania had embraced neo-liberalism and signed agreement with the World Bank and IMF for structural adjustment program (SAP). Tanzania moved from socialist to capitalist state and adopted neo-liberal planning by induction. It is deduced that socialism prompted by *Ujamaa* was a victim of systemic undermining and this is

linked with Tanzanian government reliance on external funding. The disposition of Tanzanian government towards external funding provided capitalism the leeway to fight Tanzanian socialism. This fight was done with financial mechanisms. Apparently, *ujamaa* collapsed but its tenets are remarkably resilient and are still applied as yardstick for evaluating policies.

*Ubuntu*, on the other hand, expresses African communalism based on approved code of conduct, almost similar to the *Omenani* of the Ibo race although *Omenani* is emphatic on spirituality while *ubuntu* emphasizes common good and politics. The focus of *ubuntu* is understood for a society that is exposed to socialization into racism. *Ubuntu* philosophy holds that racism is socially constructed; it is not innate. Hence, *ubuntu* principles rest on spiritual rearmament, selflessness, and honesty, etc, which are intended to make the people believe in themselves. It presupposes people with a sense of trounce but determined to survive collectively. The impression is perceived that *ubuntu* is a defense mechanism where strength is found in cohesion and hospitality. This attribute is at the background of the quality of being human which *ubuntu* preaches. *Ubuntu* presents the doctrine of owing our selfhood to others.

The stimulants for *ubuntu* limit the *ubuntu* ideology to character molding and acting as moral boosting therapy. Its links and relations with growing the economy and the use of space are not clear. This is why its status as a development ideology is called to question. It is difficult for instance to relate *ubuntu* to neo-liberalism. Perhaps it could be said that it is opposed to private profitability preached by neo-liberalism. But this is only a presupposition because there are no explicit tenets of *ubuntu* that opposes private profitability. Moreover, *ubuntu* neither harbors any planning philosophy nor is it known to impact settlement development patterns. Its influence in considering development ideology for Africa in the context of 21<sup>st</sup> century global economy tends to be inevitably limited. But it can inform the outlook of neo-mercantile development ideology as a process of socialization most likely to produce the kind of selfless leadership required for change in African development.

### **2.3.2 International perspectives**

The foremost international development ideology worldwide is arguably mercantilism. As a trade methodology, which emerged in the 15<sup>th</sup> century, mercantilism has very strong historical antecedence in the economic growth of wide ranging civilizations. Along the line, it diffused with worldviews of earlier epoch, which cradled traditional civilizations, to grow modern economies. Mercantilism is therefore not a novelty in the development of national economies, neither indeed is its new outlook neo-mercantilism in global regionalism. Both concepts are usually not publicly acknowledged by public policy makers because the concepts are link with protectionism, which negates trade liberalization and by implication globalization (Raza, 2007 p.1). Ironically, in practical terms, they are both functional and currently responsible for bilateral trade relation issues that are rocking developed countries. Sometime in the 1980s, mercantilism lost favour to neo-liberalism. By the turn of the century, the economic failures recorded in the context of neo-liberalism tended to redirect attention subtly to mercantilism but in the preferred mould of 'neo-mercantilism' as de-facto development ideology for the 21<sup>st</sup> century.

In this sub-section, as an entry point to address the dynamics identified in mercantilism, the tenets of mercantilism and its application in Africa, including its impacts, will be examined retrospectively. Thereafter, the rationality of ideological change that tended towards neo-liberalism and its impact on Africa will be shared. The incidence of Euro-American mercantilism marked with the instrumentality of neo-liberal planning and legal reforms such as Africa Growth and Opportunity Act (AGOA) on trade relations are examined. Since the turn of the century, ideological change to neo-mercantilism is the vogue in the trade policies of the international community. The theoretical framework of this change will be examined and relationships established.

The meaning of the term 'mercantilism' is embroiled in long debates concerning how economic historians and social scientists perceive it (Coleman, 1969). Economic historians apply discrete, time bound definitions while social scientists prefer dynamic definitions that are time dependent, which identify the salient features of the term as it spans through historic systems. Both approaches are relevant in planning studies and they apply as fortuitous circumstance permits. Mercantilism is the political economic philosophy of 16th through 18th centuries characterized by the desire of nations to enrich them-selves through the control of trade. It emerged as a system for managing

economic growth through international trade as feudalism became incapable of regulating the new methods of production and distribution. It was a form of merchant capitalism relying on protectionism. Hence, the concept of mercantilism covers protectionist policies to promote national economic development (Hettne, 2014 p.210). European nation-states used it to enrich their own countries by encouraging exports and limiting imports. This implied the extension of market-space economy.

The term 'mercantilism' denotes the principles of the mercantilist system, sometimes understood as the identification of wealth with money: but more generally, the belief that the economic welfare of the state can only be secured by government regulation of a nationalist character (Hettne, 2014). Therefore, the mercantilist logic is fundamentally political. The point is not necessarily the maximization of economic development but the optimization of political control, i.e. optimization in the sense that the marginal utility of administrative controls must not fall below zero (Hettne, 2014 p.207). The protection of the state, as far as economic processes are concerned, is the essence of mercantilism. So mercantilism is concerned with statism and stateness where the former refers to the instrumental strength of the state and the later the integrative strength of the nation state thus signaling distributional justice.

There are different traditions of mercantilism as there are national political economies in Europe. Very few European countries actually developed in accordance with the way the World Bank and IMF now recommend the underdeveloped countries to develop. Rather they followed, in varying degree, the old Listian formula, i.e. they were essentially mercantilists (Hettne, 2014 p.212). Africa was at the receiving end of European mercantilism. The European mercantilist operations reworked the space economy and created capitalism in Africa in the first place. The resultant imperial space economy ushered colonization, which administered 20<sup>th</sup> century European mercantilism. Africa was not exposed to European mercantilism only; the continent was also exposed to Arab mercantilism. But European mercantilism was peculiar because it sought for controls in trade relations unlike Arab mercantilism, which simply focused on fair trade although Arab mercantilism had expansionist religious objectives. Nevertheless, the imperial system entrenched with several decades of European mercantilism ultimately extroverted the economy of African countries.

Classic mercantilism lost favor when the rising bourgeoisie grew tired of the limitations mercantilism placed on their actions. Liberating themselves required them to secure the policy of limited state action, which was termed 'laissez-faire'. In the 1970s the bourgeoisie turned against post-war social Keynesianism because, as with mercantilism, it was limiting their actions and they embraced the ideas of Milton Friedman. Following Friedman's Monetarist ideas, state action remained but very much in the background skewing the market in favour of the wealthy (Anarcho, 2005). The resultant predictable and predicted massive economic collapse, which empowered the wealthy, caused social Keynesianism to be replaced with neo-liberalism as the de facto state principle. Neo-liberalism represented a combination of "laissez-faire" and military Keynesianism. Its rationale is therefore not pro-poor as its practice is projected to portray. Neo-liberalism essentially introduced another form of protectionism that is linked with the so called NAIRU theory (Anarcho, 2005). The NAIRU (Non-accelerating inflation rate of unemployment) theory simply means the unemployment rate below which the inflation rate begins to rise. The NAIRU was used to justify economic policies designed to weaken the power of labour and strengthen that of the bosses (Anarcho, 2005). Therefore trade relations are still premised on the wealth accumulation principles of mercantilism and state intervention redefined to reflect the focus on private profitability. The primary agenda is to establish a new 'post-Fordist' accumulation dynamic, which has links with globalization in agriculture (Mark & Potter, 2004 p.1). In other words, agriculture enjoys relatively higher measure of protection regardless the hegemony of neo-liberal principles. With this operational principle, weak states are vulnerable to dependency and marginalization.

Since the turn of the century, mercantilism remains resilient in neo-liberal context. This has had serious adverse impacts on African economy. The space economy manifest deepening distortions and urbanization trends manifest introverted patterns which are resolved as epistemologies of European mercantilism. The outcome of urban primacy is commonplace in which the modern economic sector disconnects with the local economy (see Hicks, 1998). Lately the in-formalization of African cities is manifest as induced population mobility generates informal labour force into the urban area. This is largely responsible for the in-formalization of human systems. The population dynamics accounts for rapid urbanization, which provides the rationale to jettison formal planning vis-à-vis master planning. The alternative planning procedure, which neo-liberal planning

theory provides with its doctrine of informality in planning, consolidates the informalization process. Meanwhile, the receptive attitude towards the informal sector provides the workforce for marketing foreign goods in Africa. In essence, consumer economy is continuing while strategic efforts are underway in trade relations to sustain the informal sector and deliver 21<sup>st</sup> century Euro-American mercantilism in Africa. The African scholars who are receptive attitude to the informal sector does not seem to share this insight.

The mindset of policy makers is framed to accept that the informal sector will always exist (Gerxhani, 2004:294). But the existence of the sector is not nearly as important as to how it exists under the combined influence of endogenous and exogenous policy frameworks contained for instance in trade liberalization, Africa Growth and Opportunity Act (AGOA), and wage subsidies. In a study of formal-informal economy linkages and employment in South Africa Davies and Thurlow (2009) established inter alia that trade liberalization reduces national employment, increases formal employment, hurts informal producers and favors informal traders who benefit from lower import prices. In other words trade liberalization encourages traders rather than producers. The study also indicates that wage subsidies on low-skilled formal workers increase national employment, but hurts informal producers by heightening competition in domestic produce market. The tendency is for the modern informal sector to go down while the unproductive traditional (survivalist) informal sector remain and probably increase.

The AGOA concept, which derives from trade liberalization, purports to provide a reverse trend. In the first half of 2001 as American imports grew 7 per cent and exports jumped 35 per cent American industry reported new sourcing contracts with African suppliers and many inquiries from African firms seeking joint ventures or US expertise and inputs. But does this vindicate the intent of AGOA to grow African economy through robust trade relations with American companies. The answer is probably 'not'. Meanwhile as wage subsidies create attraction for elusive formal jobs and in the process generate exodus of job seekers to urban areas where they inevitably engage in informal retail trade activities.

In the past three decades, the incidence of the so called New Regionalism seen as extended nationalism altered the scale of space for mercantilism (see Seers, 1983 cited in Hettne 2014 p.223). Mercantilism seized to act on national space and extended to act

on global space. Hence, the prefix 'neo' was added to mercantilism due to change in emphasis from classical mercantilism on military development, to economic development, and its acceptance of a greater level of market determination of prices internally than was true of classical mercantilism. Neo-mercantilism is founded on the control of capital movement and discouraging of domestic consumption as a means of increasing foreign reserves and promoting capital development. This involves protectionism on a host of levels: both protection of domestic producers, discouraging of consumer imports, structural barriers to prevent entry of foreign companies into domestic markets, manipulation of the currency value against foreign currencies and limitations on foreign ownership of domestic corporations. The purpose is to develop export markets to developed countries, and selectively acquire strategic capital, while keeping ownership of the asset base in domestic hands. It therefore suggests new form of protectionism that is qualitatively different from the traditional mercantilist concern with state building and national power, i.e. the pursuit of statism.

Neo-mercantilism is a transnational phenomenon. It transcends the nation-state logic in arguing for a segmented world system, consisting of self-sufficient blocs. With this outlook, it deals with the modern industrial world as opposed to the preindustrial Revolution version of mercantilism. Its protagonists do not believe in the viability of closed national economies in the present stage of the development of the world economy. Therefore, neo-mercantilism as a concept is seen as a policy regime that encourages exports, discourages imports, control capital movement, and centralizes currency decisions in the hands of a central government. This means the pursuit of economic policies and institutional arrangements, which see net external surpluses as a crucial source of profits. Furthermore, neo-mercantilism is an economic theory that maximizes the benefits to and interests of a country such as higher prices for goods traded abroad, price stability, stability of supply, and expansion of exports with concomitant reduction of imports.

Neo-mercantilists believe in the regionalization of the world into more or less self sufficient blocs where political stability and social welfare are major concerns. Therefore the aim and objectives of neo-mercantilist policies is to increase the level of foreign reserves held by government; it allows more effective monetary policy and fiscal policy. This is generally believed to come at the cost of lower standards of living than an open economy would bring at the same time, but offers the advantages to the government in

question of having greater autonomy and control. Its policy recommendations are generally protectionist measures in the form of high tariffs and other import restrictions to protect domestic industries combined with government intervention to promote industrial growth, especially manufacturing. China, Japan and Singapore are described as neo-mercantilist.

Market economists have argued the pros and cons of protectionism. Nevertheless, the language of neo-mercantilist policies repeats the claims of earlier centuries that protective measures benefit the nation as a whole and that governmental intervention secures the 'wealth of the nation' for future generations. Indeed, the historical evidence leads any unbiased researcher to conclude that mercantilism has generally been successful in growing economic development. Free-trade advocates have failed to muster counter-arguments for why Britain fell behind the United States and Germany by 1880 after having abandoned mercantilism in favor of free-trade in the middle 19th century.

## **2.4 Spatial planning and development theories**

This sub-section elucidates three theory orientations: First, ideological planning theory based on neo-liberal perspective; second, analytical theory used to appraise spatial development; and third regional development theories.

### **2.4.1 Neo-liberal planning theory**

The historical antecedence of neo-liberalism has the 1930s, 1960s and 1980s as critical turning points. Following the Great Depression of the 1930s and prompted by the challenge to liberalism led by an economist named John Maynard Keynes (Martinez & García, 2000) neo-liberalism emerged and attempted to chart a midway between the conflicting philosophies of classical liberalism and collectivist central planning. In the sixties, usage of the term "neoliberal" heavily declined. When the term was reintroduced in the 1980s in connection with Pinochet's regime the usage of the term neo-liberalism had shifted. It had not only become a term with negative connotations employed principally by critics of market reform, but it also had shifted in meaning from a moderate form of liberalism to a more radical and economically libertarian set of ideas, reminiscent



of the economic model developed by the "Chicago school" economists in the 1960s and 1970s.

Neo-liberalism in principle applies market metaphor in the perception of the world. But in practice it is more of an attitude than an economic reality. The term is used in several senses: as a development model it refers to the rejection of structuralist economics in favour of the Washington Consensus; as an ideology it is used to denote a conception of freedom as an overarching social value associated with reducing state functions to those of a minimal state; and finally as an academic paradigm it is closely related to neoclassical economic theory. It can assume extreme forms including cyber-liberalism which overlaps with semi-religious beliefs in the interconnectedness of the cosmos.

The general ethical precept of neo-liberalism is to act in conformity with market forces. Hence Martinez and García (2000) identified the principles of neo-liberalism to include: the rule of the market, cutting public expenditure for social services, deregulation, privatization, and eliminating the concept of "the public good" or "community". By 1989 the ideology of neo-liberalism was enshrined as the economic orthodoxy of the world. In other words it assumed a hegemonic outlook in spite of the issues it has with crony capitalism.

Neo-liberalism is certainly a form of free-market neoclassical economic theory, but it is quite difficult to pin it down further than that (Mohammadzadeh, 2011). In a conscious attempt to dissociate from critical literature on neo-liberalism Thorsen and Lie (without date) in their article 'what is Neo-liberalism' explored the definition of neo-liberalism. They did not go beyond expounding free enterprise with minimal state intervention. They argued that free enterprise in their view can be obtained under the auspices of autocrats as well as within liberal democracies. Meanwhile there are indications in literature that neo-liberalism is a form of neo-colonization that has nothing to do with liberalism.

The neoliberal urban vision was adopted, without debate, by many city governments in the 1990s. Urban planning in the neo-liberal era has to contend with rollback government intervention and rollout market mechanisms and competition. Neo-liberalism dictates these preconditions in an attempt to combine classical liberalism and the theory of growth contained in Keynesianism – controlled liberalization. A matrix of neo-liberal policy settings is presented in **Table 2.1** below to represent the structure of neo-liberal

theory that informs paradigm shifts in urban planning in contemporary political economies. This explains the ideological foundation for framework planning which discourages detailed provisions, leaving such details to neo-liberals to determine in line with their philosophy of market metaphor.

**Table 2.1: Matrix of neo-liberal theory from planning perspective with political implications**

	MATRIX		CRITERIA	POLITICAL IMPLICATIONS
	OBJECTIVES	OPTIONS		
<b>POLICY FRAMEWORK</b>	<b>Government Function</b>	Decentralization Depoliticalization Agencification	· Reduced central government planning	· Greater electoral accountability · Stronger role for local clientele relationships · Fiscally constrained local governments
			· Limited central government control of local government planning	
			· Contracting out of planning functions	
			· Central government off-loads unfunded risks and responsibilities to local governments	
	<b>Government policy focus</b>	Liberalization	· Policy solutions borrowed or adapted across jurisdictional boundaries	· Reduced social cohesion · Increased social exclusion
			· Focus on innovation and competitiveness rather than on full employment and planning	
			· Social wage is seen as a cost of production rather than as a means of redistribution to maintain social cohesion	
	<b>Economic management</b>	Financialization Fiscal conservatism	· Welfare to work to reduce welfare Expenditure	· Fiscally constrained governments · Infrastructure and services failures · Price hikes · Cross-subsidies are increased · Rent seeking by the private sector
			· Less maintenance of infrastructure and services	
			· Limited provision of infrastructure and services	
			· Greater private sector provision	
			· Reduced developer contributions in new growth areas	
			· Reduced focus on urban renewal projects	
	<b>Government Regulation</b>	Deregulation	· Focus on cost recovery and user Pays	· Less importance of rules, processes and expert jurisdictions · Less concern for development externalities · Stronger role for the private sector in determining the form and location of development · Potential impact on the spatial cohesion of cities · Reduced oversight and increased risk of corruption · Risk of regulatory capture
			· Removal of comprehensive master planning and collaborative planning policies and practices	
			· Simplified planning regulation	
· Plans that are more flexible				
· Plans that give less direction to local government				
· Plans that give more certainty and predictability to developers				
· Plans with fewer directives and more negative regulation				
· Plans that specifically integrate central and local government priorities				
		· Enabling regulations for major or mega		

		<ul style="list-style-type: none"> <li>projects</li> <li>· Use of reserved planning powers (Ministerial call ins and directions) to facilitate projects</li> <li>· Speeding up of development assessment, public inquiry and plan preparation processes</li> </ul>	
<b>Central and Local government Relationship</b>	Growthism Entrepreneurism	<ul style="list-style-type: none"> <li>· Local governments focus on place branding, marketing, promotion and competition rather than place making</li> <li>· Local governments focus on economic growth projects generally in central city locations at the expense of investment elsewhere</li> <li>· Politicians and planners gain financial acumen and act as urban entrepreneurs</li> <li>· Governments mimic corporate style and logic</li> <li>· Public services seen as ineffective and wasteful and a drain on entrepreneurial activity</li> </ul>	<ul style="list-style-type: none"> <li>· Local governments forced to compete with each other for economic growth</li> <li>· Reduction in public services</li> </ul>
<b>Government and private sector relationships</b>	Marketization and Privatization	<ul style="list-style-type: none"> <li>· Rise of the intermediate services sector (professional advisers)</li> <li>· Developer led development rather than plan led development</li> <li>· Developers takeover plan making</li> <li>· Developers are stakeholders in major public infrastructure projects</li> <li>· Public assets privatized or divested</li> <li>· Compulsory purchase of private land for public benefit by private landholders</li> <li>· Business improvement districts (US) where revenue from a district is spent in a district</li> <li>· Privatized planning regulation (for example private certification)</li> <li>· Limited public review of public infrastructure projects (focus is on selling the project not evaluating the project)</li> <li>· Private sector involvement in financing and operating infrastructure</li> <li>· Competitive bidding for urban renewal and infrastructure projects</li> <li>· Private sector provision of rental housing rather than public housing</li> <li>· Privatization of public spaces (public plazas; pavements; urban parks; government land and buildings)</li> <li>· Privately governed and secured</li> </ul>	<ul style="list-style-type: none"> <li>· Loss of citizen entitlements</li> <li>· Excess profits</li> <li>· Price hikes</li> <li>· Asset stripping</li> <li>· The poor driven to the worst located areas</li> <li>· Profit seeking by private contractors increases public sector expenses</li> </ul>

			neighbourhoods through management (for example gated communities, community interest developments and Homeowners Associations in the US) and passive design (for example master planned residential estates)	
	<b>Government and civil society relationship</b>	Individualism and Clientelism/ Consumerism	<ul style="list-style-type: none"> <li>· Corporate style advisory boards replace community based consultative groups· Focus on private hospitals and private health insurance rather than public hospitals</li> <li>· Focus on owner occupied and rental housing rather than public housing, community houses and housing associations</li> <li>· Focus on private schools rather than public schools, TAFE and other public educational facilities</li> <li>· Limited investment in social infrastructure to address areas of social exclusion</li> </ul>	<ul style="list-style-type: none"> <li>· Downsizing of services</li> <li>· Limited access to shelter and services for the poorest</li> <li>· Rise in the informality in cities</li> </ul>

Source: Own construction 2013 (Adapted from: Wright, I. & Cleary, S. (No Year) Are we all neoliberals now? Urban planning in a neoliberal era. Available at: [www.herbertgeer.co.au](http://www.herbertgeer.co.au) Date of access: 2<sup>nd</sup> July 2013.

The concept of neo-liberal planning is built into the framework of neo-liberal theory set out in **Table 2.1** above. However, the phrase 'neo-liberal planning' is a paradox built on ideological contradictions. This is the inevitable conclusion of critical literature which holds that planning is abhorrent in neo-liberal ideology and combining them in one phrase 'neoliberal-planning' is discomfited, implying that planning "beyond the profit principle has reached its limits in the 21st century" (Baeten, 2012:206). Mohammadzadeh (2011) summarized neo-liberal planning as market-oriented planning practice, planning without plan. Mohammadzadeh further indicates that 'this model has largely reduced and misread planning concepts and techniques by merely creating greater financial benefit, regardless of the side effects of its practice in respect of social environmental impacts'. Neo-liberal planning facilitates market forces in the city. In other words it is reduced to communication in line with building a neo-liberal society in which public interest is an illusion. Indeed neo-liberalism attacks planning practice directly. It constrains what planners do and what they think they can do. Planners confront neo-liberalism not only in practice but also in theory. Many courses in planning schools today revolve around the assumptions and abstractions of neoclassical economics (Goonewardena, 2007).

Baeten (2012) provided a compendium of critical views on the concept of neo-liberal planning. Among them neo-liberal planning is portrayed as seeking growth that is individualistic and not collective hence it disconnects with the traditional growth principles of form and function in planning and uses Darwinian survival logic to resort to economic reductionism (Baeten, 2012:209), to suggest planning subjectivity and this draws from the mind-set of freedom and not equity, to provide market-space economy with considerable impetus over land use management, and so on. The resultant neo-liberal urbanism compelled geographers and planners to generate alternative concepts such as the 'just city' concept, the 'right to city' logic, and perhaps the 'good city' concept, targeted to break the neo-liberal hegemonic outlook of neo-liberal ideology in city development - see Leys (cited in Peck et al., 2009).

Summarily, neo-liberalism is contestable. The neo-liberal planning it supports tends to have conceptual problems given its market-driven project development perspective. So far it is noted that the entry point for neo-liberal transformations is crisis locations, for instance at the inception of majority rule in South Africa, in Montreal during the de-industrialization period, in Russia at the fall of communism, in Argentina when their

economy collapsed into chaos between 1999-2002, in Nigeria during economic recession in the 1980s, etc.

#### **2.4.2 World system theory**

The world-system theory has been closely associated with Immanuel Wallerstein. This theory is a macro-sociological perspective that seeks to explain the dynamics of the “capitalist world economy” as a “total social system” (Martínez-Vela, 2001). Wallerstein used three major intellectual building blocks to expound the theory, namely the Annals School, Marx, and dependence theory. Because it placed a lot of emphasis on development and unequal opportunities across nations the theory is in many ways an adaptation of dependency theory (Chirot & Hall, 1982). However, it picked its historical approach from the *Annales* School, whose major representative is Fernand Braudel. The impact of Marx bears more on Wallerstein’s ambition to revise Marxism itself. Since it is from a dependency theory perspective that many contemporary critiques of global capitalism come from, the theory is embraced by development theorists and practitioners.

What is a world-system? Martínez-Vela (2001) indicates that a world-system is what Wallerstein terms a “world economy”, integrated through the market rather than a political centre, in which two or more regions are interdependent with respect to necessities like food, fuel, and protection, and two or more polities compete for domination without the emergence of one single centre forever (Goldfrank, 2000). Initially in 1974 Wallerstein defined the world-system as a ‘multicultural territorial division of labour in which the production and exchange of basic goods and raw material is necessary for the everyday life of its inhabitants’. Two years later Wallerstein (cited in Martínez-Vela, 2001:3) explained the world-system to mean:

A social system, one that has boundaries, structures, member groups, rules of legitimation, and coherence. Its life is made up of the conflicting forces which hold it together by tension and tear it apart as each group seeks eternally to remould it to its advantage. It has the characteristics of an organism, in that it has a life-span over which its characteristics change in some respect and remain stable in others...Life within it is largely self-contained, and the dynamics of its development are largely internal.

The concepts of world-system also borrowed from the Hungarian economic anthropologist Karl Polanyi who identified three modes of economic organizations: reciprocity, redistribution and the market (Wallerstein, 2004). The reciprocity mode

creates social bond and begets 'Mini-systems', the redistribution mode creates group solidarity through central control and begets 'World-empires' while the third category, self-regulating market exchange conducted by independent action, related by contract, profitability alone to determine what kinds of action survive creates individualistic "accumulation without end" and begets 'World-economies'. The three outcomes – Mini-systems, World empires, and World economies - are historical systems. The mini-system has within it a complete division of labour and a single cultural framework as found in traditional societies.

The world systems are units with a single division of labour and multiple cultural systems, the world-empires have a common political system – for example, the Roman Empire- whereas world-economies do not have a common system –for example, the world today (Wallerstein, 2004). Given the aforementioned insight Wallerstein (2004) further defines the term world-system thus:

... it is a spatial/temporal zone which cut across many political and cultural units - including different political states and peoples - that represents an integrated zone of activity and institutions which obey certain systemic rules.

Note that gradually the definition of World-system is edging closer to spatial coverage in a scenario where mini-systems and world-empires recede in significance in theory because in reality reciprocal relations underpinned by networking amongst core countries persists (see Van Hamme & Pion, 2012). However, and remarkably, Wallerstein indicates that world economies have historically been unstable, leading either towards disintegration or conquest by one group and, hence, transformation into a world-empire. He further indicates that only a capitalist world-economy can survived for such a long time as it is actually doing.

In a World-systems research perspective, the political state is replaced by historical systems. World-systems research is largely qualitative; however, it is conducted in an integrated disciplinary context, which in social science literature is referred to as idiographic methodologies. The world-system approach explains a strong tendency towards spatial polarization at the world scale and its persistence over time (Van Hamme & Pion, 2012:67). By using methods in line with the world-system and dependence theories economic flows– trade and foreign direct investment – still deeply separate core and peripheries (Van Hamme & Pion, 2012:65).



Core and periphery are not only characterized by their level of development but also by unbalanced relationships, which in turn explain unequal development and its persistence over time; indeed, the core has imposed successive economic specializations - in raw materials - to the periphery for the needs of its own accumulation and this has introduced a complex dialectic between endogenous capacity of development and external relations (Van Hamme & Pion, 2012:3). On account of this development perhaps Wallerstein (cited in Van Hamme & Pion, 2012:67) introduced the concept of 'semi-periphery' to break the dualistic division. According to Steiber (1979:24) 'the semi-periphery shares some of the benefits accruing to core status by their exploitation of the periphery, but they are still exploited, in turn, by the core'.

Evaluating core-periphery relations highlights the dependency theory. This theory is 'a neo-Marxist explanation of development processes, popular in the developing world among whose figures is Fernando Henrique Cardoso, a Brazilian (Martinez-Vela, 2001:3). The core-periphery concept explains the functioning of the dependency theory: inequality borne out of necessity in established symbiotic relations between economic regions somehow skewed in favour of the dominant region. According to Dependency theory as represented by Wallerstein (1976) the structure of Third-World societies and their cities was primarily a result of the manner in which they had been integrated into an international capitalist system from the 16th century, and the continuing pattern of integration which was responsible for a particular socio-economic formation - peripheral capitalism which is very different from the capitalist mode of production in the developed capitalist countries. In other words, their economies are located at the periphery of the international capitalism. Their economies are structured to meet the needs of the capitalist system.

### **2.4.3 Modern regional development theories**

This sub-section provides insight into the concept of region and regional integration. Subsequently it reviews contributions of new knowledge in regional development theories. The choice of theories to be investigated stands on the existing protocol established by Casey J. Dawkins (2003) in his overview of literature on regional economic growth. Dawkins (2003:132) in his words "reviewed seminal works and comprehensive overviews of the most important theoretical concepts". This accepts his approach and adopts the same set of regional theories for investigation – however, from

a different intellectual perspective. Therefore his work is the primary referral document used in this review. The links and relationships between these theories will be examined with the intent to identify insights that have the potential to inform further contributions towards a general theory of integrated regional development.

#### **2.4.3.1 The concept of the region and regional (economic) integration**

The objective concept of regions crystallized following the development of trade and growth theories in the 1930s. Within the objective concept three categories of regions are recognized, namely, nodal (formal) regions, functional regions, and planning regions. The formal region is further classified into 'physical formal region' and 'economic formal region'. The formal region is the arena for new urbanism, especially a physical formal region that is linked with the concept of geographical determinism. This concept initiates lots of constraints and raises lots of concern for spatial planning. The economic formal region that represents types of industries or agriculture and the functional region sometimes referred to as nodal or polarized region are critical units for comprehending the 'city-region' in spatial planning. The functional region is understood to be a geographical area composed of heterogeneous and interdependent units. These units are the economic formal regions, cities, towns and villages. They display a functional coherence revealed in the form of flow of socio-economic activities. The functional region is preferably delineated through flow analysis. Typical examples include the polycentric region and extended metropolitan region.

The planning region comprises formal or functional regions or a combination of both. The planning region covers a wide geographical area and is defined as a "region that must be large enough to take investment decisions of an economic size, must be able to supply its own industry with the necessary labour, should have a homogeneous economic structure, contain at least one growth point and have a common approach to and awareness of its problems" (Glasson, 1984).

Several other perceptions of regions exist. Some of these perceptions according to Dawkins, 2003:134 are in terms of "degree of internal homogeneity with respect to some factor (Richardson, 1979), the size of a labour market, income, "sectoral specialization of labour (e.g., manufacturing-based regions versus service sector regions)" leading to the concept of homogeneous nations, "natural resource, ecosystem, or other geographic

boundaries”, and historically determined interdependencies between natural resource systems and human populations.

On the other hand regional integration indicates two perspectives: economic and spatial integration. Mostly what is discussed extensively in literature is regional economic integration. Literature on regional spatial integration is a more recent phenomenon that emerged in the 1980s with the incidence of territorial planning subsumed in ESDP initiatives in Europe which are yet to fully crystallize. Regional economic integration is largely focused on trade agreements, collaborations and determined by the willingness and commitment of independent sovereign states to share their sovereignty. More or less it has become a political economy initiative invariably built on trade liberalization and organized either on a supranational or an intergovernmental decision-making institutional order, or a combination of both (see Van Langenhove & Costea, 2007).

Overall, international trade is the basis for regional economic integration and countries are units of operation. Trade integration is the subject matter which is sought in neoclassic terms that presumes the convergence hypothesis drawn from either the Heckscher-Ohlin-Samuelson (HOS) theorem or the neoclassical growth model. Participating countries commit to measures of mutual co-existence, a provision that carries a dynamic convergence hypothesis although it is not clear how it works in the context of neoclassical trade theories. In the African context divergent economic indicators indict the convergence hypothesis. The core-periphery paradigm of world systems theory plays out instead, although by admitting economic growth as a path-dependent evolution the African experience can be explained with structuralist theories. Most African countries have been known to have engaged in structural adjustment programmes since the 1980s.

#### **2.4.3.2 Review of regional development theories (1930s – since 1990s)**

Regional development theories underwent four phases of evolution within the period under review. The phases include: classic location theories (1930s – 1960s), structural theories (1960s – 1970s), institutional theories (1970s – 1990s), and neoclassical theories (since the 1990s). Each phase comprises a set of theories triggered by an original contribution. Several authors contribute cumulatively in diverse directions however within the theoretical perspective(s) that identify each phase.

Classical location theories were the forerunners of regional development theories. The location theories were developed in the 1930s principally by Alfred Weber (1929) and Walter Christaller (1933) who originated location theory and central place theory respectively. Other contributions polarized into two perspectives. Those that focused on regional economic convergence hypothesis include the export base theory and exogenous growth theory, and those that focus on regional economic divergence hypothesis include cumulative causation theory and growth pole theory.

Overall the development of growth pole theories seems to overwhelm the influence of development ideology. Neo-liberalism was taken as a constant and involuntarily dominated the mind-set of theorists who were mainly economists and economic geographers. So it was difficult to pull out of the economic mainstream to consider integrated growth in the spatial systems. Spatiality was seldom conceived in terms of 3-dimensional space although towards the latter part of the development of growth theories prospects grew with the contribution of Boudeville in 1966. Integrated growth is not only manifested in convergence of productivity - as it is sought in spatial organization theories it also manifests in regional spread. Regional spread requires interventions besides trade policies. Therefore contributions in the context of growth theories should explore Boudeville's idea of considering geographic space and a viable alternative could be found in articulating growth theory based on activity distribution in formal and informal space and in different regional classifications.

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Structuralist theories continued in the fashion of classical location theories to look at economics of growth. In this instance economic growth is viewed as a path-dependent evolution that passes through various stages of economic maturity. The evolution is normally triggered by socio-economic and political transformations, thus almost invariably suggesting structural adjustments in the economic system. This arena is a realistic experience for most spatial systems and it relates very well with the current wave of in-formalization experience that is sweeping through national economies in Africa. These sets of theories were pioneered by Hoover and Fisher (cited in Dawkins, 2003:140) but expanded mostly in the 1960s.

Unlike classic location theories structuralist theories are not modelled as intervention instruments. The progression from different perspectives it introduced is insightful and a good contribution. However, most of the analyses remain within the economics of profitability although with structuralist theories there is a little shift towards the realm of politics. A further shift is required to achieve a balanced synthesis of the analytical instrument. The history of economic geography is not disconnected with some measure of spatial planning intervention. Thus far the element of planning rationality in regional growth is not visible.

Institutionalist theories are coined to represent theories that deal with political institutions and regional economic development. These theories adopt interventionist perspective earlier identified to be the shortfall of existing theories. Hence they are concerned with politicians and planners and their input in managing regional growth in their constituencies. This insight informed the Growth machine theory associated with Moomjy (1976). In this theory reverse causality is found between regional growth and local political organization - regional growth is the platform for political organization and not *vice versa*. Because of the coalition of political organization of land-based elites which is involved, the growth machine theory is sometimes regarded as a theory of local politics. Logan et al. (cited in Dawkins, 2003:146) related growth machine to economic outcomes in a review of literature in growth machine theory. The outcome of the review somehow indicates that growth machines do not seem to impact the distribution of economic activities because neither pro-growth policies nor growth-control policies are effective. These are issues for growth machine theory to resolve for it to retain its status as a theory of how growth coalitions affect regional economic outcomes otherwise it is more useful as a theory of why political coalitions form.

Neoclassical theories are the latest contributions to the development of theories. They focus on addressing criticisms levelled against classical exogenous growth theories. This set of theories is endogenous growth theories and unlike classical exogenous growth theories hold that the source of growth of the region is not external to the region. The latest contributions in endogenous theories looked at the impact of infrastructure investment on regional productivity.

The other category of neoclassical theories is the new economic geography associated with Paul Krugman. Krugman's primary contribution in this model is to incorporate external scale economies and increasing returns into traditional models of interregional trade. He further introduced the core-periphery model to explain the emergence of clusters of economic activities due to a combination of centrifugal and centripetal forces. Krugman (1999) identified two approaches of the new model. The first 'considers the role of geographic factors such as climate and topography in determining patterns of regional growth and decline' and the second enquires into explanations for different 'patterns of economic growth when there are no apparent geographic differences between regions. Krugman (1999) combined both approaches to determine why differences in natural geographic features across regions can have such large persistent effects over time'. This set of theories provided for the systems of cities, different industrial structures, and different patterns of land use to emerge endogenously.

Details of contributions at the various phases are summarized in **Table 2.2** below.

**Table 2.2: Review of regional development theories**

Category of theories	Theorists	Contribution(s)
<b>Classical location theories(1930s – 1960s)</b>	Alfred Weber (1929) - Location theory	<b>Location theory</b> <ul style="list-style-type: none"> <li>• Introduced transportation cost and labour wages as primary location determinants for the distribution of industrial function in urban space,</li> <li>• Used agglomeration and de-glomeration principles – local factors,</li> <li>• Engaged functional flow of market operations within the spatial system,</li> <li>• Critics reasoned that the economy of scale and pricing behaviour of firms are known to influence the location of industries besides other factors of production such a land viewed in economics as geographic location and capital asset. Walter Isard (1956) drew from location theory concept to introduce regional science.</li> </ul>
	Walter Christaller (1933) - Centre place theory	<b>Spatial organization theory</b> <ul style="list-style-type: none"> <li>• Bifurcates urban space into central places and catchment areas,</li> <li>• Introduced the level of specialization of towns as criteria to produce “tiered” spatial systems in the distribution of central places in urban space,</li> <li>• Description of spatial behaviour that gives indication of centripetal forces in urban space,</li> <li>• Spatial segregation of manufacturing and service functions,</li> <li>• Losch ( 1954) puts the initial idea of Christaller in an economic context and postulates transportation, cost of operation, and market as determinants of spatial organizations, Christaller (1966) introduced marketing, transportation and administrative principles in establishing central place patterns.</li> </ul>
	Charles Tiebout (1956a, 1956b) and Douglass North (1956, 1955) - Export base theory.	<b>Growth theory (convergent hypothesis model),</b> <ul style="list-style-type: none"> <li>• Introduced demand-side approach to regional growth, that is region’s response to exogenous world demand,</li> <li>• Bifurcates industries into basic and non-basic industries,</li> <li>• Introduced multiplier effect principles,</li> <li>• Considering growth independent of manufacturing,</li> <li>• Introduced supply-side factors incidental to population large enough to affect world demand for exports, Using supply-side models of investment in regional productive capacity. This is responsible for neoclassical exogenous growth theories developed by Solow (1956) and Swan (1956),</li> </ul>
	Gunnar Myrdal (1957) - Cumulative causation theory	<b>Growth theory (Divergent hypothesis model),</b> <ul style="list-style-type: none"> <li>• Introduced self-regeneration principles in regional growth,</li> <li>• Introduced ‘developed’ and ‘lagging regions’ concepts,</li> <li>• Introduced ‘spread-effect’ and ‘backwash-effect’ concepts,</li> <li>• Identified functional relationships between regions – forward and backward relationships,</li> <li>• Kaldor (1970) contributed the consideration of</li> </ul>

		<ul style="list-style-type: none"> <li>• 'efficiency wage' concept,</li> <li>• Dixon and Thirlwall (1975) contributed the consideration of 'Verdoorn effect' concept</li> </ul>
	Francois Perroux (1950) - Growth pole theory.	<p><b>Growth theory (Divergent hypothesis model)</b></p> <ul style="list-style-type: none"> <li>• Introduced the perception of space as force,</li> <li>• Introduced the functional interaction between firms and industries,</li> <li>• Hirschman (1958) contributed the 'trickling-down effect' concept,</li> <li>• Boudeville (1966) contributed contextualizing in geographic space,</li> <li>• Friedman (1966) contributed the core-periphery model,</li> <li>• Friedmann (1972) introduced authority-dependency relations in spatial systems,</li> <li>• Richardson (1973) introduced space and distance.</li> </ul>
<b>Structuralist theories (1960s – 1970s)</b>	<b>Stage/sector theory</b>	<ul style="list-style-type: none"> <li>• Perloff et al. (1960) identified three-stages of change of growth of the regions (in America),</li> <li>• Hoover and Fisher (1949) identified four stages of growth that indicated internal changes in the division of labour that produce economic specialization,</li> <li>• Rostow (1977) identified five-stages of growth and introduced the "Take-off" period concept (originally suggested in 1960),</li> <li>• Pred (1977) introduced "Spatial biases" concept,</li> <li>• Thompson (1968) introduced "Ratchet effect" concept.</li> </ul>
	<b>Profit/product cycle theory</b>	<ul style="list-style-type: none"> <li>• Markusen et al. (1999) introduced the role of large firms, state actors, local fixed capital, and the active recruitment of skilled labour in district formation,</li> <li>• Scott (1992) and Cooke and Morgan (1993) looked at the control advantages of hierarchical forms of transaction governance,</li> <li>• Porter (1990) looked at geographic clustering,</li> <li>• Markusen (1985) contributed profitability and identified five 'profit cycles' with his profit cycle theory,</li> <li>• Vernon (1966) introduced the product cycle concept.</li> </ul>
	<b>Marxist theory</b>	<ul style="list-style-type: none"> <li>• Argued the spatial dimension of division of labour (Massey, 1984),</li> <li>• Introduced "Regional rotation" concept (Goodman, 1979),</li> <li>• Argued geographic displacement of labour (Holland, 1976)</li> </ul>
<b>Institutionalist theories (1970s – 1990s)</b>	Growth machine theory	<ul style="list-style-type: none"> <li>• Adopts interventionist perspective, Argues that regional growth is the platform for political organization.</li> </ul>
	New institutional economics	<ul style="list-style-type: none"> <li>• Introduced the concept of transaction cost of production,</li> <li>• Introduced institutional adaptation and change (North, 1990)</li> </ul>
<b>Neoclassical theories (since 1990s)</b>	Endogenous growth theories	<ul style="list-style-type: none"> <li>• Argues that the growth of the region is internal,</li> <li>• Incorporates a savings rate that is determined by household choice,</li> <li>• Schumpeter (1947) introduced the process of innovation dimension,</li> </ul>



		<ul style="list-style-type: none"> <li>• Arrow (1962) introduced the 'learning-by-doing' argument,</li> <li>• Romer (1986) incorporated technical change as an endogenous parameter,</li> <li>• Barro's (1990) model incorporates tax-financed public services,</li> <li>• Theorists considered the impact of infrastructure on private sector coordination.</li> </ul>
	New economic geography	<ul style="list-style-type: none"> <li>• Incorporation of external scale economies,</li> <li>• Considers the role of geographic factors,</li> <li>• Enquires into explanations for different patterns of economic growth when there are no apparent geographic differences between regions,</li> <li>• Krugman (1999) introduces the spatial dimensions of regional growth and trade.</li> </ul>

Source: Own construction (2013) NOTE: References in the Table are all cited in Dawkins (2003)

The main arguments of traditions in location theories are summarized in **Table 2.3** below. It is observed that the element of transportation cost continues to maintain systemic relevance as regional development theories continues to evolve. Since early 2000 the tendency of integrating existing theories is underway. Notable efforts are readily available (see Acs&Varga 2002); Bretschger (1999); Fujita and Mori (1998); etc.). These integration efforts sought an explanation for regional economic growth. Also underway are efforts to extend endogenous regional growth theory vis-à-vis the role of leadership and pioneered by John Friedman (1966). Besides leadership, the element of efficiency intervention in the name of equity is alive in public debate vis-à-vis its justification in the light of market failures.

**Table 2.3: Main arguments of traditions in location theories**

<b>Theory</b>	<b>Main Argument</b>
<b>Neo-classical</b>	Location subject to free market forces.
<b>Behavioural</b>	Behaviour of individual business. Decisions are made with limited information. Sub-optimal location choice.
<b>Institutional</b>	External factors such as values and institutions. Mergers and acquisitions.
<b>Economic base</b>	Related to the export industries of a region.
<b>Location factors</b>	Specific location factors. Agglomerations of economic activity. Regional characteristics.
<b>Cumulative causation</b>	Upward spiral where success breeds success (lack of success can lead to a downward spiral).
<b>Core-periphery</b>	Regional functions. Relationships between core regions and peripheral ones.
<b>Industrial district</b>	Focus on networks, entrepreneurship, innovation, co-operation, flexible production and specialization.
<b>Innovative milieu</b>	Importance of the cultural and institutions (synergies among local actors which give rise to fast innovation processes).
<b>Competitive advantage</b>	Competition between locations subject to factors related to labour, energy, resources, capital as well as proximity to markets.

Source: Adapted from McQuaid et al (2004) The Importance of Transport in Business' Location Decisions, Department for Transport, [http://www.dft.gov.uk/stellent/groups/dft\\_science/documents/pdf/dft\\_science\\_pdf\\_027294.pdf](http://www.dft.gov.uk/stellent/groups/dft_science/documents/pdf/dft_science_pdf_027294.pdf)

Efficiency and equity tend to conflict or trade-off on each other with the result that compatibility between efficiency and equity is highly contentious. Although there are avenues of compatibility explained by theorists that highlight the stages of development, the utilization of regional resources, and the objectives of development especially in core-periphery regions where compatibility can be found between efficiency and equity goals are visible. Ultimately equity need not to be considered separately from efficiency as seems to be the case in endogenous growth theories.

Overall a lot of work has gone into the development of regional development theories. Regional growth in economic terms is at the centre of most contributions. It would have been interesting if theorists in their analysis that contributed to stage/sector theories considered the stages in the history of African civilization marked by major socio-economic and political transformation, or considered the form and function principles of growth in spatial planning in other to carry not just efficiency and equity but also spatial form which informs functional flow and by implication transportation costs. The appraisal of transportation costs in isolation of transport design is deficient. Needless to say that transport design in turn has implications for land use distribution and patterns without which the regional development theories tend to disconnect from urban development

theories. This is considered a critical oversight since the spatial system which the theories attended to comprise the urban areas or perhaps the core areas. This is why the development of the models is found to be lopsided in favour of neo-liberal principles of growth and on that ground is not considered a general theory from spatial planning perspective. It is therefore not clear how regional development theories connect with urban land use structure theories. It is most likely that a disconnect exists between the two bodies of theories.

Mindful of the fact that the behavioural patterns of individuals, institutions and firms have an imprint on land use, subsequent reviews of urban planning theories will focus attention on the relationship between transportation, land use systems, distribution and patterns and then urban change. This body of knowledge needs to connect with theories of regional development for a better understanding of spatial integration.

## **2.5 Urban planning theories and concepts**

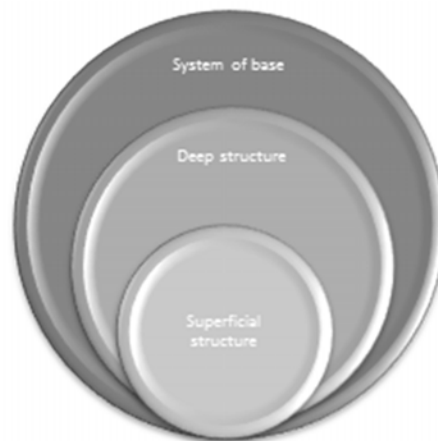
In this sub-section two approaches of conceptualizing the urban environment are considered, namely the systems approach and the spatial approach. Thereafter, classic theories of land use structure will be reviewed and then trends in urban planning perspectives, following events that introduced paradigm shifts in planning since the 1960s, will be examined.

### **2.5.1 The concept of the urban environment**

It is common practice to relate urban phenomena to demographic increases and allied demographic indicators such as employment structures. The urban environment is seldom perceived in practice as a dynamic ecosystem that is influenced by natural processes energized with design priorities. This informs the partial understanding of its patterns of growth and change. Subsequently widespread misunderstandings of urban form and the recurrent misdirection of spatial planning are identified. Lozano (1990:35) shares this view and Sternberg (cited in Arbury, 2005:59) reinforced it with his argument that urban design lacks a cohesive theoretical foundation. Either of the two approaches highlighted provides the elusive theoretical foundation for urban design and the comprehension of urban structure theories.

### 2.5.1.1 Systems approach

The systems approach illustrated in **Figure 2.1** upholds the idea that the urban environment is structured in three inter-related layers of natural systems comprising the system of base, the deep structure and the superficial structure. The system of base indicates site-morphological factors of culture, technology, environmental factors, value system, world views, cosmology, etc. These factors inform or impact the deep structure which deals with space-activity relationships. The deep structure generates activity systems which are analysed in different ways to explain land use functions, densities, distributions and growth and change characteristics in the urban environment. The expression of the activity systems in space indicates the superficial structure. This is the spatio-physical form in the visual realm of urban environment that has been widely addressed in theories of urban structure. It represents the expression of the resulting spatial organization of activity systems that characterize the urban environment. A further analysis identifies cultural and spiritual influences at the social-psychological and supernatural realm of the urban environment.

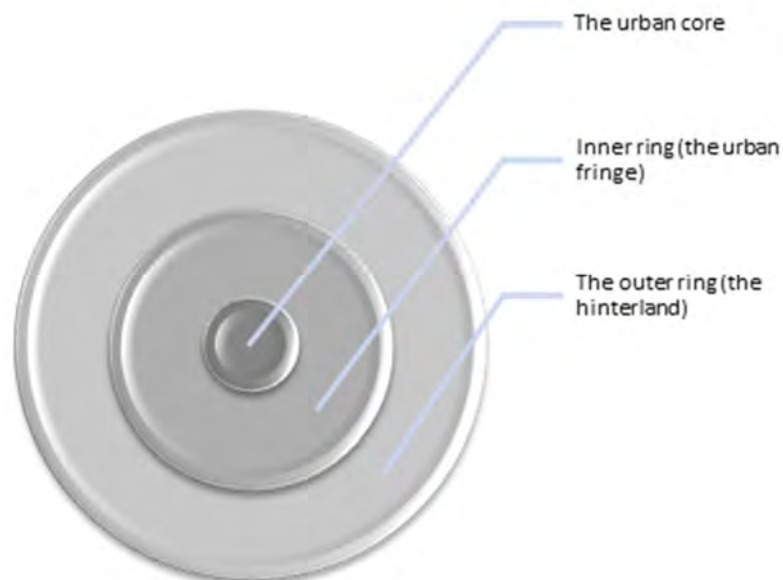


**Figure 2.1: The three layers of urban environment**  
Source: Own construction (2011)

### 2.5.1.2 Spatial approach

The spatial approach illustrated in **Figure 2.2** visualizes three spatially segregated sections of the urban environment, namely the urban core area, the inner ring - urban fringe defined as that cultural development that takes place outside the political

boundaries of central cities and extends to the areas of pre-dominantly agricultural activity (Arpke, 1942) - and the outer ring (rural hinterland). The different sections maintain systemic relationships in what constitutes (in spatial terms) the functional region of the urban economy. These sections display functional coherence revealed in the form of the flow of socio-economic activities. It is observed that the spatio-physical distribution of these activities maintain critical relevance in this approach as can be seen in the borderless cities concept of ASEAN countries.



**Figure 2.2: The three segments of the urban environment**

Source: Own constuction (2011) derived from literature

### **2.5.2 Classical theories of urban land use structure**

Classic theories of urban land use structure endemically represented by the concentric zone theory, sector theory and multiple nuclei theory have undergone repeated reviews in urban planning studies because of the poor dynamics in urban development theories. It is recalled that these sets of theories drew from Von Thunen's regional land use model for the analysis of agricultural land use patterns in Germany which developed in 1826. Remarkably the issues raised by these out-dated models remain resilient in contemporary urban dynamics. Von Thunen's model introduced the distribution of land

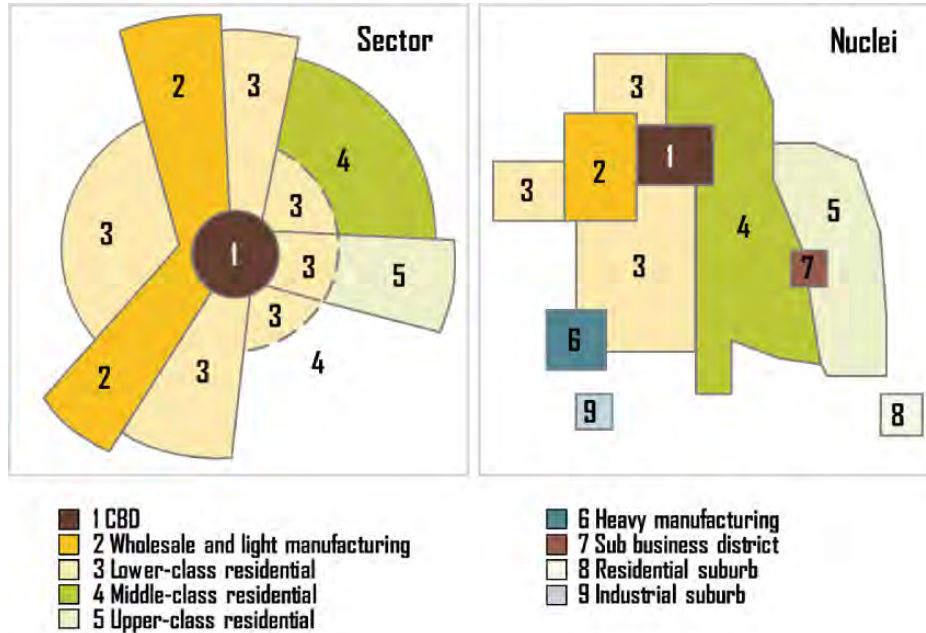
use around a spatial system following the universal law of growth which acknowledges nucleation in isolated state although his work assumed a unified agricultural space. Commonplace interpretations of the model ascribe the land use pattern to location economics that presume the community form to represent a market. This attracted transportation costs arguments especially for the modified version of the model which again presumed linear development along perhaps navigable river and the presence of competing centre.

In the early 20<sup>th</sup> century Burgess (1925) introduced the concentric zones model with intent to analyse social classes. He adopted the perception of urban environment that is limited to the core area in which he applied Von Thunen's concentric concept. The dynamics of the model assumes a relationship between the socio-economic status (mainly income) of households and the distance from the Central Business District (CBD). This applies under formal conditions but under informal conditions where the processes of gentrification and succession are irregular as determined by smart growth processes the scenario changes. The fission of family compounds, if related to stages of development, could follow the concentric zone argument, but suburbanization characterized by low-cost housing schemes and the development of peripheral slums for urban migrants challenge the urban structure proposed by the model.

Subsequent theories discontinued consideration of the concentric zone pattern and introduced sectors. Hoyt (1939) maintained that the land use pattern was not a random distribution, nor sharply defined rectangular areas or concentric circles, but rather sectors. His sector model was conceived explicitly under the influence of a transport axis following the study of residential areas in America. More than five decades later Jean-Paul Rodrigue of Hostra University, USA upheld the notion that the model added the effect of direction and time to the effect of distance. He argued that transport has directional effect on land uses because transport corridors, such as rail lines, public and major roads, are mainly responsible for the creation of sectors.

Otherwise sector development derives from agglomeration that is also heavily influenced by economies of scale and the direction of innovations or even socio-cultural imperatives such as land ownership system. The land use clustering resulting from these influences do not necessarily take their bearing from the CBD as the model suggests and this

perhaps informed the multiple nuclei model Harris and Ullman (1945) developed on land use and growth. Both models are illustrated in **Figure 2.3** below.



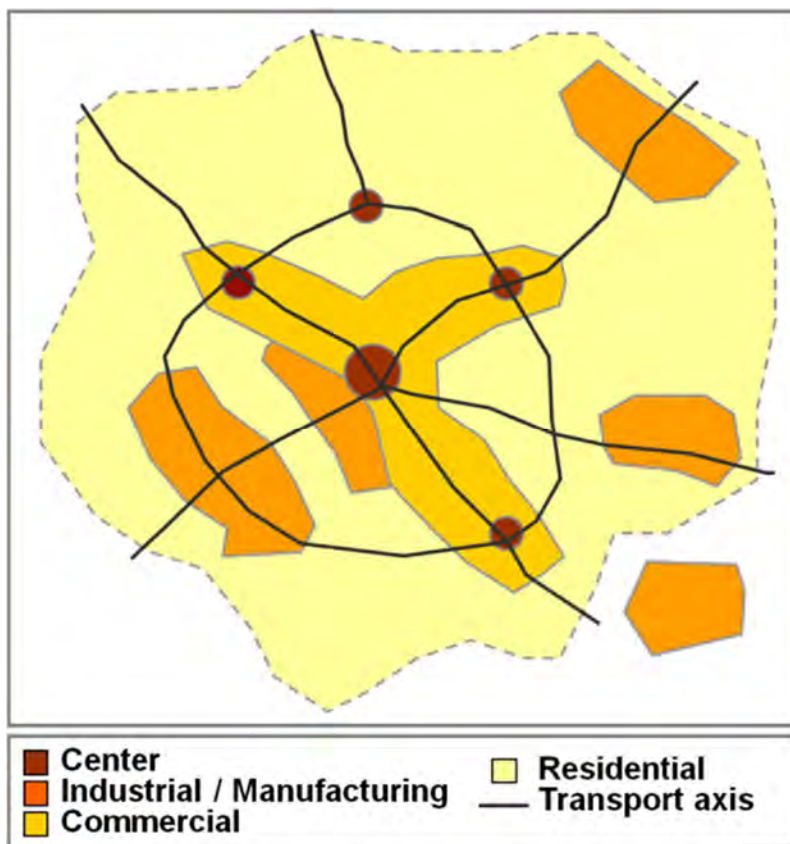
**Figure 2.3: Schematics of Homer Hoyt (1939) sector theory and Harris and Ullman (1945) multiple nuclei theory**

Source: adapted from H. Carter (1995) *The Study of Urban Geography*, (Fourth Edition), London: Edward Arnold, p. 126.

Harris and Ullman's (1945) multiple nuclei model introduced the integration of a number of separate nuclei in the urban spatial structure. It dropped the idea that a city develops from a one central business district. Rather cities develop from several points, each point acting as a growth centre for a particular kind of land use and later they merge to form a single urban area. Some of these nuclei are pre-existing settlements normally found in the outskirts of the city, sometimes near valuable housing areas, although the nuclei are not located in relation to any distance attribute. The distribution of sectors according to Jean-Paul Rodrigue depends on differential accessibility, land use compatibility, land use incompatibility, and location suitability.

Within a decade of the transition from concentric to sector theories of land use structure attention moved from land use distribution to land use patterns, all within the ambit of sectoral development. Walter Isard's (1955) hybrid model (see **Figure 2.4** below) introduced this transition in which the concentric effect of nodes and the radial effect of

transport axis mix to form a land use pattern. Land rent theory extended from here and moved more into the frontiers of land economics than land use structure. Ever since nothing much has happened concerning urban land use structure, theories, except for some strategic theories that are beginning to sprout in the transportation planning sector which attempt to explain the urban spatial system with transportation as the primary dynamic element. Okosun (2013) cited some scholars, including Anas (1980); Landis (1995); Batty (2003); and Pettit (2002) who have all developed modern theories for understanding urban land use patterns.



**Figure 2.4: Schematics of Walter Isard (1955) Hybrid land use model**  
 Source: Copyright © 1998-2007, Dr. Jean-Paul Rodrigue, Dept. of Economics & Geography, Hofstra University New York, USA.

The processes of land use change and the resultant configuration of urban form is a theoretical phenomenon that requires much more than market consideration of transport costs to comprehend, although transportation perspectives could be the bridge that will link regional development and urban land use planning theories. The extent to which



transportation perspectives could play this role lies in how it compares with urban planning perspectives on matters arising in the development of spatial theories. My own assessment of both perspectives is outlined in **Table 2.4** below. Transportation planning perspectives derived mostly as presented in the 1998-2007 periods by Dr. Jean-Paul Rodrigue, Dept. of Economics & Geography, Hofstra University, New York, USA, while those of urban planning perspective are educated guesses.

**Table 2.4: Matters arising from the development of spatial theories**

THEMES	TRANSPORTATION PERSPECTIVE	URBAN PLANNING PERSPECTIVE
Economic growth	Consider movement costs	Consider infrastructure costs
Activity type categories	Routine, Institutional, and Production.	Service, Manufacturing, and Primary (formal & informal)
Economic activity base	Formal employment	Livelihood support system
Urban environment	Uniform spatial surface	Manifold spatial systems
Urban change	Determined by movement patterns	Determined by growth dynamics & physical change
Urban form	Geographic patterns	Land use (or activity) system, distribution and patterns
Dynamics of urban form	Land economics	System of base: environmental factors, cultural base, value system
Land use	Determined by transport demand	Determined by function
Land use relationship	Accessibility: flows of passengers and freight	Functional flow of activities
Equity	Economic cost	Spatial integration
Efficiency	Maximize connectivity to minimize transport cost	Form and function

Source: Own construction (2013)

The themes considered have conceptual meaning which the transportation perspective not fully captures compared with the urban planning perspective. The positions of transportation planning are rather skewed and subjective and may not lead to a general theory. Nevertheless transportation systems and spatial interaction have close relationships that impact on land use systems, distribution and patterns. The changing combination of these interacting elements underpins urban dynamics. Predicting and containing these dynamics in the urban system as regional development and urban planning theories provide impetus and this is the subject matter of planning paradigms. Traditional land use planning is known to apply form-and-function principles but that strategy is under contention much in the same way that efficiency intervention is in the equity versus growth argument. Thus a paradigm shift is underway in a neo-liberal dispensation.

### 2.5.3 Urban planning perspectives (1960s – 2013)

A cyclical revolution is identified – from classic in the 1960s to rational in the 1970s to neo-liberal in the 1980s-1990s and back to a neo-classic planning perspective since 2000. Participatory planning paradigms assumed orchestrated popularity since the 1970s but product-planning remained resilient and tended to rebound since the 1990s. This trend is perhaps linked with tendencies towards spatial integration in space as sine-qua-non for economic growth indicated in institutionalist and neoclassical theories of regional development. Details of what transpired during each stage are summarized in **Table 2.5**.

**Table 2.5: Summary of events in the evolution of planning perspectives (1960s – 2012)**

Period	Event	Major characteristic features
1960s	Classic planning perspective	<ul style="list-style-type: none"> <li>• Emerged in the context of imperial capitalism</li> <li>• Problem situation: spatial distortion in urban entities, rapid urbanization, need for coordination arising from reorientation from environmental (geographical) determinism to interventionist approach,</li> <li>• Land use planning maximally applied at urban scale to shape the city</li> <li>• Statutory planning: development proposals that do not accord with planning controls, objectives and design standards can be refused under law,</li> <li>• Planning remained steadfast on its regulatory status,</li> <li>• Design-oriented activity strictly bound with securing adequate living space for the health and well-being of the people,</li> <li>• Adopted master plan instrument, a brand of spatial planning,</li> <li>• References: Ilesanmi, 1998:18; Eng, 1992:163; Owens, 1994:440; Kunzmann, 2004:384; Crawford <i>et al</i>, 2010:91; Albers, 1986:18-26; Albrechts, 2001:1; Fischler, 2000:194; Pepler, 1949:103.</li> </ul>
1970s	Rational planning perspective	<ul style="list-style-type: none"> <li>• Early 1970s European critics such as Friedmann, Meyerson, etc. influenced the perceptions of planning,</li> <li>• New planning concepts emerged, including advocacy, normative, incremental, and transactive planning,</li> <li>• Planning was no longer limited to 'survey, analysis and plan' but extends to monitoring and reviews,</li> <li>• Design status retained to shape the city,</li> <li>• Modern master planning assumed integrated status that provides for and coordinates all of development activity, Renewed criticism against planning ensued in early 1980s in Africa on the heels of similar events in Europe in the late 1960s for paradigm changes to participatory planning.</li> </ul>
1980s-1990s	Neo-liberal planning	<ul style="list-style-type: none"> <li>• Renewed criticisms against the master plan instrument,</li> <li>• Spatial planning concepts started shifting from product-oriented to process-oriented activities,</li> </ul>

	perspective	<ul style="list-style-type: none"> <li>• Upgrade of public participation in planning,</li> <li>• Deregulation of planning-decision making.</li> <li>• Transition from statutory to non-statutory planning that applies on a wider scale,</li> <li>• Spatial Planning emerged as an instrument for the management of change, a political process by which a balance is sought between all interests involved, public and private, to resolve conflicting demands on space,</li> <li>• Spatial planning focused on the distribution of resource utilization.</li> <li>• Integrated Urban Infrastructure Development Planning (UIDP) attempted to provide an alternative form of planning, linking infrastructure development to planning,</li> <li>• Master planning instrument remained resilient,</li> <li>• References: Todes <i>et al.</i>, 2010:415; Orange, 2010:55; Landman, 2004:163; Albers, 1986:22; Cilliers, 2010:73; Adams <i>et al.</i>, 2006:50; Kunzmann, 2004:385.</li> </ul>
Since 2000	Neo-classical planning perspective	<ul style="list-style-type: none"> <li>• New paradigms diffused from the global north,</li> <li>• Gradual return of emphasis on the classical view of spatial planning,</li> <li>• 'Communicative planning' a new planning paradigm that almost emerged was put on hold,</li> <li>• Spotlights on new urbanism a post-modern concept in urban design. 'New urbanism' as it is called in America or 'Sustainable urbanism' advocates design-oriented approach to planned development,</li> <li>• Resilience of master planning: even where the nature of 'forward planning' has changed, the basic principles of the underlying regulatory system, as well as a universal modernist 'image' of urban development, tend to remain" (Watson, 2009),</li> <li>• New planning paradigms exert no influence on the regulatory system,</li> <li>• Matters arising from new innovations in urban planning in Africa (see <b>Box 2.1</b> below),</li> <li>• Creative urbanism and new master planning emerges.</li> </ul>

Source: Own construction (2012)

After more than three decades of experimentation with neo-liberal planning perspectives, the problems in the urban milieu are being reinforced with new matters arising. A succinct list of the matters arising is given in **Box 2.1** below. Renewed efforts towards addressing these matters arising tend to highlight indirectly the resilience of formal planning principles given the incidence of a new master planning approach which is making waves in China, etc.

### **Box 2.1: Matters arising from new innovations in urban planning in Africa**

- Problematizing the right to the city (Merrifield, 2011)
- Multiplicity of spatial planning approaches.
- Problems with coordination – line function departments still function in isolation (Watson, 2009:180).
- Parallel planning systems (Halla, 2002).
- Institutional deficiency – need for capacity-building (Harrison, Todes & Watson cited in Watson, 2009:180).
- Resilience of conventional (traditional) technique.
- Professional participation (Watson, 2009:180).
- Participatory budgeting (Cabannes, 2004).
- Disconnect with commoditization of land (i.e. land use management system).
- Temporarily unrealistic in the context of global south.
- No legal foundation (except for few exceptions such as 'Integrated Development Planning' (IDP) that is backed up by national legislation in South Africa) (Parnell and Pieterse cited in Watson, 2009:179).
- New planning paradigms do not resonate with local institutions (UN-Habitat, 2005:5).
- Community engagement at the heart of planning practice (Brownhill & Carpenter, 2007: 621).
- The hegemony of foreign planning systems (Okeke, 2005).
- Older approaches of urban planning stand accused of being –anti-poor' (Watson, 2009).
- Persistent urban problems (Werna, 1995).
- Problematic assumption that liberal democracies can work in all parts of the South (Rakodi, 2003).
- Complex and sophisticated system (Watson, 2009:180).
- No major impact on the process of urbanization in developing countries (UN-Habitat, 2005:5).
- New land management and tenure systems are required (Rakodi, 2006).
- 'Brownfield' project based.
- Planning cannot 'solve' the crisis of urbanization (Roy, 2009).
- Land regulation systems remains constant (Watson, 2009:181)
- Conceptualization of public interest.

Source: Own construction (2011)

#### **2.5.3.1 Master planning paradigm**

In a neo-liberal dispensation the words “master”, “design”, and “control” brand the master planning paradigm and elicit immediate resistance aimed at reconsidering its outlook as a planning instrument. Neo-liberal mind-sets cloud the potentials of master planning and leave zero-options in terms of jettisoning it as an instrument for spatial organization. This position has the effect of intimidating alternative views on master planning. Such tactics do not apply here on the grounds of theoretical expedience. Planning and control are inseparable in the sense that unplanned action cannot be controlled in so far as control involves keeping activities on a predetermined course and rectifying deviations from plans.

Traditional master planning is synonymous with land use planning in space. In the 1960s it subsumed socio-economic considerations and new concepts emerged, some of which are advocacy, normative, incremental, and trans-active planning. The new outlook of master planning expanded its objectives to include the renewal of the economic base of spatial systems. Its attribute as a futuristic instrument heightened as well as its concern for economic growth. In the early 1980s its scope, following the contribution of Ratcliffe (1983), conceptually increased to include monitoring and review processes. Ultimately, master planning paradigm functions as an instrument for planning, design, land use regulation or management. Its mode of operation consists of land use budgeting (plan generation) and spatial planning - design or the art of facility distribution. What master planning illustrates is that the nature of planning requires comprehensiveness and a holistic view of problems (Ogbazi, 1992:145).

### **2.5.3.2 The participatory planning paradigm**

The participatory planning paradigm is specifically concerned with interactive participation in planning which implies the decentralization of planning decision. Presumed to be an instrument for sustainable development and a requirement for plan implementation participatory planning is conceptually different from public participation. While participatory planning is a process-oriented approach to participation where stakeholders are involved in decision-taking, public participation is blueprint or target-oriented where participation is passive and consultative, in which case the public does not get involved in decision-taking. Therefore participatory planning is defined as an interactive set of processes through which diverse groups and interests engage together in reaching for a consensus on a plan and its implementation. It operates with the principle of mediation, unlike public participation that operates with the principle of consultation. Indeed there are wide-ranging typologies of participation in planning as shown in **Table 2.6** below.

Participatory planning is an event-centred concept. Its use is foremost when mediation in conflict situations and legitimacy and civic identity in plan preparation are fundamental to plan implementation.

**Table 2.6: Typologies of participation in planning**

S/no.	Typology	Characteristics
1.	Manipulative participation	Participation is simply a pretence, with 'people's' representatives on official boards but who are unelected and have no power.
2.	Passive participation	People participate by being told what has been decided or has already happened. It involves unilateral announcements by an administration or project management without anyone listening to people's responses. The information being shared belongs only to external professionals.
3.	Participation by consultation	People participate by being consulted or by answering questions. External agents define problems and information gathering processes, and so control analysis. Such a consultative process does not concede any share in decision-making, and professionals are under no obligation to take on board people's views.
4.	Participation for material incentives	People participate by contributing resources, for example labour, in return for food, cash, or other material incentives. [People] .... are involved in neither experimentation nor the process of learning. It is very common to see this called participation, yet people have no stake in prolonging technologies or practices when the incentives end.
5.	Functional participation	Participation is seen by external agencies as a means to achieve project goals, especially reduced costs. People may participate by forming groups to meet predetermined objectives related to the project. Such involvement may be interactive and involve shared decision-making, but tends to arise only after major decisions have already been made by external agents. At worst, local people may still only be co-opted to serve external goals.
6.	Interactive participation	People participate in joint analysis, development of action plans and formation or strengthening of local institutions. Participation is seen as a right, not just the means to achieve project goals. The process involves interdisciplinary methodologies that seek multiple perspectives and make use of systemic and structured learning processes. As groups take control over local decisions and determine how available resources are used, so they have a stake in maintaining structures and practices.
7.	Self-mobilization	People participate by taking initiatives independently of external institutions to change systems. They develop contacts with external institutions for resources and technical advice they need, but retain control over how resources are used. Self-mobilization can spread if governments and NGOs provide an enabling framework of support. Such self-initiated mobilization may or may not challenge existing distributions of wealth and power.

Source: Bass et al. (cited in Geoghegan et al., 2004:5)

Participatory planning process is invariably affected by practical questions such as "Whose knowledge is brought into the process?", "Who are the actors who participate in the process?", and "What are the spaces where participation becomes important?" (IDS, 2002:14). Actors who participate in a planning process are not neutral. Power relationships become an issue for the divergent interests the actors are obligated to protect, some of whom are 'manufactured' participants, that is to say, proxies. The knowledge base of participants with regards to data appreciation and knowledge of planning processes bifurcates into 'formal' and 'informal knowledge' which both have their merits, thus signalling the politics of appropriate 'expert knowledge' that applies in participatory planning. The space refers to contextual issues that maybe physical or not such as formal or informally constituted bodies - councils or committees - that have different rules of engagement.

The participatory process presents a trade-off between efficiency and inclusiveness, depending, however, on the level of participation anticipated. Time pressure, the needs of the community, the skills and experience of those participating, and the nature of the intervention, among other factors, all help to dictate the actual shape of the process (Rabinowitz, 2013). The deliberations in the process are presumably compelled to remain within the survivalist level especially in Africa due to obvious limitations factored in top-down mobilization of participants, in-formalization, manipulative tendencies as well as dearth of capacity issues that determine integrative and specialized planning such as green point precinct planning which sustainable development demands. Involvement in plan implementation, monitoring and review, incidentally, is not persuasive yet it forms the major plane of argument for participatory planning as a continuing process.

The participatory planning paradigm, unlike master planning paradigms, is not a general theory in the urban planning domain. To this end the attributes of participatory planning compared with conventional master planning as shown in **Table 2.7** below are insightful. The attributes of participatory planning confirm a new perspective. The attributes of participatory planning lack integrative theoretical capacity to interpret in space the central issues of economic growth and land use in regional development theories. It will be more useful to serve as platform for the review of master planning paradigm than to provide an alternative approach for the integration of spatial systems.

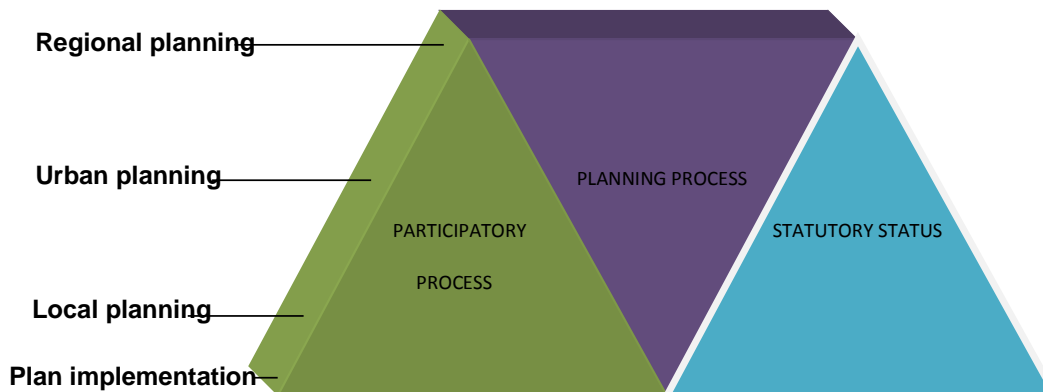
**Table 2.7: Attributes of traditional and participatory planning paradigm**

<b>Attributes</b>	<b>Traditional (Conventional) planning</b>	<b>Participatory planning</b>
Concept	Thematic – for application in urban and regional development.	Generic - for universal application.
Objective	Land use planning for economic growth.	Involvement for conflict resolution and mediation
Technique	Design-oriented	Management-oriented.
Expertise	Consortium of consultant professionals in urban and regional development mandated by government or community.	Facilitator(s)/motivator(s) - either a private individual(s) or an organization(s) - with or without government or community mandate.
Requisite skills	Analytical and creative ability.	Communication and negotiation ability.
Motivation	Productivity of the urban region and the urbanity of cities.	Legitimacy and civic identity of development projects.
Mission	Development planning for urban and regional integration to enhance productivity and maintain strategic relevance in city development.	Survivalist project development planning to harness local resources and satisfy community needs.
Methodology	Comprehensive planning.	Disjointed incremental project planning.
Process	Definite known steps for plan preparation and implementation.	Indefinite number of steps depending on matters arising most of which are outside the purview of planning.
Outlook	Control-oriented.	Management-oriented
Perspective	Linear blueprint approach	Non-linear process-oriented approach.
Initiative	Urban and regional planning	Local planning.
Participation	Consultative in principle	Interactive in principle
Framework	Spatial master plan.	Non-spatial guideline plan (action plan).
Status	Spatio-physical and statutory	Non-statutory (although Bolivia has a Law of Popular Participation).
Time-frame	Maximally nine months barring bureaucratic delays to prepare a master plan for a medium-size city.	Not specific – mobilizing stakeholders and settling conflicts for a local community is time intensive and could take more than a year before actual engagement in generating the action plan.
Activity system	Technical analysis - based on quantitative and qualitative data.	Political analysis - based on subjective information (public opinion).
Critical mass element (i.e. core activity)	Land use planning	Public relations (pre-mediation and conflict resolution) in project planning.

Source: Own construction (2012)

Conceptually, as the scale of planning increases, the participatory process reduces (see **Figure 2.5** below). In other words participatory processes in preparing local plans or site plans are likely to be higher than what they will be for preparing urban and regional plans. In the same vein the statutory nature of planning should increase as the scale of planning reduces.





**Figure 2.5: Conceptualization of relationships in participatory cum planning process**

Source: Own construction (2012)

There are three trends that are instructive in considering the merits of paradigm shifts in urban planning. First, there is the impression that planning activities are no longer limited to traditional land use planning which is misconstrued in some quarters to mean that land use determination is now outside the purview of planning; second, the impression that planning is restrictive therefore exclusionary, not realizing that controls provide the bases for freedom. In any case what civic freedom does in planning control is to restrict under normal circumstance; or could it be that it is the mode of planning practice that is restrictive as it was the case in pre-1994 South Africa; and third, it seems the argument in the planning arena has moved from the manner of participation to the scale of participation. Altogether these trends reinforce themselves to make a case against conventional approach to planning and to choose a neo-liberal path for the way forward. Unfortunately the re-modelling of the space economy which is considered a major challenge of planning in Africa is a visionary activity in the realm of patriotism that lies beyond the domain of interactive instincts driven by private profitability as represented by the neo-liberal planning perspective.

## **2.6 Growth management and spatial models of regional integration**

There are spatial models of urban regional economic systems that have been theorized and found potentially useful in growing the economy of urban regions. Some of these models are developing informally through natural processes within spatial systems in Africa. They need to be identified and perhaps encouraged formally. Two of such models

are reviewed below. These models are examined along with urban growth boundaries (UGB) as best practice mechanisms for growth management.

### **2.6.1 The Extended Metropolitan Region (EMR) and Growth Triangle (GT) model**

The EMR is a development model that perceives transformative economic growth to occur congruently in a wider regional space than segregated into spatial constructs represented in urban or rural areas. It is a regionalization concept that adopts “region-based urbanization” instead of “city-based urbanization” to analyse the processes of economic and spatial development. So the EMR perspective is focused on deeper issues that extend beyond urban transitions and the urban-rural dichotomy that informs it to explore the wider arena of transitions in space economy. The EMR is therefore:

Characterized by extremely high levels of economic diversity and interaction, a high percentage of non-farm employment (i.e. over 50 per cent), and a deep penetration of global market forces into the countryside. These regions may stretch for up to 100 km from an urban core and are frequently found near major transportation conduits (McGee cited in Macleod, & McGee, 1996).

In the EMRs, one finds that apparently rural areas are coming to adopt economic characteristics usually thought of as urban and industrialization and rapid development are coming to affect the people of these regions *in situ* and are also drawing in large numbers of migrants” (Macleod & McGee, 1996).

Decentralization policy necessitates the emergence of EMRs. There are three types of EMRs, namely the “expanding city-state” as manifested in the Singapore EMR, poly-nucleated patterns of new towns associated with the situation in the Kuala Lumpur EMR, and a high-density EMR characteristic of Jakarta, Manila and Bangkok. In this third category, large rural populations polarize at the periphery of cities where their services are used for food crop production in the peri-urban areas and rural hinterland. This is the most ubiquitous EMR, perhaps modelled after the suburbanization of informal labour. However, the deconstruction of the urban concept, which is inherent in EMR model, raises serious questions about some central concepts in development theory such as the rural-urban social divide and traditional metropolis-hinterland models of spatial development.

The term "Growth Triangle" was coined in Singapore (in relation to Singapore-Riau-Johore GT) to convey the potential believed to be inherent in the synergistic

interweaving of the comparative advantages of the three nations (Macleod & McGee, 1996). The growth triangle (GT) model is an instrument for managing EMRs. It has the potential to trigger the concentration of certain activities in urban cores and the explosive transformation of the countryside although it is usually caught in the web of political manoeuvres especially the trans-national GTs. This informs the stress the GT girding Singapore is having over the appearance that sovereign areas of Malaysia and Indonesia are coming under the sway of Singapore (Macleod & McGee, 1996).

### **2.6.2 The poly-centric model compared with the EMR model**

The poly-centric model is based on the hypothesis that agglomeration economies of the primate city offer unequal advantages that necessitate the development of sub-centres or satellites linked by a metropolitan transport system that will often improve the efficiency of the metropolitan region, increasing its attractiveness as an industrial location and to migrants (Richardson, 1981). But this model leads to large polarized metropolitan region that often conflicts with inter-regional equity goals (Richardson, 1981). In the African context where political realities make equity a critical variable for the new economic and spatial entities sought in the African renaissance the application of poly-centric model without growth management mechanisms is in a disadvantage when compared with the EMR model. This position draws strongly on the positive outlook of an EMR towards extroverted patterns of urbanization which are identified as being compatible with equitable regional integration. It does not question the adequacy and appropriateness of the polycentric model for integrated development. Rather it simply draws attention to the leverage EMR has in equity matters.

Related issues here have to deal with scale of development and level of development. Large-scale development is expected to trickle-down from large to lower-scale nodes in the case of the poly-centric model. EMRs seem not to operate on this principle. It rather dwells on same level of development for all settlements regardless of rural or urban status. However, it all depends on the type of EMR model. Not all types of EMR are appropriate for leverage in attaining equity. The 'expanding city state' model such as in Singapore city-state and the 'high density' model that is characteristic of Jakarta, Manila, and Bangkok tend to have issues with equity if compared with the 'multiple nuclei' model found in Kuala Lumpur and Seoul regions where there is comparatively low population density with growth management systems. Kuala Lumpur has been able to control its

growth through the creation of a poly-nucleated pattern of new towns and smaller suburban centres located along the major arterial routes of the city (Macleod & McGee, 1996).

### **2.6.3 Urban growth boundaries (UGB)**

UGB is not a physical space but literally a line drawn between urban and rural lands defining the limits to which the urban area will grow. UGB should not be confused with *urban edge* because unlike the urban edge, which defines urban limits, it includes space for future development of the urban area. The UGB line can be fixed or flexible, natural or man-made. Beyond this line, sometimes referred to as urban-limit lines or rural-limit lines, development is either prohibited or highly discouraged (Staley & Mildner, 1999). The cornerstone of a land-use programme, the urban growth boundary (UGB), represents a planning tool qualitatively different from traditional land-use regulations. The qualitative difference lies in the addition of a new dimension—the dimension of timing. Whereas traditional land-use regulations specify what, where, and how one can improve land, the UGB specifies when one can improve land.

## **2.7 Conclusion**

At the outset three elements that influence the dynamics of planning were explained. These elements are: urbanization, urban growth, and the informal sector. The purpose of the studies was to provide a level playing ground for the analysis ahead. The term *urbanization* was explained to reflect the controversy surrounding its meaning and definition. The different disciplinary perspectives were highlighted although the consensus tends to gravitate towards the perspective of relating urbanization with economic growth. The term urban growth was explained from a spatio-physical perspective, thus highlighting structural growth that is responsible for urban change. The focus on the informal sector elucidates the in-formalization of human systems and the attributes of the sector as a determinant factor of population mobility that impacts on the distribution of people and activities in space.

The study of the theoretical framework examined the evolution of regional development theories and urban planning theories in the context of the prevailing ideological perspective of neo-liberalism. The platform of neo-liberalism and the projection of neo-liberal planning theory were examined. The meaning of neo-liberalism is rather relative; however, it generates new perspectives in planning which highlight informality and

participatory planning. Against this backdrop the evolution of regional development theories was examined for the 1930s to the 1990s period. All through the review attention was focused on the progression of contributions and their links with the spatio-physical perspective.

The study of urban planning theories which followed focused attention in two directions: first, expounding the concepts of urban environment, the region and regional integration. The review highlighted attributes that comply with contemporary understandings but seldom put into consideration in the rhetoric of planning. Inevitably, classic theories of urban land use structure were revisited. The last known input in these sets of theories was indeed in mid-1950s with the contribution of Isard (1955); hybrid theory followed three decades later in the 1990s by other emerging contributions. Second, the paradigm shift in planning was examined, specifically the master planning and participatory planning paradigms were reconsidered with regards to their significance in planning for regional integration. This has implications for the development of the space economy hence the extended metropolitan region (EMR) and growth triangle (GT) and polycentric models of space economy found largely in Asia and Europe were examined.

Overall, trends in the theoretical framework of planning were found to be under the strong influence of informality. This trend received impetus from neo-liberalism. Within the period investigated, starting from the 1960s, neo-liberal planning theory developed to complement trends in the development of regional development theories which were found to seek economic bases for regional integration and not spatio-physical bases, although more recent contributions in new economic geography which developed in the 1990s tended to look more towards geographic space. The growth of classic urban land use theories stagnated in the 1980 – 1990 period and that gave neo-liberal planning theory the leverage to undermine land use planning. In effect urban form and modelling of space economy lost favour. Somehow there is no link between the development of regional development theories and spatial models of space economy. The urban structure theories had little to do with growth management instruments. The linkage between planning theories, spatial models and growth management is not clear. It seems informality consolidates the yawning gap between theories and spatial modelling. How this scenario plays out in practice is the subject of the analytical framework which is examined in the next chapter.

## **Chapter 3: Analytical framework**

In this chapter the analytical framework for planning is reviewed. This review looks into a paradigm shift in planning and corresponding trends in spatial and statutory planning. Growth management instruments receive succinct attention followed by a view of spatial models of space economy. Two case studies are anticipated: an iterative case study of country profiles of selected African countries and a review case study of spatial development initiatives in Africa. A review of regional integration in sub-Saharan Africa concludes the section.

### **3.1 Introduction**

Current trends in development processes indicate paradigm shifts in planning. The era of statutory planning seems to have become out-dated since the 1960s. The ensuing spatial planning diverts attention from statutory attributes of planning to non-statutory attributes, thus shifting from form to process-planning. Since the 1980s spatial planning has metamorphosed from a strategic to a comprehensive concept, more committed to economic growth than managing urban growth. Hence it is tenuously linked to growth management instruments.

### **3.2 Trends in the dynamics of a paradigm shift in planning**

There are three factors that influence the dynamics of paradigm shifts in planning. They are either global trends or the influence of northern-based development agencies or new approaches in response to particular issues in southern cities (Watson, 2009:179). Among the three factors, global trends are most overbearing and largely responsible for the insurgence of stakeholder participation in planning that is currently rocking planning perspectives worldwide. Reactions to this trend are insightful.

The assumption of a relatively homogeneous civil society with a common worldview, able to debate planning alternatives and reach sustained consensus that underpins the participatory theory has been challenged more generally and particularly in the context of Sub-Saharan Africa in the global south (see Watson, 2002; 2006; Devas, 2001). Although, as Watson (2009:159) observed, 'there has been a tendency in the planning literature to assume a one-dimensional view of civil society and the role it might play in planning initiatives. The ideal of strong community-based organizations, willing to meet late into the night, debating planning ideas, may be achievable in certain parts of the

world, but civil society does not always lend itself to this kind of activity'. In Africa, the Middle East and much of Asia, Bayat (cited in Watson, 2009:159) argues, "... social networks which extend beyond kinship and ethnicity remain largely casual, unstructured and paternalistic". In many parts of the world as well, Davis (2004) argues, civil society is being inspired more by popular religious movements (Islamist, and Christian or Pentecostal) than by organized demands for better infrastructure or shelter, given that efforts to secure the latter have so often failed. Overall the global south does not present a strong civil society that demands involvement in urban planning. The situation in Africa is such that inclusive participatory planning is more or less induced as a fall-out of international development discourse.

The inception of participatory planning perspectives in Africa in the 1980s was a direct result of global trends linked with the activities of external assistance agencies. The participatory paradigm is more rhetorical than operational in spite of the mechanism of decentralizing planning administration to local government administrative levels. The effectiveness of this strategy had to contend with the inherent weakness of the local government system. Public participation and consensus, whereby the wishes of individual, small groups and the popularity of politicians shape urban destiny should be viewed seriously because it leaves room for unintended consequences of informalization most likely to out-weigh the very elusive anticipated benefits. So far there has been an over-reaction on the part of urban planners, leading to excessive participation and the neglect of actual physical planning.

### **3.3 Trends in statutory planning**

Statutory master planning was and still is a universal planning instrument. Master plans prepared within the first half of 20<sup>th</sup> century, especially by French architects under the influence of Le Corbusier, abound. Within the same period Japan experimented directly with imposed master planning and western urban forms in what were then its own colonies of Taiwan, Korea, China and Manchuria – see Hein (cited in Watson, 2009:174). Indian and Latin American cities' involvement is outstanding. Lately, in the 1980s, cities in China and East and South-east Asia, hitherto without institutionalized planning systems, adopted master planning amidst the contemplative scenario for new innovations in urban planning. Remarkably, Singapore and Hongkong within the Asian bloc have long-standing and successful experience with master planning. The new

entrant China was formally rehabilitated with the City Planning Act of 1989, which set up a comprehensive urban planning system based on the production of master plans to guide the growth of China's burgeoning new cities (Friedmann, 2005).

With the inception of colonial urbanization in the mid-19<sup>th</sup> century the instruments for urban design in Africa, specifically Anglophone Africa, were imported as direct products of the professional design tradition in urban planning in Europe, especially British town-planning laws, the Town and Country Planning Act of 1947. A different approach somehow applied in Francophone Africa where colonial authorities fabricated planning instruments *insitu* as fortuitous circumstances permitted. Anyhow, the use of master planning instruments prevailed.

Since 2000 issues of environmental determinism, such as global warming, urban sustainability, climate change, etc. have propelled the trend to reconsider the tenets of master planning for efficient intervention. Already the idea of new master planning is under way in a few places, including China and in Singapore, where it takes the form of draft master planning. In both instances renewed master planning retains an intervention orientation and growth and land use planning are its central elements. Its resilience is outstanding in the face of fierce criticism. Indeed, the problem is not with the instrument but with the instrumentality. Most of the criticisms, such as questioning its validity in a pluralistic society, restrictive, unrealistic, etc. are skewed reactions to human problems linked with spurious planning practices.

### **3.4 Trends in spatial planning**

Since attention dimmed in terms of the master planning category of spatial planning, a renewed interest in spatial planning has found expression in guidelines to spatial frameworks within different spheres and levels of government. Harrison and Todes 2001 summarized reactions worldwide thus:

The European Union (EU)... has prepared a European Spatial Development Perspective (ESDP) which provides a platform for negotiating the spatial allocation of resources across the continent. In the UK serious consideration is now being given to the preparation of a National Spatial Perspective (Alden, 1999; Shaw, 1999), whilst spatial frameworks have recently been prepared for Wales and Northern Ireland, with Scotland to follow suite (Lloyd and McCarthy, 2000). In the US, the current emphasis on 'growth management' and 'smart growth' is associated with a new wave of spatial planning at state, district and



local scales, although there is still considerable variation between states (APA, 1999).

The EU encounter that led to the final version of ESDP in 1999, after ten years of continuous effort, is very illuminating. The ESDP is a shared vision for the European territory that arose primarily out of concern for the distortions and disparities in spatial development of EU territory. The intended operation is then meant to achieve a more integrated spatial development that will enhance the competitiveness of the territory in the global economy. Incidentally, the EU territory shares four regional perspectives in spatial planning. The challenge ahead was to integrate these perspectives and come up possibly with a unified European spatial planning perspective. How this can be done must find a methodology of accommodating diversities in the regional context of development. Hence in terms of the formulation of European spatial planning policy guidelines, the four spatial planning blocs held their bargaining positions to express their concerns.

The north-west perspectives spearheaded the collaborative process. It postulates the need for a formal planning competency that can lead to the inclusion of territorial cohesion as a shared competence in the Treaty establishing a Constitution for Europe (Faludi, 2005). British perspectives were more concerned with the complex links between spatial planning and land-use planning. Nordic perspectives spotted the discursive nature of European spatial planning and Southern perspectives - apparently the missing link in the overall puzzle prefers to watch changes in planning practice. Janin and Faludi (2005:211) synthesized these positions in their analysis of spatial planning as an experimental field for European governance.

Since ESDP, the configuration of spatial planning policy at a European level has manifested recourse to new policy processes, instruments and techniques (Giannakourou, 1996:608). The narrative that follows shows that the European context and the ESDP are beginning to be accepted as an important frame of reference in the production of Regional Planning Guidance. However, it appears that changes or innovations in governance occasioned by objectives of European integration generate ripples over a shared understanding of what European spatial planning actually means. Sure enough, there is still a long way to go, and European spatial planning needs a clearer technical definition of what it is about in order to make its usefulness and capacity as a proper tool of European integration more transparent (Janin, 2003, 2005).

They will have to find a way of fully incorporating the southern perspective whose planning tradition tends to lean more towards neo-classical perspectives as a practical option to achieve a more balanced and multi-centric system of cities.

The turn of events greatly influenced by ESDP compelled Dasí (cited in Nadin & Stead, 2008:40) to argue that the comprehensive integrated and regional economic planning styles are becoming more common, and, moreover, that this process is producing a “neo-comprehensive integrated planning approach”. How this plays out in different scenarios depends on recent welfare reforms. Dutch spatial planning is tending towards a more liberal approach. It is now more difficult to categorize the planning system in England as dominated by the land-use regulation model (Nadin & Stead, 2008:44). Most of the changes derive from reformed planning legislation. The case of the reformed Planning Act of the 1970s, that decentralizes decision-making authority and promotes public-participation in planning in Denmark and the Spatial Planning Act (2001) in Bulgaria are typical examples that identify a recourse to a comprehensive spatial planning approach. The 2004 Planning and Compulsory Purchase Act for EU countries introduced critical reforms for local planning. Planning here (ostensibly under the influence of ESDP) remains within the drawing-board category and is essentially two-dimensional in emphasis.

The concept plan of Singapore is a peculiar approach that developed outside the influence of ESDP. It actually preceded ESDP and consistently maintained a basic physical approach to planning. Hence it remained within the realm of neo-classical master planning with a decentralization policy, enlarged regional reach and visioning capacities. This was integrated into a wider national policy of egalitarianism as Singapore evolved from a British colony to an independent city-state (Eng, 1992:183).

Also not overtly committed to ESDP is the situation in Italy where a regulatory planning approach has traditionally been adopted (Janin, 2003:68). During the past decade Italy started to adopt strategic plans in response to a progressive shift of technical focus from city plans to urban policy and perhaps to the cities. In this very typical situation trends in planning indicate that many opportunities exist for integrating ‘urbanism’ traditions, regulatory requirements and the strategic dimensions of planning (Janin, 2003:66). The overall synthesis including the Singapore experience signals a gradual shift of emphasis to visual planning or more appropriately three-dimensional planning. At the horizon of

this trend is creative urbanism currently subsumed in contemporary new urbanism. Creative urbanism emphasizes variety – the focus is not on technicalities but on visual appeal, cultural significance and aesthetic innovations that are based on the theory of related areas (Tunnard, 1951:234). This approach to planning perceives the city as a worthwhile expression of culture and art. In its operations it tends to integrate the past with the present while planning for the future.

In Africa two reasons are responsible for the renewed interest in spatial planning in the mid-1990s. First was the bandwagon effect of global trends in relating spatial planning to infrastructure and second, the severe criticism of master planning allegedly for its inability to shape spatial changes in cities (especially those in developing countries) (Todes, 2012:158). For most African countries the first reason is more pronounced, except in the rare case of South Africa where the rejection of master planning left a vacuum in spatial planning that elicited attention in the first instance and then followed by introducing a trend. The South African experience is sufficiently visible in literature.

Within roughly four decades of continuous inquiry South Africa experimented with roughly seven alternative approaches to spatial planning, each with an average lifespan of 5-6 years. Yet the highly elusive search for an appropriate paradigm for spatial planning seems not to be on hand. However, some milestones have been reached in three directions: firstly, linking spatial planning with infrastructure development or sectoral planning, secondly confirming that a recourse to neo-liberal ideology had the effect of politicizing planning beyond the traditional levels of politics in planning, and thirdly, realizing the strategic need for statutory planning, strong leadership, and detailed plans with which to direct development as prerequisites for effective planning intervention. These are hard facts, ordinarily in the rhetoric of neo-liberal planning, and will not be easy to accept.

From the foregoing events in the EU and perhaps the ASEAN bloc, it seems that the trend is very pragmatic, focused on the problem and committed to a vision. In the developing countries, spatial planning was marginalized by structural adjustment programmes in the 1980s but from the events in South Africa there do seem to be indications of a restored role for spatial planning as part of the broader shift towards integrated development planning (Harrison & Todes, 2001:65).

### **3.5 The Urban Growth Boundary (UGB) experience**

The application of UGB started in the mid-20<sup>th</sup> century. Britain adopted the UGB instrument for urban growth management in the 1940s and ever since then UGB has been used extensively in many European countries, including Canadian provinces like Vancouver, British Columbia, and also in Europe, Copenhagen (see Byrd, 1999). But growing support for UGB in recent times has been found in America. The first state to use a growth boundary in America was Kentucky, which drew a boundary around Lexington in 1958 to protect the Bluegrass County outside the city. More than twenty counties and fifty cities adopted urban-limit lines or green belts in the 1970s and 1980s. In the 1990s growth boundary activity increased and proliferated. At present more than one hundred cities and counties in America have adopted UGB, and as at 1998 state-wide mandates for growth boundaries have existed in Oregon, Washington and Tennessee. In California, there is no state mandate for UGBs, but they can be adopted by individual communities through their city councils or through voter approval at the ballot box. As at 1998 some of the communities that have received approval to adopt UGB are: Santa Rosa, Sebastopol, Healdsburg, Pleasanton, San Jose, Cupertino, Morgan Hill, Monte Sereno, Los Gatos, Napa and as many as ten other prospective communities. Some others use UGBs on a voluntary basis such as Lancaster County and Pennsylvania, Seattle, Colorado, Minneapolis/St Paul and Minnesota, etc. Apparently the most notable implementation of a UGB is Portland, Oregon, which created an urban growth boundary in 1979 after the state passed the 1973 Land Conservation and Development Act requiring all cities in the state to plan for them (Sitko, 2005).

The UGB concept was introduced in South Africa in the 1970s by the Natal Town and Regional Planning Commission of the Province of Natal (now known as KwaZulu-Natal) in the regional guide plans for Durban and Pietermaritzburg. The concept was at that stage termed an Urban Fence. The urban fence strategy was incorporated into the Integrated Development Plan that is required for all local authorities in South Africa. This plan would as one of its components include a Spatial Development Framework plan which would normally, certainly for the larger metropolitan areas, indicate an Urban Edge beyond which urban type development would be severely limited or restricted (Metropolitan Durban - Draft Guide Plan, Natal Town and Regional Planning Reports Volume 28, 1974.). But Schoonraad (2000) in his study on why South Africa continues

to build unsustainable cities argues that the UGB concept cannot be applied in South Africa. The North African experience is barely recorded. Remarkably traditional African cities had town-walls and other forms of town boundaries including spiritual belts in stateless animist societies found in Ibo cultural area in south-eastern Nigeria. These town walls were effective instruments of managing growth which hold lessons for contemporary practice.

### 3.6 Spatial patterns of space economy

#### 3.6.1 EMR model in Kuala Lumpur

The Federal Territory of Kuala Lumpur is the national capital of Malaysia with an estimated population of 1.6 million (2006 census) (see **Figure 3.1** below). It was formed in the 1850s.



**Figure 3.1: Asia Pacific Region**

Source: Kuala Lumpur Structure Plan 2020

The Kuala Lumpur and its conurbation (KLC) is the extended metropolitan region (EMR) (see **Figure 3.2**). According to Kuala Lumpur Structure Plan 2020:

The KLC refers to the entire Klang Valley Region as originally defined by the Klang Valley Study (1972) together with much of the Kuala Langat district and the remaining part of the Sepang district where the Kuala Lumpur International Airport (KLIA) is located. It covers a total area of approximately 4,000 square

kilometres, which is about 40 per cent larger than the size of the Klang Valley Region of 2,843 square kilometres.



**Figure 3.2: Kuala Lumpur and its conurbation (KLC)**

Source: Kuala Lumpur Structure Plan 2020

Main features of KLC include:

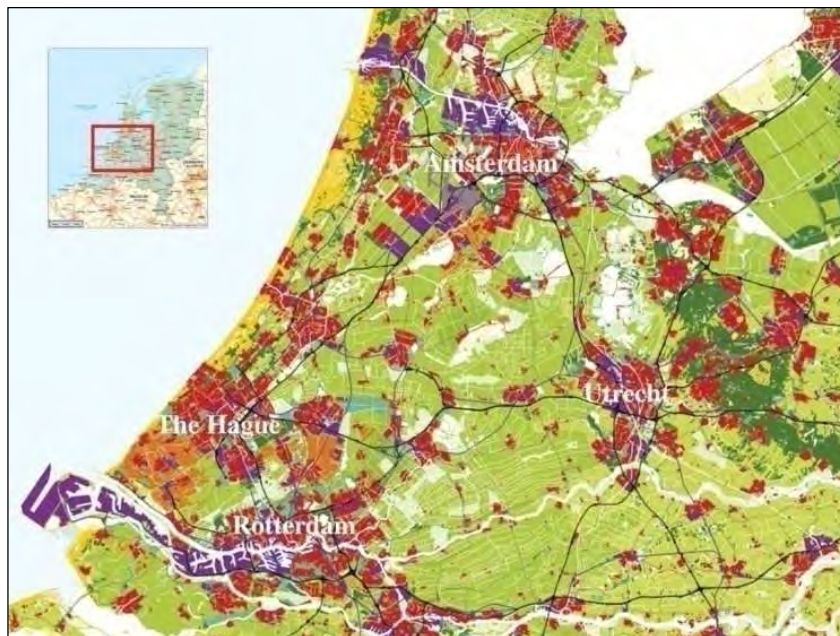
- i. Kuala Lumpur functions as the nucleus of the KLC;
- ii. The Multimedia Super Corridor which includes Cyberjaya as the multimedia centre and Putrajaya as the administrative centre and six other main service centres;
- iii. Functional specialization is maintained – more specialized functions are allocated to the city (i.e. Kuala Lumpur) while more general functions are allocated to the growth centres;

- iv. There is a cluster pattern of development around the nucleus, Kuala Lumpur; and
- v. Positive linkage expressed in forward migration from Kuala Lumpur to other urban areas and growth centres.

Remarkably, statutory planning applies, which proceeds from the regional to the city level. The legal provisions for planning are customized (e.g. the Federal Territory (Planning) Act 1982 (Act 267) for the preparation of KLSP 2020). Plans for the KLC extend from broad guidelines in structural plans to detailed provisions involving urban design for specific sites. A consultative participatory approach is mainstreamed in the planning process without compromising design principles to ensure that the city of Kuala Lumpur is shaped in line with the vision of generating a world-class city.

### 3.6.2 Polycentric model in The Netherlands

Amsterdam is part of the Randstad urban region, which consists of the four largest Dutch cities (Amsterdam, Rotterdam, The Hague and Utrecht) and the green space (Green Heart) and smaller-sized towns that are located in-between. Amsterdam belongs to the so-called 'North Wing' of the Randstad, which is economically the most powerful region of the Netherlands (ACRE, 2007) (see **Figure 3.3** below).



**Figure 3.3: Amsterdam within the Randstad.**

Source: Lambregts et al. (2008)

The Randstad Region as a whole is quintessentially polycentric (see Lambregts et al. and Hall & Paincited in Janssen-Jansen, 2011:259) with growth trends covering large parts of Gelderland and North Brabant. This signals the concept of a larger Central Netherlands Urban Ring. Since the 1990s the attention of planners in the Netherlands has wavered between the two concepts of 'The Randstad' and the 'Central Netherlands Urban Rings'. Since the 1960s planning has been seen less and less as a national government responsibility as they contemplate the two models of urban region spatial development (ACRE, 2007:9).

The Amsterdam Metropolitan Region (AMA) located within the Randstad area was meant to develop as a city province in the 1990s. Instead, regionalization initiatives proceeded in 1995 leading ultimately to the 'Regio Randstad' network since 2002 and its main target is to improve the international competitive position of the Randstad in Europe (ACRE, 2007:14).

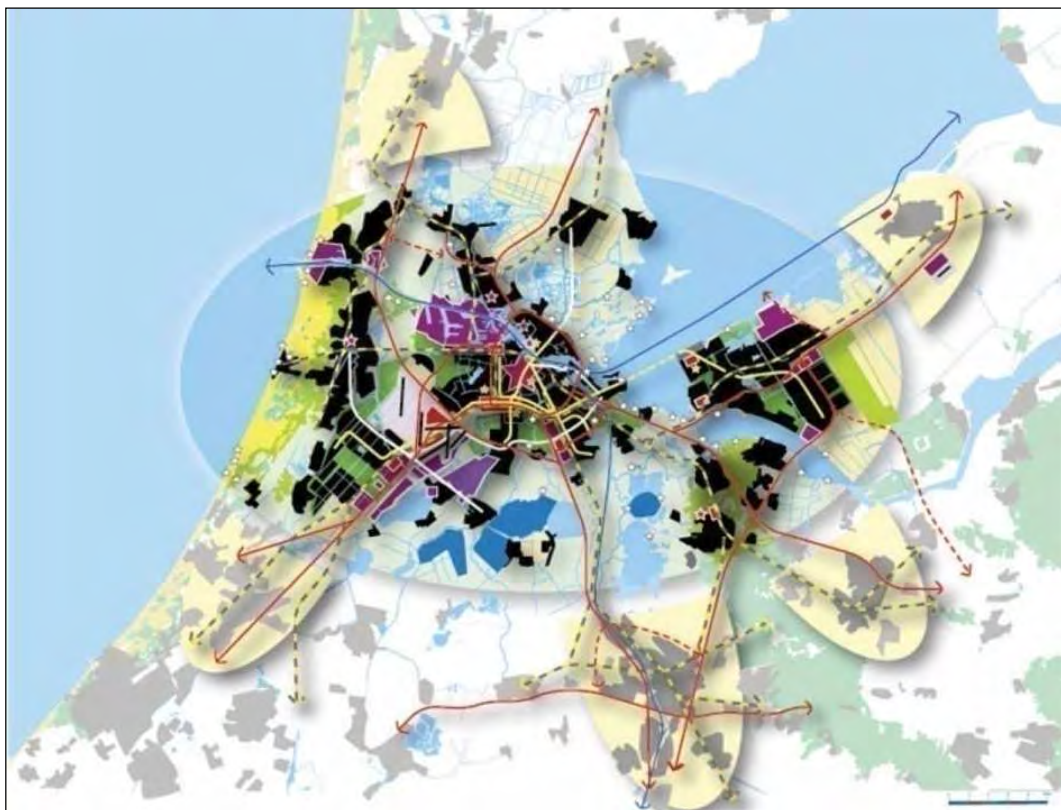
Meanwhile the Randstad area, the most important region, contains the Amsterdam Metropolitan Region (AMA). Initially a city province was envisaged as development strategy for the city in the 1990s. This strategy was rejected in 1995, and subsequently efforts towards formalized regionalization ensued but progressed rather slowly due largely to competition among municipalities. The first effort at regionalization was the Regional Co-operation Amsterdam (RSA) initiative, a voluntary and project-based co-operation and is basically a negotiation platform, then followed by City Region Amsterdam formally the Regional Body Amsterdam (ROA) initially with temporary status when it was meant to facilitate the City province initiative. When that initiative failed the status of ROA was made permanent in 2005 under a new name, City Region Amsterdam. Since 2002 co-operation amongst the provinces yielded the 'Regio Randstad' network and its main target is to improve the international competitive position of the Randstad in Europe (ACRE, 2007:14).

The city of Amsterdam is the financial and cultural capital of the Netherlands with emphasis on service delivery, especially knowledge services. The Greater Amsterdam (the sub-regions Amsterdam, Amstel-Meerlanden and Waterland) is the engine of economic growth of the region with a domestic product twice as big as in the other sub-regions and responsible for 75% of regional 'value added' of around 61 Million - see O+S (cited in ACRE 2007:16). The economic position of the city and its region is not



disconnected, as national airport and the second largest seaport are located within its territory and by the traditional diversity of the regional economy.

The AMA was encouraged to develop as a “creative knowledge region” with the National spatial development policy of the 1960s and 1970s. This involved the urbanization policy of “clustered de-concentration” which led to the development of new towns in the reclaimed Flevoland. By 2000 the “urbanization of the suburbs” ensued with respect to economic development. The spatial redistribution of economic activities encouraged a peculiar development pattern. Rather than a strong core city with residential suburbs, the region started to develop into a polycentric metropolis with different economic sub-centres (ACRE, 2007:29) (see **Figure 3.4** below). The distribution of the sub-centres located along transportation routes depicts a typical multiple-sector urban structure in an urban region context. One of such economic sub-centres is the Airport city Schiphol, reputed to be the most prominent growth engine behind the rather spectacular economic resurgence of the Amsterdam Metropolitan Area since the late 1980s (ACRE, 2007:28).



**Figure 3.4: Amsterdam Metropolitan Area strategic plan**

Source: Metropoolregio Amsterdam (2008)

Overall, the main features of the polycentric pattern of development of Amsterdam Metropolitan Region are:

- It was triggered by population growth and encouraged by an urbanization policy of “clustered de-concentration” as well as growth of metropolitan thinking;
- Planning was increasingly a regional concern strongly influenced by the alignment of municipalities into informal networks;
- It developed under non-statutory planning environment. Informality in planning was high courtesy of the activities of vibrant civil societies and according to Janssen-Jansen (2011) informality impeded plan implementation at the operational level;
- Spatial redistribution of economic activities through a natural process led by employment and housing suburbanization within 30km zone catalysed the polycentric model;
- The polycentric model is characterized by service industries with a bias towards knowledge-based services;
- The nodes are purely market force-induced economic sub-centres located along transport corridors and have nothing to do with civic identity;
- Growth issued from the Greater Amsterdam, the capital city of Netherlands and reportedly from the Airport City, Schiphol;
- The airport and seaport and the availability of knowledge based industries were critical growth poles for economic development in the region.

### **3.6.3 Space economy in Africa**

There are seven stages in the history of African civilization that correlate with changes in space economy, that is to say, changes in the distribution of economic land-use functions in space. These stages are summarized in **Table 3.1** below.

**Table 3.1: Stages in the history of African civilization**

S/no	Periods	Events	Main features
1.	1 <sup>st</sup> – 10 <sup>th</sup> century	Empire and Kingdom building.	<ul style="list-style-type: none"> <li>• Ghana empire in western Sudan (8<sup>th</sup>C)</li> </ul>
2.	10 <sup>th</sup> -15 <sup>th</sup> century	Mercantile trade. Empire building.	<ul style="list-style-type: none"> <li>• Trade on gold and diamond.</li> <li>• Trans-Saharan trade with Arab merchants.</li> <li>• Mali Empire emerged (13<sup>th</sup> C)</li> </ul>
3.	15 <sup>th</sup> – mid-19 <sup>th</sup> century	Slave trade. Empire building.	<ul style="list-style-type: none"> <li>• Earlier patterns of urbanization.</li> <li>• Arrival of Portuguese, British and French merchants.</li> <li>• Trans-Atlantic trade began.</li> <li>• Monomotapa Empire in Central Africa (15<sup>th</sup>C).</li> <li>• Luba-Lunda Empire in Central Africa (16<sup>th</sup>C).</li> <li>• Angola Empire in the Atlantic Coast (16<sup>th</sup>C).</li> <li>• Songhai Empire emerged in western Sudan (16<sup>th</sup>C).</li> <li>• Kanem and Benin kingdoms in West Africa (late 16<sup>th</sup>C).</li> <li>• Asante Empire in west Africa (17<sup>th</sup>C)</li> <li>• Oyo and Dahomey kingdoms in West Africa (18<sup>th</sup>C).</li> <li>• Kanem-Bornu and Habe kingdoms in northern Nigeria (19<sup>th</sup>C).</li> <li>• Zulu kingdoms in south-eastern Africa (19<sup>th</sup>C).</li> <li>• Trade on gold continued.</li> <li>• Quest for imperial control.</li> <li>• 'New' towns in new trade routes.</li> <li>• Religion.</li> </ul>
4.	Mid-19 <sup>th</sup> – Independence decade (1950's-1960s)	Colonization.	<ul style="list-style-type: none"> <li>• Fulani States in northern Nigeria (Mid-19<sup>th</sup>C).</li> <li>• Berlin conference and its impact on kingdom building.</li> <li>• Changing pattern of urbanization.</li> <li>• Colonial towns emerged.</li> </ul>
5.	1960s – 1970s	National government initiatives.	<ul style="list-style-type: none"> <li>• National government.</li> <li>• National development planning.</li> <li>• Urban master plans.</li> </ul>
6.	1970s - 2000	Paradigm change in development framework.	<ul style="list-style-type: none"> <li>• Neo-liberal economic theories.</li> <li>• Increasing urbanization.</li> <li>• Unprecedented urban growth.</li> <li>• New-town development.</li> <li>• Escalating urban predicaments.</li> <li>• Paradigm shift in urban planning.</li> <li>• Sustainable cities development era.</li> </ul>
7.	2000 - Date	NEPAD initiative and Globalization hegemony.	<ul style="list-style-type: none"> <li>• Inception of NEPAD.</li> <li>• The African Union factor.</li> <li>• Megacity syndrome.</li> <li>• World cities syndrome.</li> <li>• Trade liberalization (Monterrey and American consensus).</li> </ul>

Source: Own construction (2011)

In all of these stages the trade factor was literally the critical variable that impacted on changes in the geographic distribution of economic activities. By implication, market forces shaped the space economy and are therefore accountable for the inherent distortions that correlate strongly with the poor performance of urban productivity in Africa.

The development of a space economy in Africa centred on the alignment of transport routes which influenced the distribution of cities and the reworking of city structures. Given the colonization experience this was mostly done with imperial objectives. The city structure particularly experienced transformational influences. The traditional socially homogeneous urban space found especially in Anglophone Africa became segregated, a transformation that was more common in Francophone Africa where deliberate efforts were made by colonial administrators to plan the urban space. Apart from redistributing the urban pattern, the combined effect of trade and colonial planning intervention altered the structure of city in divergent ways.

Somehow, slowly and steadily, the integrated cosmology of traditional Africa was replaced with single-minded utilitarian objectives which produced utilitarian designs for cities in Africa. The design options bulldozed cultural symbols, behaviour, and beliefs that determined the base of traditional African cities. Cities in Africa became hybrids, an inevitable product of intervening culture and policy formulation hegemony from abroad. Beginning from the mid-19th century, cities in Africa were no longer 'African cities' both in character and in function because the institutional framework underpinning them altered significantly. 'African cities' became cities in the Diaspora in their homeland.

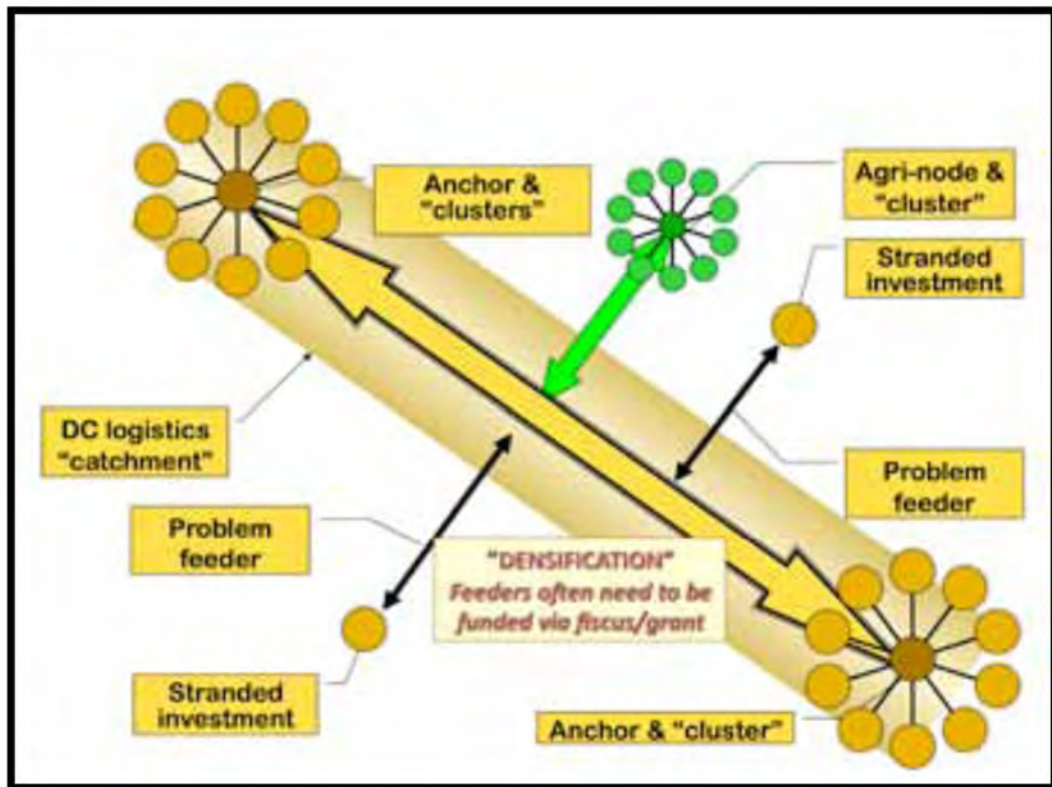
There were two categories of colonial towns that emerged, both of which served and are more or less still serving as suppliers of raw materials and outlets for western manufactured goods (Oliver, 1971:227). The categories found mostly in West Africa's francophone region are mostly outgrowths of existing 'new' settlements founded during the slave trade period. The other category found in the settler territories of north, east and southern Africa by contrast were 'new towns': European in appearance, planning and organization and served by an itinerant class of landless peasants, migrant black paupers, mine boys and domestic servants" (Oliver, 1971:227). Due to declining productivity, these cities are increasingly considered irrelevant in the global networking of cities based on functional linkages. After a painstaking quantitative analysis of the

connectivity of African cities, Onyebueke (2011) arrived at the inevitable conclusion that African cities occupy a very low place and function in the global economy.

### **3.6.3.1 Trends in the development of space economy in Africa**

Since 2006 the African Union (AU) has initiated actions to redress the imperial space economy with a desktop study undertaken by South Africa's RSDIP and Mintek that investigated the adequacy of development corridors (DCs) frameworks contained in spatial development initiatives (SDIs). About twelve new SDIs were examined in addition to those that currently exist in South Africa, following a plan of action for accelerating industrialization and which led to the formation of RAIDS (Resource-based African Industrial and Development Strategy) in 2008.

The AU RAIDS strategy –an Africa-wide SDI strategy - draws heavily on the long standing experimentation with DCs and SDIs in South Africa. In the emerging development paradigm the development corridors are described as transport (or trade) corridors with under-utilized economic potential in their environs (see **Figure 3.5**), the development of which would be explored through spatial development initiatives (SDIs) (Thomas, 2009:1). Principles that underpin the SDI strategy include the presence of real economic potentials, private and public sector resources, and an equitable spread of economic benefits. The primary elements include public–private sector investment in SDIs, political support, and well-planned publicity of opportunities. Additional elements recognized in the RAIDS strategy include setting up a network of trans-national development corridors to complement current SDIs in South Africa, densification of the catchment areas of the corridors, development of resource linkages in industrial clusters, and investment in R&D.



**Figure 3.5: Idealized DC configuration**

Source: Mintek 2007

In summary, common trends indicate the growing influence of informality and informal spatial planning that encourage broad guideline plans, and sectoral planning work to enhance the stakes of market force in determining the development of the space economy. The case of Kuala Lumpur remarkably indicates the reversal of these trends, regardless of the concern for participatory planning. Otherwise, a transition from a master planning to a strategic planning perspective is evident, driven strictly by economic growth and most probably linked with the down-stream activities of the global economy that supports backward capitalist production. Market forces maintain systemic relevance in pursuit of informal growth. This is reinforced in the outlook of infrastructure development planning epitomized in RAIDS initiatives in Africa.

### 3.7 Iterative case study of country profiles of selected African countries

The fourteen thematic areas examined generated valuable information. An educated summary of impressions is given at country profile level from which the perception of the state of art for the various thematic areas is postulated. Given the relative position of the

various countries in the postulation, the positive compliance of these countries with the options (variables) in the new theoretical framework is identified and further analysed.

### **3.7.1 Thematic information on selected African countries**

An educated summary of information derived from iterative database of relevant planning themes in selected African countries is presented in **Table 3.2** below.

**Table 3.2: Iterative database of selected African countries**

THEMATIC AREAS	SOURCES: LINE OF ARGUMENT (COUNTRY LEVEL)		
	DRC	ANGOLA	MALI
<b>Country profile (growth indicators)</b>	<ul style="list-style-type: none"> <li>• Gained independence five decades ago, spatially double the size of most African countries and graded second in landmass; operates three-tier territorial divisions with dominantly poor, large, and growing population graded third position that engage mainly and increasingly in agricultural activities, • the weak national economy manifests increasing GDP, unstable GDP growth rate, declining per capita productivity, growing inequality, increasing level of urbanization with the incidence of mega-cities although with relatively medium urban growth rate, • apparently active in regional networking and anticipates to consolidate national unity presently undermined by successive wars.</li> </ul> <p><b>References:</b> ADB/ADF, 2009:17; McGranaham et al, 2009:43; UN-Habitat, 2010; Gunilla Ölund Wingqvist, 2008:2; Putzel et al., 2008:7; UN-Habitat, 2010:181.</p>	<ul style="list-style-type: none"> <li>• Gained independence approximately four decades ago, spatially half the size of the DRC and graded fifth in landmass, operates two-tier territorial divisions with about half of the relatively small population that is graded fourteenth position within poverty level with more than half the labour force engaged in informal agricultural activities • the extroverted national economy grew phenomenally in mid-2000 mainly on account of petroleum related industrial activities with corresponding increase in per capita productivity although inequality grew as well perhaps indicating lop-sidedness in economic growth, itself slowing down at reduced growth rate, • higher urbanization level is anticipate although megacity syndrome is a remote possibility at the moment, however the primacy of Luanda is evident, • apparently active in regional networking and anticipates a new era of peace, reconstruction and reconciliation.</li> </ul> <p><b>References:</b> McGranaham et al., 2009:43; UN-Habitat, 2010:174; Sousa, M. A. 2002:97; UN-Habitat, 2010:181.</p>	<ul style="list-style-type: none"> <li>• Gained independence five decades ago, spatially almost same size with Angola and operates multiple levels of territorial divisions for a relatively small but increasing population half of which are poor and engage mainly in agricultural activities, • the impoverished national economy which is agriculture driven is improving gradually at a moderate growth rate and positive per capita productivity however with clear indications of asset poverty inequalities, • urbanization level is low although its growth rate is high but there is no indication of megacity development, • actively involved in regional networking and anticipates to control the destiny of its civilization.</li> </ul> <p><b>References:</b> Farvacque-Vitkovic et al., 2007: 25; Djiré, M 2006:1; McGranaham et al., 2009:43; Yousif, 2005:58; Farvacque-Vitkovic et al., 2007: 1; 35-38, Yousif, 2005:58; GSDI, 2010:25; UN-Habitat, 2010:53.</p>
<b>Urban planning machinery</b>	<ul style="list-style-type: none"> <li>• More concerned with environmental policies with backup legislation specifically focused on forest management as such statutory zoning</li> </ul>	<ul style="list-style-type: none"> <li>• Operates decentralization policy that is more concerned with redistributing the national economy</li> </ul>	<ul style="list-style-type: none"> <li>• Decentralization policy backed by legislation, squarely concerned with territorial divisions; land use</li> </ul>



	<p>regulations guide land use planning; • available agencies are committed to land affairs, agriculture development and environmental management; managing the large landmass and the forest most probably informed the environmental orientation of the planning machinery.</p> <p><b>References:</b> FAO, 2009a; BDA, 2007:1-59.</p>	<p>although they have a crop of planning laws enacted mid-2000 that deals directly with urbanization and urban development perhaps in anticipation of the spatial implications of their decentralization policy and some of the legislation specify regulations on physical planning, • there exists a well-developed range of agencies concerned with urban planning and urbanism, enough to effectively deliver in space the decentralization policy.</p> <p><b>References:</b> Documents:: • Land Use Planning and Urban Development Act (n° 3/2004 of June 25); • Angola's 2004 Land Law; • 2004 Law of Territorial Planning and Urbanization (Lei do Orderamento do Territorio e do Urbanismo, Lei 03/04, 25 June 2004); • 2007 Land Law Regulations; Environment Framework Law in 1998 (Lei de Bases do Ambiente), No. 5/98 of 19 June; • Basic National Planning System Law No20/11 of April 14, 2011.</p>	<p>planning is a directorate function most probably to support ministerial urban development functions; planning activities is guided by regulatory urban planning documents in Francophone countries.</p> <p><b>References:</b> Farvacque-Vitkovic et al., 2007:vii, 28/52; World bank, 2002c; Attahi et al., 2009:35.</p>
<b>Urban form</b>	<ul style="list-style-type: none"> <li>• Introverted urbanization leading to city primacy with Kinshasa as centre of attraction; the urban form manifest sprawl spatial pattern of expansion aided by dispersed land use distribution especially at the periphery areas due to processes of succession, although some measure of gentrification is also manifest and is responsible for smart growth occasioned by the activities of real estate agents.</li> </ul>	<ul style="list-style-type: none"> <li>• Introverted urbanization characterized by city primacy and informal settlement development at the fringe areas hence both processes of gentrification and succession are manifest; the urban form is cryptic with very complex urban patterns and dispersed land use distribution associated with informal smart growth operations</li> </ul>	<ul style="list-style-type: none"> <li>• Sever introversion of urbanization responsible for acute primacy of Bamako the capital city; on the one hand the urban form manifests extensive sprawl that features dispersed distribution of heterogeneous land use patterns lead by qualitative urban growth, on the other hand downtown areas experience densification due to city</li> </ul>

	<p><b>References:</b> UN-Habitat, 2010:174,175,178,182,189.</p>	<p>resulting in uncontrolled densification. <b>References:</b> Jenkins et al., 2002:118,124; UN-Habitat, 2010:174,175; Cain, 2004; Development Workshop, 2005:162.</p>	<p>compaction which ensued in late 1980s. <b>References:</b> Farvacque-Vitkovic et al., 2007:2-4; Kilroy, 2008:13-15,32;</p>
<b>Trans-boundary problems</b>	<ul style="list-style-type: none"> <li>• Sprawling informal expansion of the urban system into suburban areas in reaction to the suburbanization of poverty that derives from extroverted dualistic urban economy.</li> </ul> <p><b>References:</b> UN-Habitat, 2010:177,189,200; Putzel et al., 2008:3.</p>	<ul style="list-style-type: none"> <li>• The enclave-style economy coupled with insecurity in the hinterland areas informs the proliferation of unproductive informal settlement development in the peri-urban areas, leading to uncontrolled spatial spread of the primate city of Luanda to absorb nearby towns.</li> </ul> <p><b>References:</b> UN-Habitat, 2010:177,200; Jenkins et al., 2002:121; Cain, 2004; ADB/ADF, 2010:6.</p>	<ul style="list-style-type: none"> <li>• Informal physical expansion of Bamako into thinly-populated outlying areas as extroverted urban economy drives the impoverished society into survivalist informal sector that disconnects from the husbandry of local resources.</li> </ul> <p><b>References:</b> Farvacque-Vitkovic et al., 2007:4,37; Kilroy, 2008:13,32; World Bank, 2002c; UN-Habitat, 2010:110-116; GSDF, 2010:25.</p>
<b>Levels of spatial/economic development planning</b>	<ul style="list-style-type: none"> <li>• Apart from the master planning experience in the 1950s and pilot zoning at regional level there were no formal spatial planning effort in DRC until 2005.</li> </ul> <p><b>References:</b> (BDA, 2007: 1-59); Doc(s): National Development Plan (2007-2012).</p>	<ul style="list-style-type: none"> <li>• Stratified planning frameworks across territorial levels: action agenda at local level, master planning at regional level, and development framework at national level.</li> </ul> <p><b>References:</b> Doc(s): Sustainable Development (2009 – 2013; National master plan for Angola's coastal zone; 2006 Downtown Action Agenda: Angola, Indiana Downtown Revitalization Plan 20/20.</p>	<ul style="list-style-type: none"> <li>• Applies land use planning across board.</li> </ul> <p><b>References:</b> Farvacque-Vitkovic et al., 2007:320,44; World bank, 2002c.</p>
<b>Urban planning instruments</b>	<ul style="list-style-type: none"> <li>• Planning initiatives cut across the various levels of territorial division and are invariably committed to the design principles of zoning and land use regulation expressed in master plans and or structure plans.</li> </ul>	<ul style="list-style-type: none"> <li>• Statutory expertise oriented master planning with design considerations for territorial planning initiatives.</li> </ul> <p><b>References:</b></p>	<ul style="list-style-type: none"> <li>• Strategic planning through participatory process most probably a recent trend induced by development partners.</li> </ul> <p><b>References:</b></p>

	<b>References:</b>		World Bank, 2002c; BNETD, 2001.
<b>Planning education facilities</b>	<ul style="list-style-type: none"> <li>• Apparently not committed at the moment to planning education given the dearth of planning education facilities.</li> </ul> <b>References:</b>	<ul style="list-style-type: none"> <li>• Dearth of a planning education facility is identified as it is the case in DRC. Perhaps the war situation in these countries could be a contributing factor.</li> </ul> <b>References:</b>	<ul style="list-style-type: none"> <li>• Affiliated with the facility in Lomé shared by Francophone countries in addition to a tertiary facility in Bamako. Both facilities are not considering serious action towards planning education.</li> </ul> <b>References:</b> Attahi et al., 2009.
<b>Professionalism (urban planning)</b>	<ul style="list-style-type: none"> <li>• No formal structures in place for managing professional planning practice.</li> </ul> <b>References:</b>	<ul style="list-style-type: none"> <li>• No formal structures in place for managing professional planning practice.</li> </ul> <b>References:</b>	<ul style="list-style-type: none"> <li>• No formal structures in place for professional planning practice.</li> </ul> <b>References:</b>
<b>National Urban Development Strategy (NUDS)</b>	<ul style="list-style-type: none"> <li>• Development corridors strategy reflect concern for space economy most probably left to develop informally.</li> </ul> <b>References:</b> ADB/ADF, 2009:1, 13.	<ul style="list-style-type: none"> <li>• No definite strategy besides development objective.</li> </ul> <b>References:</b> Farvacque-Vitkovic et al., 2007:vii.	<ul style="list-style-type: none"> <li>• Growth centres and development axes strategy most probably lead by market force.</li> </ul> <b>References:</b> Farvacque-Vitkovic et al., 2007:vii.
<b>Development cum transport corridors/trans-national corridors</b>	<ul style="list-style-type: none"> <li>• Wide ranging network of development corridors with prospects of developing transnational mega urban region (Kinshasa-Brazzaville).</li> </ul> <b>References:</b> UN-Habitat, 2010:12; de Beer, 2001:6; Thomas, 2009.	<ul style="list-style-type: none"> <li>• Angola's national corridors are more or less logistic corridors most likely prone to serve as conduits for the spread of market-space economy of external economies.</li> </ul> <b>References:</b> ADB/ADF, 2010:9; UN-Habitat, 2010:13; de Beer, 2001:6; Thomas, 2009.	<ul style="list-style-type: none"> <li>• Littered with trans-national transport corridors that are more or less transit channel in dependent economies commonly associated with African states. Consideration should be given more to the growth triangle between Mopti - Bamako - Sikasso.</li> </ul> <b>References:</b> Farvacque-Vitkovic et al., 2007:3; Thomas, 2009; ADF, 2010:2; Briceño-Garmendia et al., 2011:5.
<b>The informal sector</b>	<ul style="list-style-type: none"> <li>• Significant in the husbandry of national</li> </ul>	<ul style="list-style-type: none"> <li>• Although it contributes significantly</li> </ul>	<ul style="list-style-type: none"> <li>• The resilience of repressive</li> </ul>

	<p>economy but has the externalities of generating informal settlements that swells slum population at the urban fringe areas. Reformist perception of the sector informs the receptive attitude towards it hence the liberalization reforms in the 1980s.</p> <p><b>References:</b> Putzel et al., 2008:3, 5-7; Thomas, 2009; Xaba et al., 2002; UN-Habitat, 2010:80.</p>	<p>to the national economy it was until mid-2000 regarded as illegal activity and exclusionary attitude mitted towards it. Reformist perception kept it afloat to service mainly retail trading entrepreneurship.</p> <p><b>References:</b> Xaba et al., 2002:6; Jenkins et al, 2002:121; Wekwete, 1995; Cain, 2004.</p>	<p>attitude towards the sector in spite of its significant impact on national economy is remarkable perhaps it is not unrelated to survivalist type of the sector that is manifest in the country and its capacity to degrade environmental and urban quality.</p> <p><b>References:</b></p>
<b>Paradigm shift in spatial and statutory planning</b>	<ul style="list-style-type: none"> <li>Recovered in 2000 from more than two decades of urban planning vacuum and maintained fate with land use master planning as the best practice instrument to manage their vast forest resources.</li> </ul> <p><b>References:</b> BDA, 2007:1-59;</p>	<ul style="list-style-type: none"> <li>Familiar with master planning but since 1990s attempts to imbibe at least in principle participatory process in a new master planning approach particularly at the local level.</li> </ul> <p><b>References:</b> Development Workshop, 2005:161; Cain, 2010:152;</p>	<ul style="list-style-type: none"> <li>Trend and exogenous influence in the 1990s made possible the inception of the principles of participatory planning. It is not clear how successful the UMP participatory approach used in 2000 for the City Development Strategy in Bamako.</li> </ul> <p><b>References:</b> Attahi et al., 2009:18,34,36; World Bank, 2002c; BNETD, 2001.</p>
<b>NEPAD</b>	<ul style="list-style-type: none"> <li>Remains committed especially with the agriculture network programme and shares from AU/NEPAD action plan.</li> </ul> <p><b>References:</b> Yousif, 2005.</p>	<ul style="list-style-type: none"> <li>Not very active in NEPAD activities.</li> </ul> <p><b>References:</b> NEPAD, 2002:235; Yousif, 2005.</p>	<ul style="list-style-type: none"> <li>Fairly active and recently got involved with the agriculture network programme of NEPAD.</li> </ul> <p><b>References:</b> AMCEN, 2008:10; UN, 2004:23; Yousif, 2005.</p>
<b>Urban planning consultancy services</b>	<ul style="list-style-type: none"> <li>Foreign consultants dominate planning consultancy services.</li> </ul> <p><b>References:</b> Miscellaneous (internet) material.</p>	<ul style="list-style-type: none"> <li>Not much of consultancy activities but the little that was done was guide by foreign input.</li> </ul> <p><b>References:</b> Miscellaneous (internet) materials.</p>	<ul style="list-style-type: none"> <li>Foreign input is evident but local effort is active.</li> </ul> <p><b>References:</b> Attahi et al., 2009:34; World Bank, 2002c.</p>

Table 3.9 contd.

THEMATIC AREAS	SOURCES: LINE OF ARGUMENT (COUNTRY LEVEL)		
	EGYPT	SENEGAL	KENYA
<b>Country profile (growth indicators)</b>	<ul style="list-style-type: none"> <li>• Gained independence precisely nine decades ago; spatially larger than Nigeria that is graded tenth in landmass; operates one-tier territorial division with a large increasing population that engage in service delivery and three-quarters of them are above poverty line ,</li> <li>• the national economy which is service driven is above average and stable with good and equitable per capita productivity, • urbanization level is mid-stream against the backdrop of remarkably low urban growth rate, • actively involved in regional networks and prospects to maintain sustainable growth inclusively.</li> </ul> <p><b>References:</b> McGranahan et al, 2009:43;Madbouly, 2009:7, 18; Kessides, 2005:71;EEAA, 2007;UN-Habitat, 2008:45;UN-Habitat, 2010:26,53,70,73; OSISA and Oxfam, 2009:64.</p>	<ul style="list-style-type: none"> <li>• A spatially small state that gained independence about five decades ago, has an equally small population that engage mainly in agriculture and somehow maintains low level of poverty, • incidentally the economy is service driven contrary to the employment structure and as per capita productivity increases inequality increases also, perhaps larger percentage of the population are not responsible for the GDP and this most probably explains the unstable and yet low GDP growth rate, • the level of urbanization is average and prospect of growth is low, • their involvement in regional networking is remarkable with prospects of developing a viable economic entity.</li> </ul> <p><b>References:</b> World Bank, 2002;McGranahan et al, 2009:43;Kessides, 2005:71; ADB/ADF, 2010:3; UN-Habitat, 2010:53; UN-Habitat, 2010:53.</p>	<ul style="list-style-type: none"> <li>• One of the spatially medium-sized states segregated into three territorial divisions that gained independence five decades ago with relatively large growing population compared to Senegal, three-quarters of which engage in agriculture as in Senegal and a little less than half of the population (down from a higher value) is below poverty line as at 2006, • again contrary to the employment structure the national economy is drive by the service sector in the context of increasing per capita productivity that expectedly results in increasing inequality, • urbanization levels fluctuates though much is not expected in spite of the high but dwindling urban growth rate, • maintains remarkable involvement in regional networking and prospects to develop economic zones in anticipation of a globally competitive and prosperous country.</li> </ul> <p><b>References:</b> Johnstone, 2004:45; Republic of Kenya, 2002:11;McGranahan et al, 2009:43;Yousif, 2005:58; Yousif, 2005:58; UN-Habitat, 2010:53; Daniels, 2010:19; ETC, 2006:iii; UN-Habitat 2005/6:4; OSISA and Oxfam, 2009:64.</p>
<b>Urban planning machinery</b>	<ul style="list-style-type: none"> <li>• The new towns and informal settlement upgrading policies are operational here under a set of planning legislation enacted in the 1970-1980 period which are in favour of master planning but lately in 2008 a new law instituted participatory planning;</li> </ul>	<ul style="list-style-type: none"> <li>• Policy provisions are available for upgrading and legalization of squatter settlements and two presidential provisions backup this policy; land legalization is the main focus of attention considering the painfully limited landmass unlike most states</li> </ul>	<ul style="list-style-type: none"> <li>• With a crop of substantive land use planning related policies and legislation the planning machinery is stable and more so with planning agencies at various levels of territorial divisions fortified with active and organized civil society; government adoptive bye laws</li> </ul>

	<p>institutional provision for planning is evident but the documentation of planning standards is not evident as the planning perspective transits.</p> <p><b>References:</b> del Rio Garcia Luis et al., 2010:22; Ibrahim, 1993:149; Madbouly, 2009:37;</p>	<p>with limited landmass such as Singapore, Israel, Kuala Lumpur that characteristically focus on land use planning policies; the composition of agencies indicates that planning is a residual matter and it is not clear why it is so because the prospects of economic growth anticipated for the country has implications for form.</p> <p><b>References:</b> World Bank, 2002; Attahi et al., 2009:35;</p>	<p>of late 1960s subsists for planning regulations.</p> <p><b>References:</b> UN-Habitat, 2010c:17; Oyugi &amp; K'Akumu, 2007i: 101; UN-Habitat, 2005:4; Oyugi &amp; K'Akumu, 2007:101; Mabogunje, 1990:160; Berrisford &amp; Kihato, 2006:24; Omwenga, 2001:1; UN-Habitat, 2005:56,58;</p>
<b>Urban form</b>	<p>• The traditionally introverted urbanization sustains the primacy of Greater Cairo; the urban form is transitional at the moment leading perhaps to polycentric structure as structural growth lead by smart growth processes identify spatial disintegration and densification simultaneously thus concentrated distribution of heterogeneous land use patterns is manifest especially at the finite space of the Nile river valley and delta.</p> <p><b>References:</b> Robson et al, 2012:4,5; World Bank, 2007; Yin et al., 2005:605; UN-Habitat, 2010:78; Ibrahim, 1993:132; Kessides, 2005:70;</p>	<p>•Introverted urbanization and city primacy manifest with Dakar as the focal point; the urban form as it is somehow the case in Egypt tends towards unplanned polycentric structure indicated by urban fragmentation due mainly to dispersed land use distribution and characterized by large-grain heterogeneous urban pattern.</p> <p><b>References:</b> UN-Habitat, 2010:116; Mbow et al., 2008 5:76; Attahi et al., 2009; UN-Habitat, 2010:106; Kessides, 2005:70; World Bank, 2002.</p>	<p>• Introverted urbanization and city primacy is characteristic in the context of quantitative and qualitative urban growth patterns; typically in Nairobi the urban form is experiencing spatially segregated dual urbanization occasioned by dispersed and concentrated distribution of large-grain homogeneous land use patterns which in turn are responsible for high density informal areas that accommodates the poor segment of the city and the low density wealthy residential neighbourhoods.</p> <p><b>References:</b> UN-Habitat, 2010:139,141-145,153; UN-Habitat, 2005:41; UN-Habitat, 2011:5; UN -Habitat. 2008:104,115,130; Kessides, 2005:70.</p>
<b>Trans-boundary problems</b>	<p>•The incidence of sprawl, expansion and suburbanization is commonplace at the peri-urban areas leading to uneven spatial structures that supports extroverted urban economy.</p> <p><b>References:</b> World Bank, 2007: 4-5; UN-Habitat,</p>	<p>• The leap-frog model of urban sprawl coupled with suburbanization of population caused mainly by land market-driven functional rearrangement leads to the growth of informal settlements in peripheral areas.</p>	<p>• Extroverted urban economy causing rapid growth of informal economy and corresponding development of informal settlements mostly at the fringe areas as poverty driven urbanization lead to urban expansion.</p> <p><b>References:</b></p>

	2010:78) (Un-Habitat, 2011:2; Robson et al, 2012:5; Wahdan, 2007: 2099,2101,2102; Madbouly, 2009:76/81.	<b>References:</b> World Bank, 2002; Mbow et al., 2008:76,79; UN-Habitat, 2010:106,110-116; GSDI, 2010:25.	UN-Habitat, 2010:168,140; UN-Habitat, 2005: 16; Kabwegyere, 1979:311; UN-Habitat, 2005:11; GSDI, 2010:25.
<b>Levels of spatial/economic development planning</b>	<ul style="list-style-type: none"> <li>• As in DRC planning Egypt is stratified along territorial levels: programme planning at local level, master planning at regional level, and strategic development framework at national level.</li> </ul> <p><b>References:</b> Ibrahim, 1993:127; Robson et al., 2012:5; World Bank, 2007:6. Doc(s): Strategic Urban Development Plan (SUDP) (2008 - 2011)</p>	<ul style="list-style-type: none"> <li>• Stratified planning perspective is manifest: development planning at national level, strategic planning at regional level, and a combination of land use master planning and upgrading programmes at local level.</li> </ul> <p><b>References:</b> Mbow et al., 2008:76; USAID/Senegal, 2012:13; Attahi et al, 2009:18; UN-Habitat, 2010:121; World Bank, 2002</p>	<ul style="list-style-type: none"> <li>• Development planning most likely resource based and sectoral is applied across board.</li> </ul> <p><b>References:</b> Green, 1965; Mabogunje, 1990:153; UN-Habitat, 2010:169; Kabwegyere, 1979:308; ETC, 2006:iv Doc(s): Integrated Regional Development Plans (IRDPs)</p>
<b>Urban planning instruments</b>	<ul style="list-style-type: none"> <li>• Transition to strategic planning using participatory process for planning initiative at all levels.</li> </ul> <p><b>References:</b> Madbouly, 2009:81,99.</p>	<ul style="list-style-type: none"> <li>•Development agencies induced commitment to participatory planning perspective at all levels of planning initiative.</li> </ul> <p><b>References:</b> World Bank, 2002.</p>	<ul style="list-style-type: none"> <li>• Master planning approach for regional and local planning initiative.</li> </ul> <p><b>References:</b> Omwenga, 2001:1; UN-Habitat, 2008:122,124.</p>
<b>Planning education facilities</b>	<ul style="list-style-type: none"> <li>• With three university facilities and a research institute in planning at Rabat planning education is receiving some attention; the curriculum of the university facilities are in the process of change under the influence of neo-liberal planning.</li> </ul> <p><b>References:</b> Madbouly, 2009:103.</p>	<ul style="list-style-type: none"> <li>• Content with the facility in Lome shared by all Francophone countries.</li> </ul> <p><b>References:</b> Attahi et al., 2009:51.</p>	<ul style="list-style-type: none"> <li>• Four planning schools at university level exist in Kenya but it is only University of Nairobi that has urban and regional planning focus.</li> </ul> <p><b>References:</b> AAPS, 2010:8</p>
<b>Professionalism (Urban Planning)</b>	<ul style="list-style-type: none"> <li>• No formal structures in place for professional planning practice.</li> </ul> <p><b>References:</b></p>	<ul style="list-style-type: none"> <li>• No formal structures in place for managing professional planning practice.</li> </ul> <p><b>References:</b></p>	<ul style="list-style-type: none"> <li>• Kenyan planners at least are organized although there is no indication that the country has a registration council that controls professional practice.</li> </ul> <p><b>References:</b></p>

<p><b>National Urban Development Strategy (NUDS)</b></p>	<ul style="list-style-type: none"> <li>Engages a combination of strategies that is likely to lead up to the development of polycentric urban region in the Nile river valley and the delta and create new frontiers for growth centres.</li> </ul> <p><b>References:</b> UN-Habitat, 2010:81; Madbouly, 2009:76; UN-Habitat, 2008:64; del Rio Garcia Luis, B.&amp; Others, 2010; Ibrahim, 1993:129; El-Ehwany &amp; El-Laithy, [No year]:26.</p>	<ul style="list-style-type: none"> <li>Polycentric primate city region strategy with Greater Dakar as the focal point.</li> </ul> <p><b>References:</b></p>	<ul style="list-style-type: none"> <li>Multiple strategies without a clear direction.</li> </ul> <p><b>References:</b> UN-Habitat, 2010:169; Otiso, 2005:127; Bubba &amp; Lamba, 1991:58.</p>
<p><b>Development cum transport corridors/trans-national corridors</b></p>	<ul style="list-style-type: none"> <li>Ecological issues challenge the frugality of developing the coastal region corridor and this leaves Egypt with option of checking for alternative corridors as a more sustainable strategy.</li> </ul> <p><b>References:</b> UN-Habitat, 2008:28, 66-67; UN-Habitat, 2010:99; Thomas, 2009.</p>	<ul style="list-style-type: none"> <li>The corridors in Senegal especially the trans-national corridors are more or less transport corridors and Senegal should endeavour to serve as a node rather than a transit terminal.</li> </ul> <p><b>References:</b> UN-Habitat, 2010:131; Thomas, 2009.</p>	<ul style="list-style-type: none"> <li>An initiative similar to that of Singapore's growth triangle is required in Kenya's trans-boundary corridor with DRC and Uganda.</li> </ul> <p><b>References:</b> UN-Habitat 2008:29; UN-Habitat 2008:29; Thomas, 2009.</p>
<p><b>The informal sector</b></p>	<ul style="list-style-type: none"> <li>Egypt seems to be experiencing a modern version of informal sector that accumulates wealth. Its more critical impact is on the in-formalization of settlement development which grew In mid-1960s. This generated Hugh population of slum dwellers that presented serious planning and development problems.</li> </ul> <p><b>References:</b> ILO, 2002:1, 31-33; del Rio Garcia Luis et al., 2010:19 Madbouly, 2009:50; UN-Habitat, 2010:67.</p>	<ul style="list-style-type: none"> <li>In spite of the relatively modern type of informal sector supported by institutionalist perception that surrounds its presence state attitude towards it remain severely repressive. However trends in informal settlement development continue as the sector generates squatter population that degrades to slum dwellers.</li> </ul> <p><b>References:</b> Granström, 2009:25-26,29,35-36,42; Mbow et al., 2008:77,86; (World Bank, 2002; Attahi et al, 2009:17.</p>	<ul style="list-style-type: none"> <li>Since 1990s Kenya is increasingly receptive to the survivalist informal sector that is manifest in its shores perhaps because of the growth of Jua kali industry - mainly home-based enterprises that operates small-scale, locally and at a subsistence level. By implication Kenya has to be receptive to informal settlement development that normally accompanies the informal sector.</li> </ul> <p><b>References:</b> Daniels, 2010:19; Xaba et al., 2002:26; Wamuthenya, 2010; Freeman, 1975:21; UN-Habitat, 2005:32; Republic of Kenya, 2002:14.</p>



<p><b>Paradigm shift in spatial and statutory planning</b></p>	<ul style="list-style-type: none"> <li>• Gone beyond transition from master planning and well within participatory planning practice in their planning history with the inception of Shorouk planning in mid-1990s. The activities of USAID, UNDP, UN-HABITAT, and GTZ are not disconnected with this speedy transition.</li> </ul> <p><b>References:</b> del Rio Garcia Luis et al., 2010:18; Madbouly, 2009:36/37,48; El-Ehwany &amp; El-Laithy, [No Year]:26); del Rio Garcia Luis et al., 2010:22,24.</p>	<ul style="list-style-type: none"> <li>• Partial shift from master planning paradigm as most of the attempts on participatory planning is still limited to slum clearance and urban upgrading programmes although a platform has been raised in 1996 for a determined consolidation of participatory planning practice.</li> </ul> <p><b>References:</b> Attahi et al., 2009:18,34; World Bank, 2002.</p>	<ul style="list-style-type: none"> <li>• Approaching two decades of donor-supported reforms to decentralize planning decision which was initiated in the 1990s is yet to yield any reasonable result. The strategy which is the hallmark of participatory planning simply does not resonate in practice with local institutions.</li> </ul> <p><b>References:</b> UN-Habitat, 2008:124; Okpala, 2009:21); UN-Habitat, 2005:6-7,12; UN-Habitat, 2005b:12, 65;</p>
<p><b>NEPAD</b></p>	<ul style="list-style-type: none"> <li>• Very active as a founding member of NEPAD. Facilitates most of the conferences.</li> </ul> <p><b>References:</b> AMCEN, 2008:10; UN- Habitat, 2005/6:1.</p>	<ul style="list-style-type: none"> <li>• Fairly active member involved with many of NEPAD's networks.</li> </ul> <p><b>References:</b> AMCEN, 2008:10; NEPAD, 2002:203.</p>	<ul style="list-style-type: none"> <li>• Shares similar participatory status with Senegal as a fairly active member but lacks initiative for NEPAD activities.</li> </ul> <p><b>References:</b>AMCEN, 2008:10; UN-Habitat, 2005/6:1.</p>
<p><b>Urban planning consultancy services</b></p>	<ul style="list-style-type: none"> <li>• Both foreign and local expertise is active although national consultancy services are more active in planning for smaller towns that surround Greater Cairo.</li> </ul> <p><b>References:</b> Ibrahim, 1993:124; del Rio Garcia Luis et al., 2010:22.</p>	<ul style="list-style-type: none"> <li>• There is no indication that national consultants are trusted with the provision of consultancy services at best they are involved in foreign collaboration services.</li> </ul> <p><b>References:</b> Attahi et al., 2009:34; World Bank, 2002.</p>	<ul style="list-style-type: none"> <li>• National consultants are not entrusted with the provision of consultancy services at best they work in partnership with foreign consultants.</li> </ul> <p><b>References:</b> Oyugi &amp; K'Akumu, 2007:101;</p>

Table 3.9 contd.

THEMATIC AREAS	SOURCES: LINE OF ARGUMENT (COUNTRY LEVEL)		
	NIGERIA	SOUTH AFRICA	TANZANIA
<b>Country profile (growth indicators)</b>	<ul style="list-style-type: none"> <li>• Gained independence five decades ago, occupies tenth position in landmass and first position in population in the context of two-tier territorial divisions; more than half of the growing population is under poverty line and they engage mainly in agricultural activities,</li> <li>• the national economy is driven by the industrial sector (precisely petro-chemicals) and per capita productivity is recorded to be increasing while inequality is stabilizing at a mean position,</li> <li>• the level of urbanization is increasing and megacity syndrome is evident,</li> <li>• actively involved as a regional giant in networking activities particularly for the West African region and the African region in general and hopes to be the top-20 economies in the world.</li> </ul> <p><b>References:</b>            Olujimi, 2009:202;McGranahan, et al 2009:43; UN-Habitat, 2010:63;Yousif, 2005:58; LOC, 2008:11-14; Kessides, 2005:71; Aigbokhan, 2008:14,</p>	<ul style="list-style-type: none"> <li>• Gained independence a century ago, sixth in landmass and seventh in population, operates four tiers of territorial divisions; the growing population engages dominantly in industrial (non-agricultural) activities and poverty structure is segregated fundamentally thus confirming huge inequality that is mainly responsible for the dysfunctional grading of the state,</li> <li>• the national economy which is service driven is outstandingly the strongest in the region however with an impressive but deceptive per capita productivity and positive but unstable growth rate,</li> <li>• the level of urbanization is increasing at not too high rate and prospects of megacities are high,</li> <li>• actively involved as a regional giant in networking generally for the African region but particularly for the Southern African region; committed to building a prosperous and egalitarian nation.</li> </ul> <p><b>References:</b>            Marx &amp; Charlton, 2003:1;McGranahan, et al 2009:43;UN-Habitat, 2010:207, Gelb, 2002:14; Akinboade &amp; Lalthapersad-Pillay, 2005:244;van der Merwe, 2008/9:32; UN, 2002:42,88; Kessides, 2005:71;Gelb, 2003:4,5,30; de Beer, 2001:1; UN Habitat, 2005/6:4.</p>	<ul style="list-style-type: none"> <li>• Gained independence five decades ago with landmass just a little above that of Nigeria and almost at par with South Africa in population dynamics; the population engages dominantly in agricultural activities, about half of them are considered poor,</li> <li>• agriculture dominates the national economy which continually records high growth rate since the 1990s but per capita productivity stagnated in early-2000 although there are signs of phenomenal improvement since 2010 and inequality is low;</li> <li>• urbanization level is low and actually declined within the 2000-2010 periods and the primacy of Dar es Salaam remains constant,</li> <li>• involved in regional networking and hopes to develop an economy that will adapt to the changing market-space economy in the regional and global economy.</li> </ul> <p><b>References:</b>            Kironde, 2009:5, McGranahan, et al 2009:43;UN-Habitat, 2010: 53,138; World Bank, 2002b; Kessides, 2005:71; Lupala &amp; Nnkya, 2008:2; UN-Habitat, 2009:12; Abebe, 2011:2;UN-Habitat, 2009:12,</p>
<b>Urban planning machinery</b>	<ul style="list-style-type: none"> <li>• Amongst other related policies Nigeria has a defined urban development policy that is backed with urban and regional planning law enacted in early 1990s, the</li> </ul>	<ul style="list-style-type: none"> <li>• South Africa is also engaged with decentralization policy and since the 1990s have endeavoured to backup this policy with appropriate legislation</li> </ul>	<ul style="list-style-type: none"> <li>• Tanzania is engaged in decentralization policy but it does not exclude settlement development policies and other</li> </ul>

	<p>latest in the string of planning related legislation in the country; there are more provisional than there are substantive planning agencies and functions usually overlap sometimes leading to interdepartmental conflicts; meanwhile government adoptive bye laws of the 1960s remain statutorily relevant but scarcely engaged in determining planning regulations nowadays except perhaps for prosecuting contraventions which is rarely the case; • summarily the planning machinery is equipped to function effectively.</p> <p><b>References:</b> Okeke, 2004:195; AMCEN, 2008:12; Mabogunje , 1990:139, 141; UNCHS 1999:18; UNCHS 1999:25.</p>	<p>and development perspectives; the municipalities double as administrative and planning agencies hopefully they will liaise with the newly established National Planning Commission meanwhile the building bye laws of the 1970s remains unchanged as it is the case in Nigeria and Kenya and this perhaps reflects their redundancy.</p> <p><b>References:</b> Schoeman, 2010:23-24; Diaw et al, 2002:343; Lewis, 2008:8;</p>	<p>environmentally related policies and their planning laws are duly updated; remarkably and contrary to the situation in most African countries Tanzania has formal updated National Planning Standards although informal standards that govern planning practice derive from these national standards through participatory process and secondly the multiplicity of planning agencies does not seem to obtain.</p> <p><b>References:</b> AMCEN, 2008:12; URT, 2008:ix; Lupala &amp; Nnkya, 2008:19; UN-Habitat, 2010:47; UNCHS, 1999:16,20,25,35; URT, 1997:8; URT,</p>
<p><b>Urban form</b></p>	<p>• Contrary to the general trend in Africa urbanization pattern in Nigeria is extroverted and this is not unrelated to the political administrative system of decentralizing governance; the urban form that responds to concentrated and dispersed distribution of land use development manifest spatially segregated high and low density heterogeneous urban patterns that are driven by qualitative and quantitative urban growth.</p> <p><b>References:</b> UN-Habitat, 2010:116; Nwaka, 2005; Onokerhoraye, 1978:174; UN-Habitat, 2008:95; Oduwaye, 2009:161;</p>	<p>• Introverted urbanization spread amongst big cities is manifest but structural growth leading to urban change is taking place at the moment suggesting a transition most likely to extended metropolitan regions as home lands gradually assume the status of functional urban areas; the urban form manifest sprawl distribution of heterogeneous urban patterns that respond mainly to succession urban processes than gentrification which sparingly lead to densification.</p> <p><b>References:</b> Küsel, 2009:2; Dauskardt, 1993:11; Watson, 2008:9,10; Mammon, 2005:4; Cilliers, 2010:18; Donaldson, 2001:4,8; Todes, 2012:159; Kessides, 2005:70.</p>	<p>• Introverted urbanization dominates but extroverted tendencies are manifest in the urban hierarchy based on regional variations in urban perspectives; the urban form is reminiscent of the situation in Kenya where spatially segregated dual urbanism - represented by planned concentrated distribution of land use and informal dispersed distribution responsible for urban fragmentation and transition from the heritage of large-grain homogeneous urban patterns to currently heterogeneous patterns especially in the expanding vertical slums - co-exist as the urban area (specifically Dar es Salaam) experience quantitative and</p>

			<p>qualitative spatial growth.</p> <p><b>References:</b>  UN-Habitat, 2010: 139,144-145; Abebe, 2011: 13; URT, 2004:77; Sawers, 1989:841/854); Hill &amp; Linder, 2010:1/2; Kessides, 2005:70; UN-Habitat, 2008:151.</p>
<b>Trans-boundary problems</b>	<ul style="list-style-type: none"> <li>• Urban expansion mainly in the form of commercial ribbon street and peripheral slum development programmed to promote trade on foreign goods.</li> </ul> <p><b>References:</b>  Oduwaye &amp; Lawanson, 2008:4; Agbola, 2008:13; Onibokun &amp; Kumuyi, 1996; Onokerhoraye, 1978:174,176; Hicks, 1998; Taylor, 1988:5; UN-Habitat, 2010:110-116; GSDI, 2010:25.</p>	<ul style="list-style-type: none"> <li>• Spatial fragmentation and incipient low density spatial expansion leading to edge cities and continual mushrooming of informal settlement on the urban edge.</li> </ul> <p><b>References:</b>  Mabin &amp; Smit, 1997:207; Donaldson, 2001:8; Awuor-Hayangah, 2008:25; Mammon, 2005:4,7; Orange, 2008:1,8;</p>	<ul style="list-style-type: none"> <li>• Introverted but survivalist economy that encourages Greenfield development in the form of informal sub-centres in peri-urban areas - as spatial form of Dar es Salaam increasingly assume ribbon-like leapfrog pattern of land use distribution.</li> </ul> <p><b>References:</b>  Hansen &amp; Vaa, 2004:143; Abebe, 2011:16; Hill &amp; Linder, 2010:1; UN-Habitat 2010:13; URT, 2004; Xaba et al., 2002:5; GSDI, 2010:25.</p>
<b>Levels of spatial/economic development planning</b>	<ul style="list-style-type: none"> <li>• Hierarchical strategic planning initiative that adopts multiple planning frameworks ranging from broad guidelines to detailed master plan frameworks.</li> </ul> <p><b>References:</b>  Green, 1965; Okeke, 2004:192; FGN, 2001:1.  Doc(s): National Physical Development Plan (NPDP) (2010-2030); Niger Delta Regional Development Master Plan (NDRDMP) (2005-2020); State Economic Empowerment and Development Strategy (2005) (SEED); Local Economic Empowerment and Development Strategy (LEED), etc.</p>	<ul style="list-style-type: none"> <li>• Multiple categories of spatial planning frameworks heavily inclined towards the provision of broad guidelines for development.</li> </ul> <p><b>References:</b>  Van der Merwe, 2008/9:5,8,13; UN, 2002:7.  Doc(s): National Spatial Development Perspective (NSDP)(2003); Provincial Spatial Development Strategy/Framework (PSDS); Provincial Growth and Development Strategy (PGDS), etc.</p>	<ul style="list-style-type: none"> <li>• Land use planning most likely broad based at national level leads strategic development planning at regional and local levels.</li> </ul> <p><b>References:</b>  Cooksey &amp; Kikula, 2005:9; Armstrong, 1986:53; URT, 2004:29.  Doc(s): National Land Use Framework Plan (2008–2028).</p>
<b>Urban planning instrument</b>	<ul style="list-style-type: none"> <li>• Admixture of design oriented statutory master planning for city planning</li> </ul>	<ul style="list-style-type: none"> <li>• Adopts participatory process for spatial planning expressed in</li> </ul>	<ul style="list-style-type: none"> <li>• Design oriented statutory master planning allegedly transiting to non-</li> </ul>

	<p>initiative and multiple planning frameworks derived through participatory process for resource planning and project development.</p> <p><b>References:</b> Okeke, 2004:80;</p>	<p>integrated development frameworks.</p> <p><b>References:</b> Gordon &amp; Lincoln, 2008:5; Harrison, [No Year]:186.</p>	<p>statutory participatory planning approach to prepare EPM (Environmental Planning and Management) frameworks.</p> <p><b>References:</b> Lupala &amp; Nnkya, 2008:8,19; Armstrong, 1986; Hansen &amp; Vaa, 2004; Abebe, 2011:29.</p>
<b>Planning education facilities</b>	<ul style="list-style-type: none"> <li>• Nigeria has the highest number of planning schools at university level, in addition to polytechnics and a research institute. Except perhaps for the research institute the curriculum of these institutions is design oriented based on multi-disciplinary theoretical foundations to produce planners who are favourably disposed to multi-disciplinary teamwork.</li> </ul> <p><b>References:</b> Oduwaye and Lawanson,2008:32.</p>	<ul style="list-style-type: none"> <li>• South Africa occupies the second position in the provision of university level planning education facilities including technical colleges. Since 1980s many planning institutions have redeveloped their curriculum towards the American model of knowledge-based social science planning education while some others maintains fate with traditional physical planning approach.</li> </ul> <p><b>References:</b> Diaw et al., 2002:344; AAPS, 2010:9.</p>	<ul style="list-style-type: none"> <li>• With two university facilities for planning education and an institute for rural development planning education Tanzania is not properly disposed for planning education. Meanwhile available planning schools contend with curriculum adjustments leading up to collaborative and participatory urban planning education.</li> </ul> <p><b>References:</b> Odendaal, 2012:175-177.</p>
<b>Professionalism (urban planning)</b>	<ul style="list-style-type: none"> <li>• Nigeria has full organizational structures for managing professional planning practice.</li> </ul> <p><b>References:</b></p>	<ul style="list-style-type: none"> <li>• South Africa has full organizational structures for managing professional planning practice.</li> </ul> <p><b>References:</b> Tapela, 2008:20</p>	<ul style="list-style-type: none"> <li>• Tanzania has full organizational structures for managing professional planning practice.</li> </ul> <p><b>References:</b> Lupala &amp; Nnkya, 2008:19.</p>
<b>National Urban Development Strategy (NUDS)</b>	<ul style="list-style-type: none"> <li>• Growth centres strategy linked with governance and the accretion growth of development corridors lead by market-space economy in which the growth centres serve as nodes.</li> </ul> <p><b>References:</b></p>	<ul style="list-style-type: none"> <li>• Multiple strategies that have no clear direction although the spatial development initiatives (SDIs) and development corridors (DCs) tend to dominate the scene.</li> </ul> <p><b>References:</b> UN-Habitat, 2008:1-25; Awuor-Hayangah, 2008:1</p>	<ul style="list-style-type: none"> <li>• Another case of multiplicity of strategies and probably each strategy is not given time to mature before it is overturned.</li> </ul> <p><b>References:</b> UN-Habitat, 2010:2010:147; UNCHS, 1999:30; Moshia, 2008:51; Sawers, 1989:845; UN-Habitat, 2008:124.</p>

<p><b>Development cum transport corridors/trans-national corridors</b></p>	<ul style="list-style-type: none"> <li>•Prospects of corridor development are high but the required planning consideration is lacking. Current accretion growth needs to be better coordinated with space economy strategies.</li> </ul> <p><b>References:</b> Taylor, 1988:5; UN-Habitat, 2008:114; Thomas, 2009.</p>	<ul style="list-style-type: none"> <li>• Development corridor strategy remains the cardinal strategy deployed for space economy development. Having applied this strategy since early 1990s the result is surprisingly not impressive given the perceptions in literature. As presently constituted the strategy tend to disregard the development of homeland areas, marginally impact growth and yet unable to address the shape of urban regions. As it were its statutory status demands attention.</li> </ul> <p><b>References:</b> UN-Habitat 2008:28; UN-Habitat, 2010:235/6; de Beer, 2001:6,15; Thomas, 2009.</p>	<ul style="list-style-type: none"> <li>•Tanzania is one of those African countries with typically transport corridors that should be more strategic in planning their space economy to avoid being used as transit terminals rather than development node.</li> </ul> <p><b>References:</b> Sawers, 1989:843; Thomas, 2009.</p>
<p><b>The informal sector</b></p>	<ul style="list-style-type: none"> <li>• Attitudinal change from repression to pragmatic and promotional towards the informal sector in Nigeria is also manifest in the 1990s as it is the case in Kenya. Perhaps neo-liberal thinking that erupted within the same period in Africa along with the institutionalist perception of the sector is responsible for these changes in attitude.</li> </ul> <p><b>References:</b> Arimah, 2001:116; Nwaka, 2005; Xaba et al., 2002:9; Onyenechere, 2011; Kessides, 2005:18; Oduwaye &amp; Lawanson, 2008:8; Obinna et al., 2010.</p>	<ul style="list-style-type: none"> <li>• The support given to informal sector needs to be viewed against the backdrop of acute inequality in the society and the rationality of the support will be clearer.</li> </ul> <p><b>References:</b> Awuor-Hayangah, 2008:12; Xaba et al., 2002:12,25; Davies &amp;Thurlow , 2009:8,13,20; Awuor-Hayangah, 2008:7.</p>	<ul style="list-style-type: none"> <li>• Even before the boom period for informal sector proliferation in the 1990s Tanzania supported the sector. In fact as at the boom period Tanzania was moving ahead with the formalization of property rights in unplanned urban settlements in Dar es Salaam. Meanwhile the growth of informal settlements continues unabated without immediate solutions.</li> </ul> <p><b>References:</b> Xaba et al, 2002:5,26-27; Garcia-Bolivar, 2006:20; Malele, 2009:28; URT, 2008:x.</p>
<p><b>Paradigm shift in spatial and statutory planning</b></p>	<ul style="list-style-type: none"> <li>• Master planning seems to remain resilient in practice in spite of overtures for alternative paradigms which at the moment remain mainly at the realm of rhetoric except perhaps the national visioning process. All of the structures for</li> </ul>	<ul style="list-style-type: none"> <li>• In the course of reforms in planning it seems paradigm shift is concerned more with the legal status and level of details expected in spatial planning frameworks. At the moment South Africa is yet to strike a balance but</li> </ul>	<ul style="list-style-type: none"> <li>• Statutorily master planning is still on board while participatory planning is marauding seeking for an entry point to secure committed acceptance. The usual leeway of slum clearance and urban</li> </ul>

	<p>master planning are still very much intact and planning decisions although very much prone to abuse by the political class is not liberalized.</p> <p><b>References:</b> Okeke, 1998:134; Okpala, 2009:12-13; NITP, [No Year]: 57 - 59,66,105,116.</p>	<p>reasonable stability has been achieved.</p> <p><b>References:</b> Oranje, 2002:4,6; Mabin &amp; Smit, 1997; Watson, 2008:9; Harrison, [No Year]:1;</p>	<p>upgrading programmes used by donor agencies to instil participatory planning seem not to be securing the desired commitment to oust master planning.</p> <p><b>References:</b> Mosh, 2008:51; Abebe, 2011:30; World Bank, 2002b; Cooksey &amp; Kikula, 2005 :9; Lupala &amp; Nnkya, 2008:7; UN-Habitat, 2010b:27; Hansen &amp; Vaa, 2004:144; UN-Habitat, 2006:2.</p>
<b>NEPAD</b>	<ul style="list-style-type: none"> <li>• Active foundation member that motivates facilitates and funds NEPAD activities.</li> </ul> <p><b>References:</b> UN, 2004:4,23.</p>	<ul style="list-style-type: none"> <li>• Active foundation member that sustains NEPAD spirit provides leadership in charting the course for NEPAD activities and practically involved in determining NEPAD planning instruments.</li> </ul> <p><b>References:</b> UN, 2004:3,31,33; OSISA &amp; Oxfam, 2009:29; AMCEN, 2008:10; NEPAD 2012.</p>	<ul style="list-style-type: none"> <li>• Active but lacks initiative for NEPAD activities.</li> </ul> <p><b>References:</b> AMCEN, 2008:10; UN Habitat, 2005/6:1.</p>
<b>Urban planning consultancy services</b>	<ul style="list-style-type: none"> <li>• Most of the consultancy services are provided by foreign consultants although that was in the 1960-1980 periods. Nowadays partnership between foreign and national consultants is encouraged.</li> </ul> <p><b>References:</b> Mabogunje, 1990:148; Ilesanmi, 1998:76; Okeke, 1998.</p>	<ul style="list-style-type: none"> <li>• Consultancy services before the 1960s were provided by foreign consultants. Consultancy services were discouraged thereafter and planning mandates were given to numerous national committees.</li> </ul> <p><b>References:</b> Mabin &amp; Smit, 1997:203,206,209.</p>	<ul style="list-style-type: none"> <li>• Foreign consultants took charge of the master planning era. With the transition to framework planning university consultancy service is sought although it is not clear the nationality of members of the university consultancy unit.</li> </ul> <p><b>Reference:</b> Armstrong, 1986:44/49; Lupala &amp; Nnkya, 2008:7,19.</p>

Table 3.9 contd.

THEMATIC AREAS	SOURCES: LINE OF ARGUMENT (COUNTRY LEVEL)
	ETHIOPIA
<b>Country profile (growth indicators)</b>	<ul style="list-style-type: none"> <li>• Was never really colonized discounting short-lived Italian occupation in the 1970s, ninth in landmass and second in population, operates four-tiers of territorial divisions; poverty situation is reportedly declining in the growing population who are mainly engaged in agricultural activities, • as at year 2000 the national economy is terribly low but has reportedly grown phenomenally thereafter at consistently very high growth rates and inequality is low, • the level of urbanization is low but increasing as it is the case in Tanzania and the primacy of Addis Ababa remains constant, • the state is involved in regional networking activities and hopes to build cities that are centres of commercial and industrial development.</li> </ul> <p><b>References:</b> Tolon, 2008:5,6,9; FDRE, 2009:2; McGranaham et al., 2009:43; Yousif, 2005:58; UN-Habitat, 2010:53,142; UN, 2002b:15.</p>
<b>Urban planning machinery</b>	<ul style="list-style-type: none"> <li>• As it is the case in Tanzania decentralization policy is operational along with urban development policy and other related environmental policies each properly backed-up with legislation; from 2005 the mandate for urban planning transferred to a singular federal ministry presumably with subsidiary offices at different territorial divisions and by 2007 the planning agency was provided with operational planning standards subsumed in Regulation No. 135/2007 contrary to city-specific regulations of the 1980s.</li> </ul> <p><b>References:</b> Tolon, 2008:23; Kedir &amp; Schmidt, 2009:18; UN, 2002b:17,26; FDRE, 2006:3,4, 20; Asfaw et al., 2011:19,31.</p>
<b>Urban form</b>	<ul style="list-style-type: none"> <li>• Urbanization in Ethiopia is introverted and the urban system is dominated by the only big city, Addis Ababa; the urban form is dispersed comprising of heterogeneous urban pattern interspersed with nucleated homogeneous patterns that leads to gated communities; qualitative and quantitative growth and gentrification processes influence the dynamics of the urban form causing densification particularly in Addis Ababa.</li> </ul> <p><b>References:</b> Asfaw et al., 2011:2,18,34; UN-Habitat, 2010:150; Tolon, 2008:27/28,30; UN, 2002b:9; Kessides, 2005:68.</p>
<b>Trans-boundary problems</b>	<ul style="list-style-type: none"> <li>• Poorly-developed urban economic base and the incidence of squatter settlements leading to slum formation especially in the peripheral area of Addis Ababa.</li> </ul> <p><b>References:</b> UN-Habitat, 2010:150; Melesse, 2005:11; Asfaw et al, 2011:18; FDRE, 2006:16; UN-Habitat, 2007; Tolon, 2008:28.</p>
<b>Levels of spatial/economic development planning</b>	<ul style="list-style-type: none"> <li>• Essentially engages in project planning for sectoral development.</li> </ul> <p><b>References:</b> Kedir &amp; Schmidt, 2009:13; FDRE, 2006:32; Tolon, 2008:19, 24; UN-Habitat, 2008:10; UN, 2002b:9,13. Doc(s): 2002 <b>Addis Ababa</b> Structure Plan; Market Towns Development Project (MTDP), etc.</p>



<b>Urban planning instruments</b>	<ul style="list-style-type: none"> <li>• Participatory planning approach at all levels of planning initiative.</li> </ul> <p><b>References:</b></p>
<b>Planning education facilities</b>	<ul style="list-style-type: none"> <li>• Considering the population of Ethiopia the provision of two university facilities for planning education plus an institute of technology and a college is considered grossly inadequate. In what looks like shared responsibility the university curriculum has a strong technical design/physical planning focus while the college concentrates on social sciences and humanities subjects.</li> </ul> <p><b>References:</b> AAPS, 2010:7.</p>
<b>Professionalism (urban planning)</b>	<ul style="list-style-type: none"> <li>• No formal structures in place for managing professional planning practice.</li> </ul> <p><b>References:</b></p>
<b>National Urban Development Strategy (NUDS)</b>	<ul style="list-style-type: none"> <li>• Inclined towards a polycentric model since the 1990s.</li> </ul> <p><b>References:</b> UN-Habitat, 2010:137; Asfaw et al., 2011:55.</p>
<b>Development cum transport corridors/trans-national corridors</b>	<ul style="list-style-type: none"> <li>• The formation of national development corridors are most probably unfolding organically through natural process without formal planning that is required for securing productive space economy that generates growth.</li> </ul> <p><b>References:</b> Kedir &amp; Schmidt, 2009:10; Thomas, 2009.</p>
<b>The informal sector</b>	<ul style="list-style-type: none"> <li>• Institutional perception provides a theoretical foundation for the support of the informal sector. This is the case with Ethiopia where the informal sector makes significant contribution to the national economy however without relenting in generating informal settlements and squatter settlers.</li> </ul> <p><b>References:</b> Pieter van Dijk &amp; Fransen, 2008; Tolon, 2008:29-30.</p>
<b>Paradigm shift in spatial and statutory planning</b>	<ul style="list-style-type: none"> <li>• Receptive to paradigm shifts at least to the extent of relaxing centralized planning and allowing some impetus for market forces to play some role in the process of rational land use planning which was introduced in the 1990s.</li> </ul> <p><b>References:</b> Okpala, 2009:14; UN-Habitat, 2008:125; Tolon, 2008.</p>
<b>NEPAD</b>	<ul style="list-style-type: none"> <li>• Active at networking in NEPAD activities.</li> </ul> <p><b>References:</b></p>

	AMCEN, 2008:10.
<b>Urban planning consultancy services</b>	<ul style="list-style-type: none"><li>• The national planning institute is squarely in charge of providing consultancy services and they are busy with producing master plans.</li></ul> <p><b>References:</b> Doc(s): Ethiopian Master Plan</p>

Source: Own construction (2012)

### **3.7.1.1 Perceptions of spatial planning in selected African countries**

The state of art of thematic areas studied in selected African countries is summarized in **Table 3.3** below. The perceptions describe the scenario for spatial planning in Africa. The economic challenges relate directly to reducing poverty by reworking the space economy. But unfortunately attention seems to be moving away from urban planning to environmental management. Environmental problems emanate from the misuse of the environment, resulting mainly from the disregard of spatial planning requirements for sourcing economic growth. This is common practice and the source of trans-national problems such as unstable urban forms, dysfunctional activity systems in urban regions, slum formation, isolated urban hierarchies, and sprawl development, among other problems are manifest on the African continent development surface. These problems summarily indicate progressive loss of attention on urban form as market forces assume prominence in determining urban development processes. It is against this backdrop that development planning initiatives are conceived and applied. It is not clear how these initiatives address integration in the context of a paradigm shift from formal planning techniques, the known tool for spatial integration planning. Some of these initiatives are examined subsequently to establish closer contact.

**Table 3.3: Summary of perceptions on thematic areas studied in selected African Countries**

THEMATIC AREAS	PERCEPTIONS
<b>Country profile (growth indicators)</b>	<ul style="list-style-type: none"> <li>• The Tanzanian and to some extent the Egyptian economy hold lessons for African countries because they were identified to have congruent indicators where the GDP composition correlates with employment structure.</li> <li>• For most other countries the economic sector that powers the national economy consistently offers fewer employment opportunities and in extreme cases such as in Nigeria and South Africa inequality is high and poverty is growing because the majority of the people are unproductive and immaterial in the husbandry of the national economy.</li> <li>• An enclave economy such as in Angola and Nigeria, that depends on resource mining, especially petro-chemical resources, gives a wrong impression of healthy national economic development, whereas in real terms economic growth does not reduce poverty. The increases recorded for GDP per capita do not reflect in the dynamics of poverty.</li> </ul>
<b>Urban planning machinery</b>	<ul style="list-style-type: none"> <li>• Decentralization and environmental policies tend to remove attention from urban planning and development policies in most African countries except perhaps in Nigeria, Ethiopia and possibly Tanzania where there is a defined urban policy and in the case of Tanzania human settlement development policy.</li> <li>• The review of planning laws is seldom extended to adaptive by-laws that deal with planning regulations. It seems those bye laws are already submerged in crises of relevance,</li> <li>• A multiplicity of sectoral planning agencies is identified, especially for housing and infrastructure development and this has the effect of generating incremental, piecemeal, and disjointed planning with little interdepartmental coordination. In the scenario urban planning agencies retire into informal development control without bothering with planning control.</li> </ul>
<b>Urban form</b>	<ul style="list-style-type: none"> <li>• Introverted urbanization is commonplace in Africa except in the rare cases of Nigeria and Tanzania where it is extroverted.</li> <li>• Urban growth comprehension tends to be synonymous with demographic increases, in total disregard of the very dynamic spatial aspects of it that determine urban form.</li> <li>• Urban form is the least issue planning practice is concerned with in Africa; the same neglect reflects in planning education with the result that elements of urban form that should inform planning education have faded into insignificance and in the process enhanced the stakes of generic procedural planning education.</li> <li>• There is a relative lack of knowledge of the form of African cities expressed in terms of the attributes of key variables of urban form, theoretically identified in the interplay of urban systems (urbanization patterns), urban land use distribution and urban land use patterns. What is available is implied knowledge and not results of research or monitoring activities.</li> </ul>
<b>Trans-boundary problems</b>	<ul style="list-style-type: none"> <li>• Sprawl urban expansion and suburbanization are evident and are identified as being led by the proliferation of informal settlement development.</li> </ul>

	<ul style="list-style-type: none"> <li>• Extroverted national economies are overwhelmed by the development of survivalist informal sector operations.</li> <li>• Dualistic and fragmented space economy stratified spatially along the lines of rural and urban economies and resulting in uneven spatial structures (distortions) in the urban regions.</li> </ul>
<b>Levels of spatial/economic development planning</b>	<ul style="list-style-type: none"> <li>• Broad guideline frameworks determined by market forces are extending into regional and local planning thus creating a lacuna in framework planning that deals with shaping the city.</li> </ul>
<b>Urban planning systems</b>	<ul style="list-style-type: none"> <li>• In practical terms paradigm shifts are not succeeding in reinventing planning.</li> <li>• Design-oriented master planning perspective is remarkably resilient.</li> <li>• A compromise position in planning perspective is settling on new master planning which incorporates participatory process although it is yet unclear the best way to find a synthesis between the two entities of participatory process and planning process.</li> <li>• Transitions in planning systems in most African countries started in the 1990s when neo-liberal economic policies took charge of global economy.</li> <li>• The transition in most countries is either induced by donor agencies or lead by conformity to global trend which the political class find strategically expedient for their countries to remain relevant in global political economy and not necessarily in the best interest of developing their urban regions.</li> </ul>
<b>Planning education facilities</b>	<ul style="list-style-type: none"> <li>• Francophone countries seem to be deficient in the provision of planning education facilities.</li> <li>• Neo-liberal thinking is influencing changes in the curriculum of planning education. Most of the changes are focused on generic procedural planning although progress in this direction is stunted.</li> <li>• Knowledge production in substantive planning theories is deficient in Africa and unfortunately against the backdrop of the need to review the Universalist approach to planning theory.</li> </ul>
<b>Professionalism (urban planning)</b>	<ul style="list-style-type: none"> <li>• The organization of professional planning in Africa is abysmally poor, not including herethe exceptional situation in Nigeria, South Africa and Tanzania.</li> </ul>
<b>National Urban Development Strategy (NUDS)</b>	<ul style="list-style-type: none"> <li>• Urban region development for metropolitan areas of mostly primate cities is commonplace. How this correlates with the decentralization policy of most countries is not clear especially where they are not related to any known urban region development model.</li> <li>• Modelling of urban development seems to be caught in the web of informality; however, this has implications for urban productivity because not all urban forms generate growth.</li> </ul>
<b>Development cum transport corridors/trans-national corridors</b>	<ul style="list-style-type: none"> <li>• So called development corridors if not properly conceived and managed may indeed turn out to be conduits for external economies to infiltrate the space economy of African countries.</li> <li>• Ensuring that development nodes in the corridors are not transit terminals as it seems to be the case with Maputo in Mozambique is critical.</li> <li>• At the moment market forces serve as determinant factors for development corridors in Africa and it is not clear how this will facilitate regional integration in Africa.</li> </ul>
<b>The informal sector</b>	<ul style="list-style-type: none"> <li>• The in-formalization of human systems tends to paralysis the planning system.</li> </ul>

	<ul style="list-style-type: none"> <li>• Attitudes towards the informal economic sector are fast moving from repressive to optimistic although there are rare cases such as in Mali and Tanzania where hostile regulatory environments remain resilient.</li> <li>• The change of attitude towards the sector is without clear direction of how to deal with the sector's externalities on spatial development of the urban region.</li> <li>• Reformist perceptions, as is the case in most African countries, give a more realistic perspective on the growth of survivalist informal sectors in Africa.</li> </ul>
<b>Paradigm shift in spatial and statutory planning</b>	<ul style="list-style-type: none"> <li>• Within three decades of crusade for participatory planning the performance sheet indicates limited progress as typified in Egypt under pressure from external development partners. On the other hand stalemated situations are commonplace while in limited instances such as in DRC and to some extent Tanzania zero-tolerance is noticed.</li> <li>• The entry point for instituting paradigm shift in planning in Africa is through slum clearance and urban upgrading schemes sponsored by donor agencies.</li> <li>• Where attempts are made to apply the concept at the urban level, such as in South Africa, the tactic of non-statutory, broad guideline spatial planning is engaged and participation is more or less consultative.</li> </ul>
<b>NEPAD</b>	<ul style="list-style-type: none"> <li>• South Africa is the prime mover of the NEPAD initiative since its adoption in 2001.</li> <li>• Most other countries are less enthusiastic and seem to be more concerned with what they can get out of the initiative in terms of attracting FDIs.</li> <li>• NEPAD does not have the planning tools to deal with regional integration. The RAIDS strategy is a move towards this direction but there are lots of matters arising with the strategy especially the strategic implications of sitting of the proposed development corridors at the edge of the continent and achieving form-based growth.</li> </ul>
<b>Urban planning consultancy services</b>	<ul style="list-style-type: none"> <li>• Planning consultancy services in Africa is extroverted in favour of foreign planning consultants. But this is to be expected because many African countries do not have organized professional practice in planning.</li> </ul>

Source: Own construction (2012)

### 3.8 Review case study of spatial development initiatives in Africa

Since the 1980s spatial planning initiatives have altered, following a paradigm shift in planning. Each country responds according to its economic fundamentals and its national vision for development. As participatory principles dominate the planning landscape, lots of experimentation are underway and innovative planning systems and new structures continue to emerge. The growth of normative frameworks is evident alongside the development of subjective institutional models some of which have coalesced under the auspices of Cities Alliance to generate a Cities Development Strategy (CDS). Many countries, both in the developed and developing countries, tend to

imbibe the CDS culture which indicates economic growth, participatory planning and spatial form qualities driven by the World Bank, UN-Habitat and the Japanese government respectively. The different qualities elicit different approaches to CDS and the UMP and EPM approaches are commonplace. In Africa the UMP approach is very popular for poverty alleviation, especially in Francophone African countries, the bulk of which is located in West Africa. Anglophone African countries tend to be more inclined towards normative initiatives however without prejudice to CDS set of guidelines using EPM approach although EPM is linked more with sustainable cities programme (SCP). In the past four decades these alternative sources of initiatives have influenced participatory planning in Africa. In subsequent sub-sections, a review case study of experience in Egypt, Tanzania and South Africa will be conducted along with examining the application of the CDS mould in Bamako, Mali. The CDS in Mali provides an international template as point of comparative reference with the other normative initiatives.

### **3.8.1 The Cities Development Strategy (CDS) initiative in Bamako, Mali (West Africa)**

Mali gained independence five decades ago and is spatially about the same size as Angola and twice the size of Texas. It operates multiple levels of territorial divisions consisting of 761 local government units, consisting of 703 municipalities (Communes, of which 607 are rural and 96 urban), 49 circles (districts), 8 regions, and the District of Bamako (as in 2007) (Farvacque-vitkovic et al., 2007:25). The elaborate divisions are for a relatively small but increasing population, estimated at 15.37 million people in 2010 - more than half of which are poor and engage mainly in agricultural activities. The national economy, which is obviously agriculture-driven, is improving gradually at a moderate growth rate, indicating positive per capita productivity; however, with clear signs of asset poverty inequalities. Poverty is endemic in Mali and since the 1990s more than 60 per cent of Mali's population have lived below the national poverty line. Urbanization levels are low although the growth rate is high, but there is no indication of megacity development. City primacy is evident with Bamako dominating the urban landscape. Mali is actively involved in regional networking and anticipates in her national vision to control the destiny of her civilization.

Bamako is a primate city in Mali. Bamako's population is estimated at between 1.2 million and 1.4 million in the 1990s, which is ten times more than the country's second largest city, Ségou (Farvacque-Vitkovic et al., 2007:2). Unemployment is high and more than two-third of those employed engage in informal sector activity. About one-third of the population live below the poverty line and the urban growth rate at 5.97 per cent as at 1997-2000 is high. Urban expansion is manifest as well as suburbanization. Bamako increased from 1,200 hectares in 1960 to 19,000 hectares in 1980 (Farvacque-vitkovic, et al., 2007:4) (Kilroy, 2008:33); in the 1986-1999 period the built-up area of Bamako increased by 91% (Kilroy, 2008:14). 'Diversity is the hallmark of Bamako's informal settlers as peri-urban developments have spread to include the traditional villages of Sogonafing, de Koulouba, du Point G, and Samé, among others' (World Bank, 2002). Very small proportions of the urban population have access to basic urban services. Prospects for recovery against the backdrop of national building are high and for Bamako, Mali envision "a prosperous city and city of interaction; a well-managed and safe city; a pleasant city; a city of culture and a modern city". To this end, six goals were proposed for strategic action and they are:

- Promote economic development through productive employment creation and resource mobilization activities;
- Improve local governance;
- Improve the quality of life of the population in healthy environment in tenyears;
- Have an efficient educational system;
- Make Bamako a city of culture, a city in which sport is seen as a factor for improving the quality of life and as a federating factor, a city that promotes physical, intellectual and psychological well-being; and
- Formulate and implement a suitable Urban Policy.

The BNETD (2001) report indicates that the main challenge of the development of Bamako city is in achieving sustainable urban development while addressing the issue of poverty, which affects one third of the urban population.



### **3.8.1.1 The CDS concept**

The Cities Alliance (CA), a global coalition of cities and their development partners committed to scaling up successful approaches to poverty reduction, developed the mould for configuring CDS initiative. The CDS as presented by CA manifests general trends rather than a tightly defined planning methodology at the city (or in some cases regional) level. By virtue of its tripod content drivers, it is a broad approach with the attributes of divergent organizational approaches: the World Bank with emphasis on local economic development, the UN-Habitat with emphasis on processes of stakeholder participation, and the Japanese government with an emphasis on city planning, conventionally interpreted as spatial or physical planning. Many CDSs bear the imprint of these approaches both in emphasis and design, depending on the interest of the content driver.

The CDS could be seen as a form-based participatory concept that functions within the national urbanization frameworks and founded on the premise that a city's development path can be altered significantly by well positioned and well-timed public, private, and civil society strategic interventions. Specifically conceived for developing countries, the concept shares the principles of enablement, participation and capacity-building. Hence it is linked with pro-poor urban governance and participatory decision-making for cities facing the challenges of urbanizing poverty, increasing competitiveness and emerging pressures on economic and environmental sustainability. The concept identifies with the causal factors of poverty and not the symptoms and seeks a structural transition of the urban form through expert formal knowledge and intensive rather than extensive participation. Its disposition towards form extends its influence to the use of remote sense imageries for time-series analysis in the diagnosis of spatial form. Thus the reordering of land use functions, patterns and distributions are some of the major preoccupations of the concept but somehow these attributes are relegated to the background in most representations.

The CDS concept directs the growth path of cities. It functions as an instrument of change on the basis of which it is regarded as 'trend-breaker' because it motivates key city decision-makers and stakeholders to think and operate differently as well as to stimulate structural adjustments in the composition of urban form. In other words, it causes stakeholders to assess their situation in a truly objective manner, and then

deploy a very limited number of actions with strategic intent to enable the city to dramatically change its performance through a form-based planning process (see Webster & Muller, 2006:22). Therefore the concept works with a flexible mechanism of participatory decision-making followed by with expert spatial planning designed to change the form of cities, especially where spatial distortions exist in the urban region. Although the components of the CDS mechanism are complementary, spatial planning is not equally mainstreamed in the CDS concept. A similar scenario plays out in South Africa with the spatial development framework (SDF) component of integrated development programmes (IDP).

The CDS is finally a multi-dimensional, visioning and analytical process of arriving at strategic thrusts through an innovative consideration of the economy (livelihood), environment, form and function, finance (budget), and governance (devolution of power) in city development. The concept considers economic clusters rather than economic sectors, mainstreaming environmental planning rather than treat it as 'add-on', spatial form rather than spatial structure however ensuring that land use does not dominate the content of a CDS - neither should it be relegated to the background, and extroverted financial mechanisms and governance rather than reliance on local government and its budgetary system. CDS reasoning postulates that local governments alone cannot turn a city around. Meanwhile, an eight-step methodology sequence of activities is required to undertake a CDS and normally a mixed scanning approach is adopted. The technical aspect of CDS that elaborates the strategic thrusts is external to the sequence of activities identified. However, the technical content consolidates the most important product of a CDS, a city-wide strategy that turns the city into an engine of equitable economic development and has a direct impact on poverty reduction, local economic growth and improved governance. In short, some of the compelling characteristics of effective city development strategies include: internal consistency, targeted scope, measurable achievement, cross-cutting strategic thrusts, clearly-defined targets and responsibilities, incentives to drive performance, a flexible framework and constant vision, CDS priorities reflected in budgets, and extended ownership.

### **3.8.1.2 CDS dimension**

Cities Alliance (CA) hesitated to proffer a rigid definition of CDS but eventually made a submission published in a 2013 document that is posted in the web. In the words of the

CA 'a city development strategy is defined as an action-oriented process, developed and sustained through participation, to promote equitable growth in cities and their surrounding regions to improve the quality of life for all citizens'. It goes further to state that 'CDS helps cities integrate a strategic development approach and a long-term perspective into their urban planning. With a CDS, cities move beyond planning around the short-term political or donor-funding cycle to considering where they should be in 20 or 30 years, and the steps that need to be taken to achieve those goals'. The steps under reference are the dimensions of CDS which differ depending on circumstance and for this reason CA presents them as 'themes' or 'substance'. The themes are recurrent issues simulated in diverse attempts of integrated development and they include: livelihood; environmental quality, service delivery and energy efficiency; spatial form and infrastructure; financial resources and governance. The over-arching theme for the World Bank is Bankability - that is, sound financial management of local government; for UN-Habitat the themes are shelter and environmental management, and most probably an urban model for the JICA. These distinguishing themes are in line with their organizational procedure. For Bamako CDS the thematic committee working group considered the following themes (BNETD, 2001:4)

- Land use planning and land ownership aspects;
- Land use, physical and social infrastructure;
- Economic development and mobilization of local resources;
- Social development and security;
- Cultural development, sport and leisure;
- Environment and living conditions; and
- Institutional development and governance.

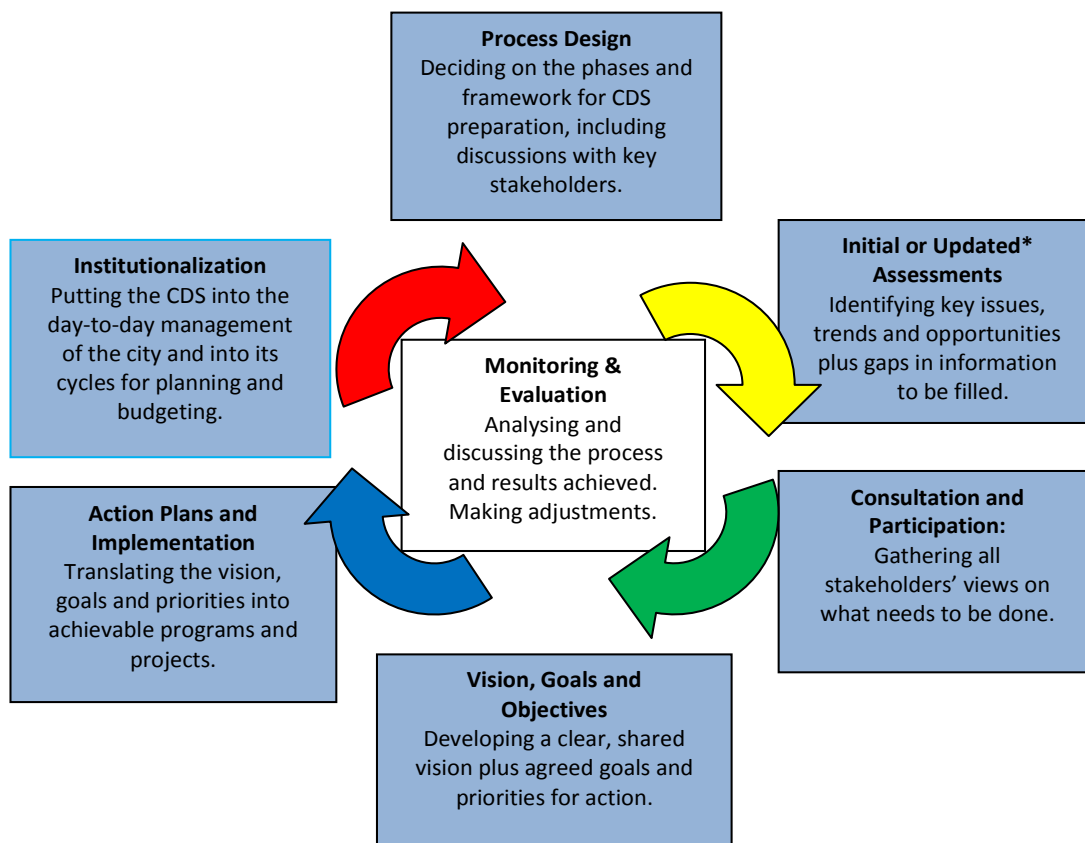
These are more or less cross-cutting issues that were discussed in a multi-disciplinary forum and methods of reaching consensus were built upon UMP approaches and experience. The major resource persons were city administrators and persons from the private sector accredited to have 'proven experience and competence' who most probably contributed informal expert knowledge.

Overall the themes are consistent with the CA model, although performance indicators were not included and they maintain good sequences with the challenge ahead. However, the focus on land use planning, though commendable, is likely to address

structure and not form and the competence of the UMP approach to properly address spatial form is a serious source of controversy. Already the BNETD (2001) analysis of Bamako CDS identified the processing of data as a hindering factor and suggested that analysis should be more robust and not consist of a mere compilation of data. Indeed, morphological studies, which also underpin CDS transfer, require expertise which is not even guaranteed with the present crop of indigenous planning professionals in Africa. There is no indication, for instance, that Mali, along with some other African countries such as DRC, Angola, Egypt, Ethiopia and Senegal, etc. have professional bodies and registration councils for regulating planning practice. The growing use of desktop planning theories and concepts in participatory approaches encourages mediocrity, hence leading to quackery and charlatanism in planning. Mali's experience is not too far from this trend. It is at this point of identifying the causality between formal expertise and suitable urban policy that the noble idea of CDS and similar initiatives lose their grip on third-world countries as a mechanism for building cities of the future in Africa.

### **3.8.1.3 The CDS process**

The broad aim of the CDS process is to produce a multi-faceted development framework with wide-ranging stakeholder support that will improve city governance, and also marshal resources for sustainable and equitable economic growth, sustained reductions in poverty, and a better urban environment (ECON, 2005: 28). In line with the CA provision "this requires a participatory process that leads to an agreed vision, goals and priorities for the city; a set of strategies and action plans that constitute a realistic programme linked to available resources; establishment of new or improved institutional mechanisms required to underpin implementation; and strategies and action plans for providing additional streams of resources and investment both internally and through attracting external support". An iterative approach to CDS design and implementation is illustrated in **Figure 3.6** below. The six aspects of the design approach notably mainstreamed monitoring and evaluation in the sequence of activities, are meant to capture the essential elements or 'building blocks' of the CDS process.



\* In light of monitoring and evaluation and new information on local conditions, needs and trends (the operating environment).

**Figure 3.6: City Development Strategy (CDS) design and implementation**

Source: ECON Analysis 2001

The guidance framework for the CDS process comprises, in principle, eight 'building blocks' in the following sequence: i) Initiating the process; ii) Establishing the initial parameters and the scope of the CDS; iii) Making an initial assessment; iv) Formulating a vision; v) Identifying strengths-weaknesses-opportunities-threats (SWOT analysis); vi) Setting strategic thrusts; vii) Building awareness; and viii) Implementation. There is nothing sacrosanct about these 'building blocks' as CDSs can be constructed in different orders and with differing structures. Also the 'building blocks' are content-neutral as such the precise content of a CDS vary from place to place depending on local issues and priorities. Bamako CDS process comprise of four phases including: i) the city strategic analysis, ii) the thematic committee working group sessions, iii) a public day, and iv.) strategic planning workshop. Priority themes according to various phases of process are represented in **Table 3.4** below, all leading to strategic vision and action

plans inclined to promote the informal sector and the provision of credit and market facilities linked with World Bank and UNDP interest in follow-up investments, an expectation that did not come through. Apparently the quality of the CDS activities lacked impetus. Literature indicates that the very rudimentary analysis phase as a result of a poor knowledge base and limited intellectual capacity of Malian population almost marred the process in spite of the impressive turn-out of participants. The participatory methodology used for strategic planning in phase four presented difficulties in terms of resources to negotiate hard content of the CDS themes as well as in terms of managing the participatory process.

There are two outstanding issues with the Bamako CDS model. First, it is not clear how monitoring and evaluation (M&E) is mainstreamed in Bamako CDS process as it is the case with other CDS initiatives in Africa including Johannesburg CDS in South Africa, Cairo CDS in Egypt and Karu Development Strategy (KDS) in Nigeria; and second, the sequence of spatial form in the system of activities of Bamako CDS is compromised. Conceptually M&E is postulated upon and in practical terms most probably the function of donor agencies, given the control status of project financing and the high dependence on external funding. Somehow it is not noticed or if it is noticed it is not talked about that the criteria for funding set by donor agencies can potentially usurp the technical content of the CDS model. It practically reduces the CDS model to a project planning instrument focused on environment-friendly infrastructural development, a position which is at variance with the original CDS concept. This being the case, the planning workshop phase in Bamako CDS process is unwittingly prioritized notionally. By implication the technical input which translates the workshop result into an integrated development plan loses impetus as a scientific tool for creating spatial urban forms as intended *ab initio* in the CDS initiative. A similar scenario plays out with the application of the IDP initiative in South Africa and medium-term planning in Nigeria. The need to reverse this situation is critical in order to balance the relevance of technical input in the Bamako CDS process. Otherwise spatial form, which is one of its very crucial contributions, was earlier retained presumably as an attribute of the land-use dimension of the Bamako CDS initiative, and suffers debilitating relegation in the CDS process. Progressively urban form that has direct relations with an urban model which informs CDS conception pales into insignificance and this is perhaps the price of donor agency participation in planning in Bamako, Mali in Africa.

**Table 3.4: Priority themes according to various phases of the Bamako CDS process**

CITY STRATEGIC ANALYSIS	WORK GROUP SESSIONS	PUBLIC DAY PHASE	STARTEGIC PLANNING WORKSHOP PHASE
<p>Major Themes</p> <ul style="list-style-type: none"> <li>· Urban and regional context</li> <li>· Urban poverty and quality of life</li> <li>· Social integration</li> <li>· Urban management</li> <li>· Regional / Urban Economy</li> <li>· Relationships of District with outside world.</li> </ul>	<p>Major Themes</p> <ul style="list-style-type: none"> <li>· Land-use planning and land ownership aspects</li> <li>· Land use, infrastructure and social infrastructure</li> <li>· Economic development and mobilization of local resources</li> <li>· Social development and security</li> <li>· Cultural development, sport and leisure</li> <li>· Environment and living conditions</li> <li>· Institutional development and governance</li> </ul>	<p>Major Themes</p> <ul style="list-style-type: none"> <li>· Land issues and development of city</li> <li>· Urban social services</li> <li>· Urban network services</li> <li>· Development and economic services</li> <li>· Environment, living conditions, sport, culture and leisure</li> <li>· Municipal administration and security</li> </ul>	<p>Major themes</p> <ul style="list-style-type: none"> <li>· Urban economy</li> <li>· Local governance</li> <li>· Quality of life and environment</li> <li>· Education</li> <li>· Culture and leisure</li> <li>· Urbanization</li> </ul>
<p><b>Methodology</b></p> <p>Study based on the collection and processing of available data by ALPHALOG. No precise reference framework in the identification of basic data for a study with a future dimension (DELPHI method; structural analysis; strategic analytical matrix) Emphasis on identification of strengths and weaknesses.</p>	<p><b>Method of consensus building</b></p> <p>Note distributed to moderators based on UMP guidelines (terms of reference). Consensus found following long discussions led by resource persons from high echelons of the administration or private sector whose experience and competence are proven. Cross-fertilization of viewpoints made possible by the multiple disciplinary nature of the composition of the committees. The brainstorming session made for the expression of a wide range of views by the participants (an idea per card) leading to:</p> <ul style="list-style-type: none"> <li>-key ideas ;</li> <li>-a synthesis</li> </ul>	<p><b>Method for consensus building</b></p> <p>Effort to involve stakeholders in decisions concerning the city. Modalities for these efforts were introduced by the Mayor himself who wished to know:</p> <ul style="list-style-type: none"> <li>-the problems confronting the citizens and to which solutions had not been found.</li> <li>-the main constraints and manifestation of problems.</li> <li>- Approaches by District and partners to find concrete solutions.</li> </ul> <p>Consensus found following long discussions led by resource persons from high echelons of the administration or private sector. Participation appreciated by the most disadvantaged sections of the population.</p>	<p><b>Method for consensus building</b></p> <p>Supervision by BNETD</p> <ul style="list-style-type: none"> <li>-definition of a shared vision</li> <li>-Identification of overall and specific objectives</li> <li>-Definition of expected results by theme</li> <li>-Identification of activities by theme</li> <li>-Definition of implementation strategies</li> </ul>

Source: BNETD 2001

#### **3.8.1.4 The CDS Programme**

The conversion of urban development strategy into a planning methodology as it were involves a CDS initiative; as such CDS programmes serve as instruments for implementing national urban policy frameworks. Incidentally, the notional use of a national urban development strategy (NUDS) is not commonplace in Africa and this is reflected in the dwindling attention to urban policies. Considerable proportions of African countries do not have national urban policies in place, the few exceptions include Nigeria and Ethiopia. At the moment decentralization and environmental policies have taken over policy frameworks for urban development and perhaps they will provide the theoretical base for the yet to come African urbanization ideology *cum* urbanization policy. It is against this backdrop that Bamako CDS is applied alongside Bamako Urban Development Strategy. Both programmes are most probably complimentary as it is the case with mainstreaming citywide CDS in IDP in South Africa in 2006 as contained in Johannesburg 2030. The Karu CDS programme in Nigeria was limited to economic development strategies though the result is currently being applied in the Karu Development Strategy (KDS). Kigali CDS in Rwanda is yet another of the CDS experiences in Africa. Over 100 cities worldwide have undertaken a CDS process since 1998 when it was piloted in East Asia (ECON, 2005: 1).

The Bamako CDS programme was launched in 2000. There is no indication that the launch was based on a thorough morphological study of Bamako city as required. Nonetheless, the programme was launched and barely two years later the UMP/BNETD mission appraised the rollout process. The review in this discourse draws heavily on the output of BNETD 2001 appraisal report on the Bamako CDS rollout as well as case studies ECON Analysis (Norway) in collaboration with the Centre for Local Government at the University of Technology in Sydney (Australia) conducted on the impacts of CDS worldwide, commissioned by the CA. Apparently there is a limited post-rollout Bamako CDS process because donor agencies allegedly pulled out of the experiment.

BNETD (2001) indicates that participation by the public and private sectors and civil society prompts the rollout process which on the other hand suffered considerable setbacks that range from a weak statistical base to poor comprehension of strategic planning methodology by the coordinating organ, ALPHALOG. Activities in the first three phases of the rollout were conclusive but not so the fourth phase. Strategic planning



workshops in the fourth phase were inconclusive due to funding problems. The poverty oriented assessment conducted for Bamako CDS was considered inadequate. Similarly Johannesburg CDS rollout in the initial stages shared the setback of poor assessment. In Nigeria the Karu CDS experience was, to the contrary, perhaps because 'the objective of the study (i.e. Karu CDS) was to gather reliable data that could support informed policy making by the State and Local Government, intended to support growth and employment creation in Karu' (ECON, 2005: 34). The input of the thematic committee working groups and the public were more or less routine checks and lacked relevance because they did not determine the themes of the strategic planning workshops at the final phase of the rollout process. The themes the workshops considered were selected by the sponsoring agency (BNETD) in consultation with the coordinating agency (ALPHALOG) however based on the evolution of work in the CDS process. BNETD supervised the proceedings of the workshops.

The workshops established strategic areas for the six themes for which it considered using the UMP procedure. Thus far the inputs have maintained a good sequence of activities except for the strategic areas identified to deliver urban policy formulation and implementation. The strategic areas for this theme were painfully limited and completely divorced from spatial form, contrary to the prominence spatial form shared notionally at the outset with the other CDS dimensions. The rollout process showcased a systemic undermining of urban form which has the capacity to paralyse the entire visioning process. Rather than spatial form, the terms 'urban policy', 'land use planning' and 'urbanization' were used intermittently at different phases of the CDS design process. Those references suggest attention to spatial issues but certainly do not convey the strategic planning implications of spatial form which transcends urban land use structure. Spatial form tangles with economic-based models of urban land use to determine urban development strategies. Significant contributions in this direction of earlier epoch came from, Von Thunen (1826), Weber (1929), Isard (1956), Christaller (1933), Perroux (1950), etc. earlier discussed. These contributions, although not defunct, have eschewed new theories - mostly urban land-use structure theories which provide useful starting points for understanding urban land use in developing countries.

The significance of these theories in contemporary planning for developing countries lies in the deterrent they provide for informal planning and the impetus they give to planning rationality. The recognition of these theories brings to the negotiating table in

participatory planning the critical issue of form and function subsumed in modelling for urban development. In effect, growth is seen in the context of urban form and the relationship between spatial form and space economy is seen in its proper perspective. Overall spatial form brings planning rationality to bear in the scheme of urban development, a feature that is not compatible with market force principles that inform the organizational procedure of funding agencies. In other words, reliance on donor agencies to protect urban form is ironic and this is food for thought for post-rollout review process.

Already the post-rollout review is focused on three elements: Monitoring and Evaluation (M&E); institutionalization; and prospects of replication. Contrary to the tradition in CDS initiative the mainstreaming of M&E was not an issue in the Bamako CDS. Throughout the rollout process it did not receive any attention and the same attitude goes for institutionalization. Perhaps there are issues with the local perception of the instrument. In South Africa the Johannesburg CDS is rather integrated into Local Government's corporate plan through the annual Integrated Development Plan (IDP). It does not enjoy autonomous status; however, it justifies the founding of the South African Cities Network (SACN) – supported by the Cities Alliance. KEDS in Rwanda feeds directly and indirectly into various subsequent planning initiatives much in the same way that the Karu CDS feeds into the KDS in Nigeria. The replication of the Bamako CDS is considered possible but subject to changes, especially data-processing. BNETD 2001 indicates that there is a need for a more dynamic approach in processing information on databases. They also solicit greater latitude for defining issues given to CDS content drivers. Presumably this applies to countries with similar economic fundamentals as Mali. A feedback system to sustain the zeal for participation highlights the need to establish observatories to monitor the dynamics in the morphology of cities.

In summary the lifespan of the Bamako CDS and indeed the CDS initiative in Africa depends on the tenacity of donor agency support. The support, on the other hand, depends on how much donor agencies remain content drivers for CDS initiatives. For so long as donor agencies remain content drivers for the CDS that uses the UMP approach, the initiative may not ascend to an instrument that encourages spatial form. This being the case, Africa has to rethink the CDS initiative, certainly not to jettison it but to seek alliance with Japanese government through JICA to remould it or at least get it to what it

was in East Asia in the 1990s because it holds the potential to resolve the riddle of growth and shaping the city in Africa.

### **3.8.2 “Shorouk” initiatives in Egypt (North Africa)**

Planning in Egypt is territorial - either urban, rural, growth pole or new town development *cum* renewal programmes. But rural planning and the development of new towns seem to dominate planning arena due to the need to redistribute the population and territorial development. Since ancient times, settlements have occupied around only 5 per cent of the total national territory, being confined to the fertile delta in Lower Egypt and the narrow strip along the banks of the river Nile (Wahdan, 2007:2099). The resultant uneven spatial structure indicates regional inequality, with Upper Egypt as the most backward region in terms of human development indices (Wahdan, 2007:2103). Regardless, the general structure of Egyptian economy since the year 2000 leaves a contrary impression, considering the correlation that exists between its GDP composition and employment structure. The economy, however, indicates rural poverty, although three-quarters of the increasing population who engage in service delivery are above the poverty line. There are two crucial positions from the economic and spatial realities in Egypt; first, the solution to rural poverty is strategic to economic growth and second, ecological issues challenge the frugality of developing the coastal region corridor and this leaves Egypt with the option of checking for alternative corridors as a more sustainable strategy.

The future vision for Egypt extends to 2030 and it contemplates ‘efficient and sustainable growth, internationally competitive economy and an integrated and democratic society’. The developmental vision opts to reduce poverty and income disparity by 2022. Somehow the medium-term plans that proceeded envisioned image-making instead of the political, economic, social, cultural, civilization, knowledge and technological aspects. The visioning process justified strategic planning and caused the launch of Participatory Development Programme in Urban Areas (PDP) in 1998 (Research Team, 2010:24) and Shorouk planning in rural areas in mid-1990s. Both planning instruments operate within the framework of economic regions and regional planning agencies that constitute local authority system.

### **3.8.2.1 The “Shorouk” concept**

The basic idea underlying Shorouk planning is decentralization and popular participation. Shorouk meaning sunrise, in Arabic relies on local leadership, youths and women as well as governmental assistance to development. The concept was initiated in 1994 in line with countrywide revisions to strategic planning as a project of the Egyptian Integrated Rural Development Programme implemented by the Ministry of Local Administration through the Organization for the Reconstruction and Development of the Egyptian Village (ORDEV). It derives from the need for local administration to be grassroots-based, encompassing all aspects of life at the rural communities' level.

The Shorouk programme is intended to empower Egyptian village communities by means of sustainable rural development. It ultimately sets out to bridge the gap between urban and rural areas through efficient utilization of local resources, diversification of economic activities, enhancing the efficiency of public utility services as well as the performance of governmental and non-governmental local institutions. Local resource optimization is central to Shorouk planning. In other words, the development of local environment, economy, human resources and institutions constitutes the general objectives of Shorouk planning. Indeed the Shorouk concept is a rural planning and development initiative that relies heavily on participatory processes, requiring community members in rural areas to assess and measure their resources, prioritize their needs, plan their future, and carry out and evaluate the output of their own efforts (see El Mahdi, 2002:26). This process of participatory planning is conceptually focused on sectoral development expressed in space economy; however, it is more inclined to economic than spatial planning. It is therefore not surprising, as it is common with most participatory planning paradigm, that integration in space constitutes a big challenge to Shorouk concept.

### **3.8.2.2 Integrated rural development**

The concept of integrated rural development refers to a process of deep change undertaken by the local community through democratic participation with government assistance to achieve comprehensive and interlinked progress in the different aspects of life at the Egyptian rural community level. It is a multi-dimensional output of Shorouk planning which articulates local community priority needs in terms of physical infrastructure, social services, and economic opportunities through participatory

processes. Integrated rural development is contained within the framework of the Shorouk initiative as a new era of comprehensive political and objective visioning stemming from people's participation. It, however, has the inherent problem of securing spatial integration in the context of sectoral planning and development initiatives irrespective of reliance on territorial planning at the regional level because it is not conceived to address spatial integration at local level. The inevitable consequence is interdepartmental conflict and unilateral interventions.

### **3.8.2.3 The Shorouk programme**

The Shorouk programme, designed for an initial 1994-2017 period, comprises infrastructure projects mainly in the construction of water networks, wastewater sewage systems, roads, communication centres and electric networks rehabilitation (GOE, 1997:20) in addition to improving social, economic and environmental conditions of rural citizens. The programme is financed mainly from the state budget and is intended mainly for community-based infrastructure development projects. To complement government effort, strategic loans to individuals and/or groups devoted to economic activities projects are available from Social Fund for Development (SFD), a semi-autonomous governmental agency under the direct supervision of the Prime Minister co-sponsored by the World Bank/IDA, the European Union, Arab Funds and other donors. Almost 70 percent of Shorouk projects in 1995/98 periods were funded from the government budget. It is not clear what the situation is at the moment but with heavy reliance on the government budget the rural community is not likely to be in charge of investment decisions. What this means is that the implementation of Shorouk projects will tend towards market force considerations and not the urgency of community need. Although this trend relates more to infrastructure projects than economic development projects especially those that funded from Local Community Fund and loan facility from Social Fund for Development. The new neo-liberal economic theory endears governments to market-force considerations. Therefore funding remains a critical hindrance to spatial integration in so far as it a determinant factor of plan implementation.

The Shorouk initiative lacks spatial dimension. Since government plays a determinant role in its implementation it lost its essence as a tool for local planning to a global system of economic control. The Shorouk perspective is yet to demonstrate possession of

spatial planning content and given its definitional role and operational mechanisms, it may not be able to support spatial integration. The integrated rural development it portrays is such that it has a limited concern for functional linkages with urban areas. Shorouk represents a sectoral approach to cultivate economic growth - therefore it is not favourably disposed to the argument that economy of scale which sustains growth depends on a functional flow that is found in spatial integration. The inevitable consequence of this oversight is the foundation laid in the process for unproductive space economy. Otherwise, as is seldom the case, considerations for spatial integration have to precede project planning and to be treated as a determinant element for project development. It is noted that the reverse is always the case in contemporary participatory planning methodology. To this end it is envisaged that a proactive spatial structure that interprets the economic system represented in a land use scheme could provide the remedy the Shorouk initiative requires in order to achieve spatial integration in the rural environment without which the search for sustainable growth will continue ad infinitum.

### **3.8.3 The IDP/SDF initiative in South Africa (South Africa)**

South Africa gained independence from Britain a little more than a century ago but until 1994 remained under minority rule during which the apartheid system prevailed. The country ranks sixth in landmass and seventh in population and operates four tiers of territorial divisions. The growing population engages predominantly in industrial (non-agricultural) activities and the poverty structure is fundamentally segregated thus confirming huge inequalities that are mainly responsible for the dysfunctional grading of the state (see Herst et al., 2006). Against the backdrop of these economic fundamentals South Africa is committed to building a prosperous, non-racial, non-sexist and democratic South Africa, where all citizens can share in the fruits of opportunity. According to the revised Green Paper on the national planning commission, the visioning process adopted egalitarianism as thinking instrument epitomized in Vision 2025 which articulates the type of society all South Africans would want to see in about 15 years' time. Therefore remaking South Africa's cities and towns by 2020 marks the urban vision as the level of urbanization is increasing although at not too high rate. In the context of these visions South Africa engaged with decentralization policies and since the 1990s have endeavoured to backup this policy with appropriate legislation and development perspectives. In the evolving planning system the municipalities

increasingly assume prominence and double as administrative and planning agencies most likely to function in tandem with the newly established National Planning Commission.

The concept of an IDP for local government precedes the Municipal Systems Act (Act 32 of 2000) and has its legislative roots in the Land Development Objectives required by the Development Facilitation Act of 1995. The IDP concept is a process and a programme with spatial planning as its central element. It is a strategic planning instrument that applies in the territorial aspect of the municipality based on the principles of sustainability, equality, efficiency, integration, fair and good governance and adopts integrated development approach to promote the creation of liveable, integrated cities, towns and rural areas. Its focus draws from its rationale which is linked with spatial and land use management issues that are responsible for spatial separations and disparities.

### **3.8.3.1 The IDP concept**

Representations here are based primarily on the IDP guide pack which explains the IDP system. The IDP is a multi-faceted participatory planning concept derived from global trends of democratization of planning decisions, governance as enablement for service delivery to the people, integration for equitable sectoral development and sustainability for economic development that benefit the local environment and quality of life, rather than undermining it. It is a normative concept intended to redress apartheid legacies, build a new culture of local governance and foster co-operative governance. To this end the concept has assumed the outlook of an event-centred and conflict-solving activity in which planning events in the form of workshops is a central element. For each planning event, suggestions are made on the type of organizations and “actors” to be involved, in order to ensure an inclusive and representative consultative and participatory process. The concept is meant to be an approach to local planning which focuses on local issues rather than being a sector or development dimension-driven approach (South Africa, 2001:8).

A wider view perceives the IDP concept as a composite planning procedure involving strategic, spatial and sectoral planning processes, all within the framework of participatory planning. This perspective looks beyond the IPD concept as a consultative and strategic planning approach to contemplate ‘an integrated approach which requires thinking and acting holistically across the conventional sectoral boundaries’ as well as

'implementation-oriented (approach), which requires becoming quite specific in terms of quantities, quality, responsibilities, location, time and costs to make sure delivery will take place. This goes well beyond a list of project titles'. These mutually reinforcing orientations of the IDP concept necessitate spatial and sectoral planning as integral parts of the greater IDP planning approach.

### **3.8.3.2 The IDP dimensions**

The IDP concept is a function of four key variables, namely natural, economic, institutional and spatial variables. In some representations 'social' is included. These variables are referred to as IDP dimensions. Conceptually IDP dimensions include cross-cutting issues specifically poverty alleviation, gender, HIV/AIDS and urban and rural development. These issues cut across development processes that target specific aspects of human needs in South Africa. These needs are often related to institutionalized agencies responsible for planning and development interventions and are defined as sectors (South Africa, 2001:6). Within the definition of the IDP initiative they include: health, education, tourism, safety and security, land (Land Reform Programme), energy, transport, water and sanitation, housing (National Housing Development Programme) and infrastructure (Consolidated Municipal Infrastructure Programme). These dimensions and sectors are mainstreamed into the IDP process, that is to say, they are considered at every stage of the process. The key consideration in the integrated development planning process that drives decision-making is the priority issues that are identified and defined by every municipality (South Africa, 2001:9). The priority issues are extracted and become the focus for planning. It is important not to confuse the concept of cross-cutting issues with priority issues: the latter are the specific local issues each municipality will identify in its local area that need to be addressed in the planning process (South Africa, 2001:12).

### **3.8.3.3 The IDP process**

The IDP process consists of five phases, namely; analysis, strategies, projects, integration and approval. The analysis phase which spotlights existing conditions, studies identified problems and their causal factors, both immediate and remote causal factors. The determination of the development surface in the municipality and resource analysis supplements activities at this stage. At the end of this phase, the municipality will be able to provide an assessment of the existing level of development, details on



priority issues and problems and their causes, information on available resources (IDP). The second phase, which is captioned 'strategies', represents the visioning process. Depending on the mind-set and outlook of the undertakers, a vision of the ideal situation the municipality would like to achieve in the long run is proclaimed in a vision statement. Subsequently the long-term objectives for achieving the vision statement are identified and strategized along with identifying corresponding priority actions commonly referred to as projects. The third phase deals with project development in which implementation strategies involving funding, project time-frame, management, etc. for delivering individual projects are outlined and indicators for measuring performance as well as impact are attached. It is observed that provision should have been made here to collapse the priority projects into a typology of actions and bring it tactically in line with the dimensions of the IDP process. This is necessary to facilitate the integration anticipated in the fourth phase where the preparation of spatial, financial and institutional frameworks as a basis for smooth implementation is imperative. In the fifth phase the IDP is presented to the city council for consideration and adoption. The Council may adopt a draft for public comment before approving a finalized IDP. A summary of the key outputs of the IDP process is given in **Table 3.5** below.

**Table 3.5: The key outputs of the IDP process**

<b>PHASES</b>	<b>KEY OUTPUTS</b>	<b>TIME FRAME</b>
<b>1- Analysis</b>	<ul style="list-style-type: none"> <li>• Assessment of existing level of development,</li> <li>• Priority issues or problems,</li> <li>• Information on causes of priority issues/problems,</li> <li>• Information on valuable resources,</li> </ul>	<b>3 months</b>
<b>2- Strategies</b>	<ul style="list-style-type: none"> <li>• The vision</li> <li>• Objectives</li> <li>• Strategies</li> <li>• Identified projects</li> </ul>	<b>2 months</b>
<b>3-Projects</b>	<ul style="list-style-type: none"> <li>• Performance indicators</li> <li>• Projects outputs, targets, locations</li> <li>• Project related activities &amp; time schedule</li> <li>• Cost &amp; budget estimates</li> </ul>	<b>2 months</b>
<b>4- Integration</b>	<ul style="list-style-type: none"> <li>• 5-years financial plan</li> <li>• 5-years capital investment programme (CIP)</li> <li>• Integrated spatial development framework</li> <li>• Integrated sectoral programme (LED, HIV, Poverty alleviation, gender equity, etc.)</li> <li>• Consolidated monitoring/performance management system</li> <li>• Disaster management plan</li> <li>• Institutional plan</li> <li>• Reference to sector plans</li> </ul>	<b>1.5 months</b>

<b>5-Approval</b>	<ul style="list-style-type: none"> <li>• Approved IDP for the municipality</li> </ul>	<b>1.5 months submission to MEC</b> –
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Source: Water Toolkit – Output 4: IDP linkages and co-operative governance.

The IDP process plan and the IDP representative forum facilitate the IPD process. The IDP process plan ensures proper management of the planning process although the process is inevitably an informal approach to policy development. Therefore it provides for the creation of structures that will ensure participation, ascribe role functions, determine time-frame for planning, inter-departmental coordination, monitoring etc. One of such structures is the IDP representative forum, established to encourage the participation of communities and other stakeholders. Among accredited role-players and stakeholders are:

- Members of the executive committee of the council
- Councillors including district councillors
- Traditional leaders
- Ward committee representative
- Heads of departments and senior officials from municipal and government department
- representatives from organized stakeholder groups
- People who fight for the rights of unorganized groups – e.g. A gender activist
- Resource people or advisors
- Community representatives (e.g. RDP Forum)

They represent the interest of their constituencies and negotiate planning decisions at different phases of the IDP process through the channels indicated in **Table 3.6** below.

**Table 3.6: Channels of participation in the IDP process**

<b>Planning phase</b>	<b>Methods for participation</b>
Analysis	<ul style="list-style-type: none"><li>• Community meetings organized by the ward councillor</li><li>• Stakeholder meetings</li><li>• Surveys and opinion polls (getting views on how people feel about a particular issue)</li></ul>
Strategies	IDP Representative Forum Public Debates on what can work best in solving a problem; Meetings with affected communities and stakeholders
Projects	Representation of stakeholders on project subcommittees
Integration	IDP Representative Forum
Approval	Public Discussion and consultation with communities and stakeholders
Monitoring and Implementation	IDP Representative Forum

Source: ETU

The responsibilities of role players at local government level are summarized in **Table 3.7** below.

**Table 3.7: Roles and responsibilities of role players at local government level**

<b>ROLE PLAYERS</b>	<b>ROLE AND RESPONSIBILITIES</b>
Municipal council	<ul style="list-style-type: none"> <li>• Final decision-making/approvals of IDPs</li> <li>• Monitoring</li> </ul>
Councillors	<ul style="list-style-type: none"> <li>• Linking integrated development planning to their constituencies/wards</li> <li>• Organizing public participation</li> </ul>
Executive committee/Executive Mayor/ Municipal Manager/CEO	<ul style="list-style-type: none"> <li>• Decide on planning process: nominate persons in charge; monitor planning process</li> <li>• Overall management and coordination – responsibility to ensure that all actors are involved</li> </ul>
IDP Manager	<ul style="list-style-type: none"> <li>• Day-to-day management of the drafting process on behalf of the Municipal Mayor (to ensure a properly managed and organized planning process)</li> </ul>
IDP (Steering) Committee/Task Team	<ul style="list-style-type: none"> <li>• Elaboration/discussion of contents of IDP:</li> <li>• Providing inputs related to the various planning steps;</li> <li>• Summarizing/Digesting/Processing inputs from the participatory process;</li> <li>• Determine applicable mechanisms and procedures for alignment relevant to local context;</li> <li>• Discussion/commenting on inputs from consultants or other specialists;</li> </ul>
IDP Technical Committee	<ul style="list-style-type: none"> <li>• Monitor implementation and measure against key performance indicators (meets only at mid-year review)</li> </ul>

Source: Water Toolkit – Output 4: IDP linkages and co-operative governance.

Given the foregoing provisions for IDP process plan, the disposition of phase three of the IDP process to project development and the participatory definition of IDP process, it is most likely the integration sought in phase four of the IDP process will encounter a crisis of relevance. This is because project implementation can conveniently proceed without the integration which phase four provides. In other words, in the participatory planning milieu as represented in the IDP process, where the technical attributes of planning required for integration lack adequate consideration, integration is thought to be vulnerable to relegation and in practical terms given lip service. The stakeholders are more likely to relate better with political issues of project management than technical issues of spatial planning.

#### **3.8.3.4 The Spatial Development Framework (SDF)**

The Spatial Development Framework forms an integral part of the IDP, which provides high-level guidelines for development in the municipal areas and also serves as an enabling framework for development policies (TCC, 2012:74). The aims of the (SDF) are first, to identify spatial constraints and opportunities from various sectoral and

geographic perspectives, second to formulate guidelines for spatial planning within the study area and third to formulate a spatial framework to guide the future development of the region. (TCC, 2012:115). There are many policy provisions and pieces of legislation that have an impact on the application of spatial development frameworks. The latest in the evolution of these statutory provisions is the spatial planning and land use management Act which was published in the Government Gazette in June 2012. Although this bill was repealed in its entirety, some of the previous legislations, particularly the pre-1994 physical planning Acts and Development Facilitation Act 1995, do not make it clear whether it has overriding control of events that determine spatial planning activities, given the substantive presence of the Municipal Systems Act 2000.

However, chapter four of the Act provides for the three spheres of government to prepare spatial development frameworks that are coordinated, aligned and in harmony with each other. A long-term spatial development vision statement and plan inform the preparation of frameworks intended primarily to address historical spatial imbalances in development. According to section 12(6) of the Act spatial development frameworks must outline specific arrangements for prioritizing, mobilizing, sequencing and implementing public and private infrastructural and land development investment in the priority spatial structuring areas identified in spatial development frameworks. Through a consultative participatory process the frameworks which are subject to executive council approval and periodic review processes to be done at least once after five years derive from policies, plans and programmes that impact on spatial planning, land development and land use management. After council approval the framework takes legal effect upon publication in the Government Gazette.

The Act makes provision for five categories of SDFs, namely; national, regional, provincial, district municipal and local municipal. The Minister administers the national SDF. The national SDF is mainly a policy instrument meant to give effect to national development policies and principles, indicate desired patterns of land use in the Republic and integrate provincial and municipal spatial development frameworks. It is peculiar to the national spatial development framework to 'take cognizance of any environmental management instrument adopted by the relevant environmental management authority'. The provincial framework seems not to have much of a distinguishing provisional requirement for its content.

Provision is made for regional spatial development framework prepared for geographic regions as determined by the Premier in consultation with concerned Municipal councils. This category of framework comes into play in consultation with the public when a municipality fails to publish or review existing municipal spatial development frameworks in accordance with the Act. The framework is programmed to be consistent with environmental legislation and to provide basic guidelines for spatial planning, land development and land-use management in the designated area. The municipal spatial development framework remarkably spotted the consideration of 'the spatial form of the municipality, including development corridors, activity spines and economic nodes where public and private investment will be prioritized and facilitated'. In the same vein implementation and funding strategies were prominently expressed for the content of the municipal framework. Meanwhile, statutory land development decisions are not permitted to deviate from the provisions of this framework except perhaps insite-specific circumstances that justify a departure.

Overall a neo-liberal ideology has politicized planning in South Africa. It diverted attention to plan implementation through the instrumentality of non-statutory and broad directional planning. The impression is given that the success of planning depends heavily on strong political leadership for 'coherent policies to be developed and implemented' (Todes, 2012:162). This success depends on the ability of the leadership to confine politicians to policy matters, separating them from planning activities and protecting planning decisions. Otherwise land use planning will be jeopardized thus derailing the entire spatial planning initiative. Solace is perhaps found in the adoption of more specific urban/rural development frameworks. But this view is more or less theory-based because practice is ostensibly limited to the preparation of IDP/SDF documents coupled with land-use schemes. The functional instrument is the land-use scheme which is likely to encourage incremental development. The integrative element of the urban/rural development framework, which works in consonance with growth management instruments, is succinctly referred to in the IDP conception, and is silent and most likely moribund along with the redundancy that seems to surround the application of SDF. A remedy of the redundancy identified requires a swop of positions between phases three and four in the IDP process.

### **3.8.4 The Opportunities and Obstacles to Development (O&OD) initiative in Tanzania (East Africa)**

Tanzania gained independence five decades ago with a landmass of just a little above that of Nigeria and almost the same with South Africa in population dynamics. The population engages predominantly in agricultural activities, and about half of them, located mostly in rural areas, are considered poor. Agriculture dominates the national economy which has continually recorded high growth rates since the 1990s, but per capita productivity stagnated in early 2000 although there have been signs of phenomenal improvement since 2010 - and inequality is low. Somehow the Tanzanian economy shares a similar structure with Egypt in terms of the congruence of GDP composition with employment structure, a feature that is not common in African economies. Urbanization levels are low and actually declined within the 2000-2010 periods and the primacy of Dar es Salaam remains constant. Tanzania is involved in regional networking and hopes to develop an economy that will adapt to the changing market-space economy in the regional and global economy

Participatory planning tradition started in Tanzania soon after independence in 1961 but it was sought in the economic planning process in line with the prevailing decentralization policy. With the abolition of local authorities and the establishment of democratic Local Government Areas in 1962, different methodologies of participatory planning evolved, purportedly to get decision-making closer to the people. Why the local authorities are not the best instrument to mobilize participation is not clear. After ten years of experimentation the Local Government system failed to decentralize power and it was abolished in 1972 and ten years later, in 1982, it was reintroduced with increased autonomy. After another fourteen years, ending in 1996, the Local Government system was found to increase dependency that worked against the civic identity characterized in community ownership of plans; decentralization remained elusive, thus leading to Local Government reforms which were approved in 1998. The reforms built primarily on the principle of "Decentralization by Devolution" (D by D) and empowered local initiative to prepare their own participatory plans and economic development programmes. Subsequently, in 2002, the harmonization of different methodologies of participatory planning used by Local Government Areas to implement the National framework on participatory planning and budgeting led to the O&OD planning methodology. O&OD is mainly donor-supported, hence restricted to District level.

#### **3.8.4.1 The O&OD concept**

The term *opportunity* in the O&OD concept refers to existing and potential resources available within or outside the community which can be used by that community. At the moment these resources are either properly utilized (e.g. availability of health facilities (dispensaries) or not properly utilized (e.g. arable lands for coffee production) or not used at all (e.g. forest reserve for timber production) or communities do not have the right to use it (e.g. the right to use clean and safe water). On the other hand, obstacles are defined as hindrances to optimal utilization of existing development opportunities and this includes social obstacles e.g. out-dated traditional beliefs, economic obstacles, e.g. a lack of working capital, political obstacles, for example ideological differences, and technical obstacles, for example lack of qualified personnel or technology.

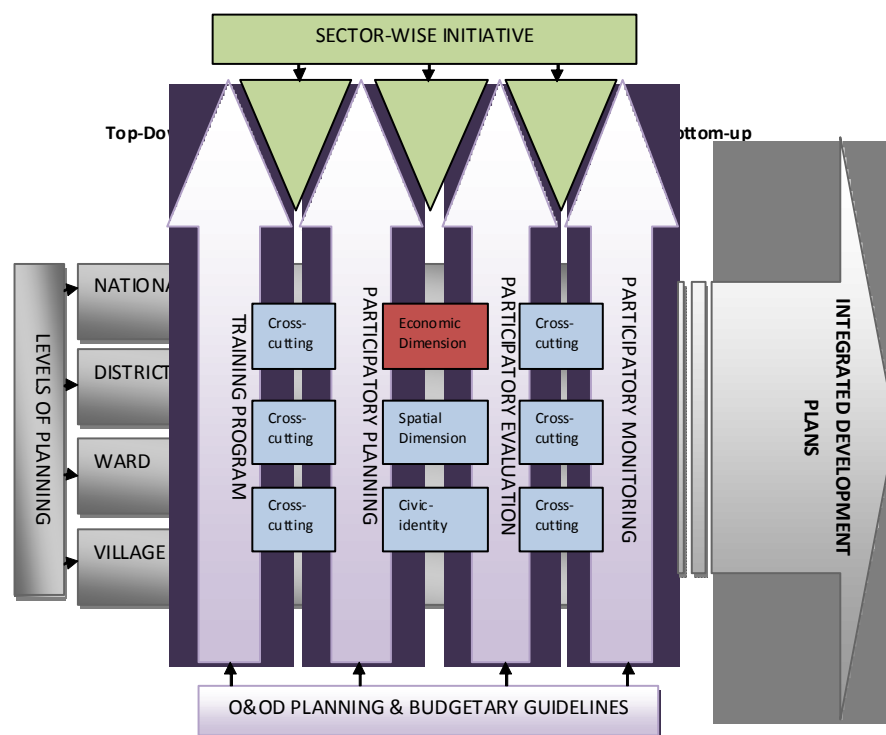
The O&OD concept is a participatory planning methodology applied mostly at community level in pursuit of a multi-sectoral bottom-up approach to planning for the alleviation of poverty. It is conceived to fill the gap in planning methodology between village and district levels of planning. Planning in this context implies participatory interaction in decision-making events that are linked with budgeting for project development in local communities. As such it uses participatory tools which include the village map, transect walk, historical time lines, seasonal calendar, institutional analysis, daily activities calendar by gender and household wealth ranking, focus groups and identification of sources of income and expenditure. The activity-based concept of planning does not necessarily apply in the O&OD methodology when it was conceived in 2002 to reduce dependency and create a sense of ownership in the community plan. The O&OD concept has got interdependent attributes that portrays it as a process that applies in rural and urban context. The distinguishing element compared with other planning initiatives is the rural O&OD process which extends the resolution of planning to the village level.

The O&OD concept is a participatory methodology of preparing “integrated” plans through a build-up of project to sectoral plans starting from the grassroots level to village and ward levels and finally the District council level. This unique two-pronged interpretation of the bottom-up planning technique that builds up from project to national planning frameworks and from village to District planning initiative is peculiar to the O&OD concept although it has issues with large-scale spatial integration which the design of space economy demands. Given its participatory tools and notwithstanding its



site-specific orientation, the concept is perhaps not concerned with large-scale spatial integration ventures. However, the O&OD concept is arguably holistic in participatory terms considering its rollout and post-rollout processes which explain the training programme for facilitators and participatory plan preparation and implementation as well as participatory monitoring and evaluation activities contained in *Review and Backstop* mechanisms (R&B).

Therefore the O&OD concept shares the status of a methodology, a process and indeed a programme which qualifies it as a planning model as conceptualized in **Figure 3.7** below. It is assumed that as a planning model it enables the community to identify in a logical framework a comprehensive plan rather than an action plan.



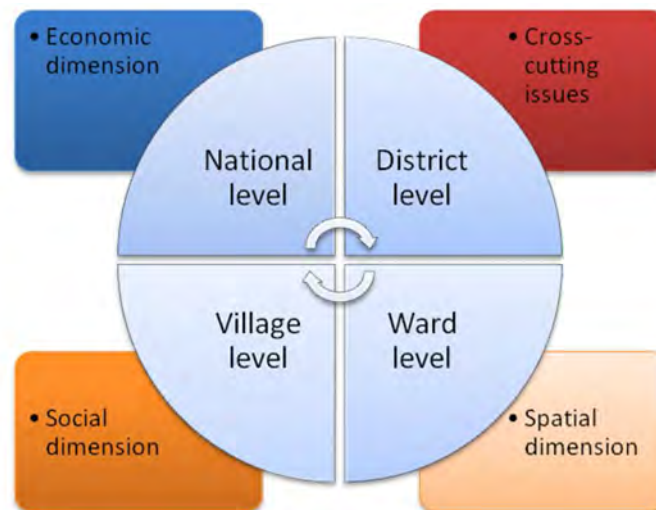
**Figure 3.7: Conceptualization of the O&OD planning model in Tanzania**  
Source: Own construction (2013)

The O&OD model is built on “integrated” planning notion that implies sectoral activities directed towards a common goal. This being the case, it is worrisome because spatial integration is seldom part of the common goal in market-driven sectoral development policies as is the case with the Tanzanian Development Vision 2025 and its sectoral programme. The sectoral programme which introduces sector-wide planning initiatives to

complement the O&OD usually entails the basket funding mechanism in order for the development partners (DPs) to ensure the use of funds in a particular sector. The planning initiatives under reference are incorporated as technical components of O&OD concept especially sector-focused planning while project-focused planning supplements both technical and implementation aspects of O&OD planning. However, their links and relationships with the O&OD are market-driven and as such not necessarily beneficial to spatial integration. Moreover, the rudimentary informal expertise knowledge associated with the calibre of role-players expected in the planning system may also not guarantee spatial integration especially at the urban level.

### 3.8.4.2 The O&OD dimension

The subject matter mainstreamed in the O&OD is poverty alleviation sought through decentralized participatory interaction in project planning. Therefore notwithstanding its multi-sectoral status O&OD is essentially mono-functional, focusing on the economic dimension of community development. However, a wider perception of O&OD illustrated in **Figure 3.8** below includes the social dimension which emphasizes civic identity and community ownership of development plans and perhaps spatial dimensions subsumed in urban and rural O&OD processes.



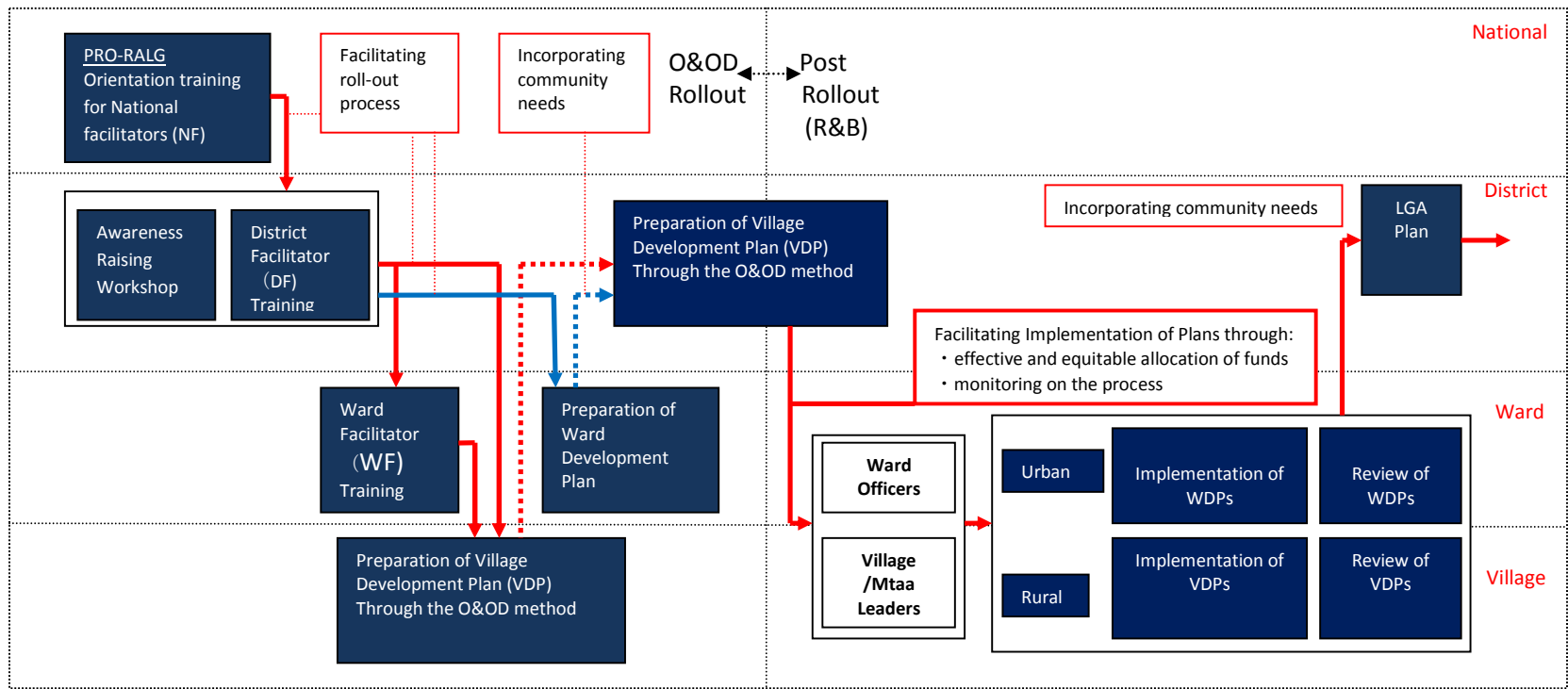
**Figure 3.8: Levels and dimensions of O&OD concept.**  
Source: Own construction (2013)

Then there are cross-cutting issues including gender, human rights, HIV/AIDS, environmental management, good governance and disasters which could be treated as separate dimensions in O&OD methodology. These issues, which draw from global

trends, are not unlikely to be considered preferentially by compulsion especially those that deal with gender, human right and HIV/AIDS. The focus on these issues tends to be more concerned with dismantling traditional structures; hence activities meant to address these issues seldom resonate with local institutions. The local government system, as it were, shares this dismantling agenda in which the local authority is repealed on the one hand and re-invited on the other to serve as ordinary role-players now subject to market forces in a neo-liberal administrative set-up. It is observed that the poor performance of the local government system in Tanzania after more than five decades of experimentation testifies arguably to its inconsistency with traditional institutions. This situation is not markedly different in most African countries where the local government system is operated.

#### **3.8.4.3 The O&OD process**

The O&OD process is in two parts: the O&OD rollout process and the post-O&OD rollout process. The former represents the planning process with a training programme incorporated, while the latter is the process of evaluating and monitoring O&OD plan implementation. Both processes are conceptualized in **Figure 3.9** below. The rollout process, involving rather rudimentary and largely informal planning activities, is carried out once and after three years the post-rollout process proceeds annually during which the development plans are reviewed. Within twelve days the rollout processes are consummated at the village level. A standard scheme of events allocates three days to sensitization and formal launch of the O&OD process followed by one day of data collection and three days study of Tanzania Development Vision 2025 (TDV2025). Another two days is set aside for plan preparation and the remaining three days for interactive plan approval processes at village and ward levels. Perhaps adjustment in the allocation of time-frame for activity systems is permissible and apparently inevitable in practical terms. Note, however, that facilitator training precedes this rollout process at the village and ward levels. The rollout process generates the village development plan (VDP) and ward development plan (WDP) for the rural and urban environment and these plans are subsequently incorporated, along with sectoral plans, in a council plan that is a Local Government Plan.



**Figure 3.9: The O&OD Roll-out and Post Roll-out Process**  
 Source: The Study on Improvements of Opportunities and Obstacles to Development (O&OD) Planning Process PROGRESS REPORT  
 December 2006, Japan International Cooperation Agency (JICA)

The second dimension of the O&OD process is the post-rollout activities represented in a Review and Backstop (R&B) process. The review process, which is considered an integral part of the O&OD process, involves updating of Community Development Plans on the basis of information generated from participatory monitoring and evaluation (PME) of plan implementation. The backstop refers to the efforts expended by LGAs in facilitating and strengthening communities' development activities. It involves provision of technical and financial support, and dissemination of information, especially on various National Policies and Strategies, and sectoral policies, strategies, and guidelines to the communities, to facilitate processes of review, implementation and participatory monitoring and evaluation (PME) (URT, 2007:2). The R&B ultimately promotes community ownership of the O&OD process, making people aware of the current community priorities, thus facilitating optimal use of resources not only based on the community priorities but also in accordance with national and sector policies (URT, 2007:2).

Multiple committees, focus groups, resource persons, trained facilitators and village/ward assemblies, including government councils, are actors and role-players in a twelve-step review process involving three steps of preparation for review, two steps of re-planning, four steps of consultation, two steps of submissions and approval, and the final step of preparing a summary of activities by sector at the ward level using a simple format. The re-planning stage incorporates participatory monitoring and evaluation (PME) mechanisms which represent a routine process to assess transformation of inputs to outputs in the course of plan implementation and a periodic assessment of achievements of the plans at the community level based on effectiveness, efficiency, relevance and impact. The activity system of the post-O&OD rollout process is represented in **Table 3.8** below.

**Table 3.8: Activity systems in the post-O&OD rollout process**

<b>EVENTS</b>	<b>STAGES (STEPS)</b>	<b>ACTIVITIES</b>	<b>ACTORS/ROLEPLAYERS</b>
Backstop	<ul style="list-style-type: none"> <li>• Preparation of review</li> </ul>	<ul style="list-style-type: none"> <li>• Sensitization of CMT members</li> <li>• Framework development</li> <li>• Orientation of facilitators</li> <li>• Assignment of facilitators to Wards and Communities</li> <li>• Announcement of Review</li> </ul>	Council Management Team (CMT), but initially in cooperation with PMO-RALG
	<ul style="list-style-type: none"> <li>• Facilitation of review at community level</li> </ul>	<ul style="list-style-type: none"> <li>• Facilitation of the actual Review process</li> <li>• Technical advice in the Review process</li> <li>• Team meetings during the Review process</li> <li>• Communication with the Village Council / WDC, the CRPs and focus group members</li> </ul>	DFs/WFs under the supervision of CMT
	<ul style="list-style-type: none"> <li>• Compilation of Three-Year Plans at Ward Level</li> </ul>	<ul style="list-style-type: none"> <li>• Preparation of Summary of Activities from Community Development Plans by sector using simple format at Ward level.</li> </ul>	Ward Officers (Extension Officers), Ward Executive Officer (WEO)
	<ul style="list-style-type: none"> <li>• Integration of Three-Year Plans at LGA Level.</li> </ul>	<ul style="list-style-type: none"> <li>• Backstopping of review process</li> <li>• Participatory monitoring and evaluation process</li> </ul>	DFs/WFs under the supervision of (CMT)
Review	<ul style="list-style-type: none"> <li>• Preparation for review</li> </ul>	<ul style="list-style-type: none"> <li>• Social Preparation</li> <li>• Preparation for Review Process</li> <li>• Launching of Review Process</li> </ul>	Community, Village council, WDC, DFs/WFs, Mata Executive Officers (MEOs)
	<ul style="list-style-type: none"> <li>• Re-planning</li> </ul>	<ul style="list-style-type: none"> <li>• Review of Community Participatory Plans</li> <li>• Preparation of Three-Year Plans</li> </ul>	Community, Village council, WDC, DFs/WFs, Mata Executive Officers (MEOs)
	<ul style="list-style-type: none"> <li>• Consultation</li> </ul>	<ul style="list-style-type: none"> <li>• Community Consultation</li> <li>• Re-compilation</li> <li>• Ward Development Committee (WDC)</li> <li>• Re-compilation (Not Applied to Urban Process)</li> </ul>	Community, Village council, WDC, DFs/WFs, Mtaa Executive Officers (MEOs)
	<ul style="list-style-type: none"> <li>• Endorsement and submission</li> </ul>	<ul style="list-style-type: none"> <li>• Endorsement of Three-Year Plans (Not Applied to Urban Process)</li> <li>• Re-compilation for Submission</li> </ul>	Community, Village council, WDC, DFs/WFs, Mtaa Executive Officers (MEOs)
	<ul style="list-style-type: none"> <li>• Summary of activities</li> </ul>	<ul style="list-style-type: none"> <li>• Preparation of Summary of Activities by Sector at Ward level</li> </ul>	Community, Village council, WDC, DFs/WFs, Mtaa Executive Officers (MEOs)
PME	<ul style="list-style-type: none"> <li>• Participatory monitoring</li> </ul>	<ul style="list-style-type: none"> <li>• Step 1: To develop action plan for monitoring</li> <li>• Step 2: Collection of Data;</li> <li>• Step 3: Analysis of Data;</li> <li>• Step 4: Documentation and Reporting; and</li> <li>• Step 5: Utilization of Monitoring Results.</li> </ul>	Community, Village council, WDC, DFs/WFs, Resource Persons
	<ul style="list-style-type: none"> <li>• Participatory evaluation</li> </ul>	<ul style="list-style-type: none"> <li>• Step 1: Development of Evaluation Framework;</li> <li>• Step 2: Collection of Data;</li> <li>• Step 3: Analysis of Data;</li> <li>• Step 4: Documentation and Reporting; and</li> <li>• Step 5: Utilization of M&amp;E Results.</li> </ul>	Community, Village council, WDC , DFs/WFs, Resource Persons

Source: Own construction (2013)

The entire O&OD planning initiative is particularly remarkable in terms of its participatory provisions, especially the PME process. The incorporation of the PME uniquely widened the horizon for the devolution of participation, not power, otherwise statutory provision that empowers the people and not the local government is required. There is no doubt that attention is focused on extensive rather than intensive participation that is commonplace and this explains the multi-faceted processes that characterizes the O&OD methodology. Unlike the IDP initiative in South Africa the O&OD initiative is not necessarily a plan rather it is a participatory programme for the preparation of a plan, indeed rolling plans. Therefore it is more of a pragmatic instrument although it is yet to be properly theorized.

At the moment it is seen as a mega-process with sub-system processes limited to local economic development planning. Its application in the complex reality of contemporary cosmopolitan urban systems is a source of worry unless perhaps its application is limited to local planning in which case a lacuna exists in the participatory planning system. But the impression is given that the O&OD initiative applies across-board in rural and urban contexts. Other sources of concern include the dearth of spatial content in the current conception of the initiative, the notion of integration, the assumption of public involvement in the participatory process, financing the processes, and the quality of expertise arrogated to the so-called facilitators. These are matters arising following a critical look at the O&OD initiative.

#### **3.8.4.4 The O&OD programme**

Available statistics, although without time-frame but not later than 2003, indicate that O&OD process has been rolled out in 103 out of 132 local government areas, covering 7,352 villages and 272 urban wards. The training programme has churned out 250 national facilitators, 3,720 district facilitators and 10,000 ward facilitators. The financial backup for the rollout programme comes largely from development partners, particularly SIDA, JICA, UNICEF, etc. Experience shows that the Village Development Plan (VDP) and Ward Development Plan (WDP) that results from the rollout process are hardly used by the communities to improve their livelihood through their implementation (URT, 2007:30).

A review of the current situation that preceded an institutional study sponsored by JICA in 2006 found that eight out of twelve sample communities had not reviewed the Plan,

and at the same time monitoring and evaluation had not been sufficiently carried out in those eight communities. It was noticed that plan implementation is at variance with the provisions of the plan due to sectoral planning that precedes the O&OD plans. Plan implementation is not based on the priority set in the plan – it is rather market-force dependent as funded by development partners. Funding agencies outside the community, including NGOs, are not necessarily interested in financing the most prioritized activities in the Plan as they tend to have their own criteria and priorities. The Tanzanian Social Action Fund (TASAF), for instance, requires of communities to ascertain the feasibility of the activities before funding is approved (URT, 2006:30). In most cases the communities do not meet the funding requirements and the consequences are clear. Therefore funding has the effect of usurping the plan, thus making nonsense of the entire participatory planning process. The plans are vulnerable because they are not statutorily adopted in spite of statutory provisions contained in the O&OD Participatory Planning Methodology Implementation Article No. 145 and 146 of the Constitution of the United Republic of Tanzania 1977, the Regional Administration Act No. 19 of 1997 and the Miscellaneous Amendment Act No. 6 of 1999 which provides for the process of devolving power to the people following Local Government reforms in 1998.

In summary, bottom-up planning in Tanzania has been accepted in principle and practice, however precarious, but integrated development, which is one of the primary objectives of adopting the O&OD initiative, is elusive and devolution of power to the people through participatory process which is a major strategy of the initiative is usurped through funding mechanisms. These deficiencies underpin statutory inadequacies and this can be linked to mind-set and outlook issues. There is no need for rolling out plans that are useless, thus returning to the dependency status the O&OD initiative is meant to reduce. The challenge ahead of planning in Tanzania is the amalgamation of economic and spatial planning. At the moment they seem to function unilaterally. So far the status quo in development processes prior to O&OD initiative remains constant except for the euphoria of involvement in planning experienced by the communities. This new trend, that claims the attribute of civic identity, has the potential to permanently mire Africa in dependent capitalism.



### **3.9 Regional (economic) integration in sub-Saharan Africa**

There are two factors that have consistently impacted on African regionalism since the advent of Pan-Africanism in the 1960s. Firstly, the political factor embedded in Pan-Africanism which sorts continental identity and coherence; and secondly, the economic factor leading to the formation of an Economic Commission for Africa (ECA), the foremost regional integration initially motivated by building synergies to promote food security, given that most African countries remain highly dependent on agriculture. The same economic factors have continued to control regionalism in Africa at a higher level of sourcing growth and productivity as shifts in economic development paradigms trigger realignments in regional integration.

Within the 1970-2000 periods five discernible paradigms were developed successively as the search for a more appropriate economic development paradigm for Africa progressed. A Structural Adjustment Programme (SAP) was introduced in the 1970s to reduce the role of African states in economic development. The SAP exacerbated informal sector operations which endangered the environmental health of cities. In the early 1980s, the Lagos Plan of Action (LPA) evolved to invigorate the role of states. According to LAP, the state was the leading, if not the sole, economic actor (Tawfik, 2008). But then the African states were seen to be weak and unable to implement proposed policies, as if it were true that any sign of weakness or acceptance of weakness was an opportunity for imperial control. Hence at the 21<sup>st</sup> Ordinary Summit of the Organization of African Unity (OAU) in July 1985, the United Nations Programme of Action for African Economic Recovery and Development (UNPAAERD) was adopted. The programme emphasized the central role of the state in the development process but added the need for building the capacity of the state institutions to enable it to perform its role (Tawfik, 2008). By the end of the 1980s the need to incorporate the private sector and civil society as economic factors led to the simulation of African Alternative Framework to SAP (AAF-SAP). The AAF-SAP as designed by the United Nations Economic Commission for Africa (UNECA) debunked the myth of the minimal role of the state. The framework according to Onimode cited in Tawfik, 2008:61 presented 'a balanced non-ideological vision which neither calls for a strict intervention of the state nor promotes a total reliance on markets' (see AAF-SAP). This effort was complimented by the adoption of African charter for popular participation in Development and Transportation at the Arusha Conference in 1990. However, the charter lacked an

implementation mechanism, something that led to the African idealist plan going nowhere (Tawfik, 2008).

By the end of the 1990s neo-liberal institutions, especially the World Bank, admitted changes in orientation towards the role of the state in the development process. The new position encapsulated in the post-Washington consensus indicated the demise of the state-market dichotomy and the rise of a debate that was not concerned with state intervention per se but with the form and extent of that intervention and with building the capacity of the state to match its development tasks (Tawfik, 2008). Against this backdrop, the Lusaka Consensus in 2001 indicated the birth of New Partnership for Africa's Development (NEPAD) initiative - so much for economic development paradigm shift in Africa.

The shifts in development paradigms elicited different shades of regional integration as indicated in **Table 3.9** below. However, the models of integration were based mostly on trade relations and the focus was more on sharing the dividend of growth than on simulating strategies to generate growth. This market-driven concept of integration is at variance with the development-oriented regionalism model and therefore incompatible with the ECA-driven regional framework for Africa. It is argued in literature and indeed it is manifest in reality that the plethora of regional integrations resulting from the chronology of shifts in economic development paradigms in Africa was summarily failed ventures. The institutionalist school attributes this failure to the protective import substitution strategies adopted by most countries since independence which allegedly led to low intra-regional trade in Africa. Against this contestable backdrop, global institutions committed to dismantling the so-called protective strategies. This has caused the market-driven concept to persist and deepen as foreign actors, specifically the EU, get implicated in new regionalisms in Africa, envisaged in the Regional Integration Facilitation Forum (RIFF) which originated as the Cross-Border Initiative (CBI) in 1992. From the look of things it is not likely that attention will deviate from trade integration as well as functional co-operation as important policy instrument of African regionalism.

**Table 3.9: Shifts in economic development paradigms and the structure of African regional groupings**

	1960s	1980s	1990s	From 2000	
Shifts in Economic Development paradigms	<ul style="list-style-type: none"> <li>Structural Adjustment Programme (SAP) in late 1960s</li> </ul>	<ul style="list-style-type: none"> <li>Lagos Plan of Action (LPA)</li> </ul>	<ul style="list-style-type: none"> <li>African Alternative Framework to SAP (AAF-SAP).</li> </ul>	<ul style="list-style-type: none"> <li>New Partnership for Africa's Development (NEPAD) initiative in 2001</li> </ul>	
<b>West Africa</b>					
<b>Regional groupings</b>	<ul style="list-style-type: none"> <li>UDEAO 1966 Customs Union of West African States</li> </ul>	<ul style="list-style-type: none"> <li>ECOWAS 1975</li> <li>CEAO 1973 Economic Community of West Africa</li> <li>UMOA West African Monetary Union</li> </ul>	<ul style="list-style-type: none"> <li>1993 revised ECOWAS Treaty</li> <li>WAEMU 1994 West African Economic and Monetary Union</li> </ul>	<ul style="list-style-type: none"> <li>AFRICAN UNION</li> <li>AMCHUD 2005a: African Ministerial Conference on Housing and Urban Development.</li> <li>BRICS</li> </ul>	
<b>Central Africa</b>					
<b>Regional groupings</b>	<ul style="list-style-type: none"> <li>UDEAC 1964 Economic and Customs Union of Central Africa</li> <li>BEAC 1961 Bank of the Central African States</li> </ul>	<ul style="list-style-type: none"> <li>ECCAS (CEEAC) 1983 Economic Community of Central African States</li> </ul>	<ul style="list-style-type: none"> <li>CEMAC 1994 Economic and Monetary Union of Central Africa</li> </ul>		
<b>Southern and Eastern Africa</b>					
<b>Regional groupings</b>	<ul style="list-style-type: none"> <li>SACU (originally 1889, 1969) Southern African Customs Union</li> <li>CMA Common Monetary Area</li> <li>EAC 1967 East African Community</li> </ul>	<ul style="list-style-type: none"> <li>PTA 1981 Preferential Trade Area</li> <li>SADCC 1980</li> <li>IGADD 1986 Intergovernmental Authority on Drought and Development</li> </ul>	<ul style="list-style-type: none"> <li>COMESA 1993 Common Market for Eastern and Southern Africa</li> <li>CBI 1993 Cross Border Initiative</li> <li>SADC 1992</li> <li>EAC 1999 East African Community II</li> <li>IGAD 1996</li> </ul>		

Source: Own construction 2012 (an adaptation from FAO Corporate document repository - Chapter 6: Regional integration in Africa. Available at: <<http://www.fao.org/docrep/004/y4793e/y4793e0a.htm>> Date of access: 20th June, 2014.)

My own assessment of Africa's experience with regionalism is that integration is yet to be considered from a spatial perspective perhaps because policy instruments for regional integration are seldom development-oriented. They are more or less growth oriented policies based on market force which encourage the incidence of extroverted space economy. The current regional integration engineered by the EU is essentially a mechanism of dismantling trade barriers to allow the entry of foreign goods into African markets. It has little or no relevance for developing the local economy. There is no gainsaying that trade liberalization is not due in Africa at any time soon; at the moment attention should focus on integrated use of space to secure economic productivity. So far, there is virtually no formal regional cooperation in the use of space and prospects of achieving this objective continue to pale into insignificance under the overwhelming influence of market economy initiatives that inform development paradigms in Africa.

### **3.9.1 New perspectives on African Development (NEPAD) initiative**

The NEPAD initiative is an ideological orientation contained in political and economic reforms that are geared towards regional integration for Africa. NEPAD advocates good governance, conflict resolution, the rule of law, macro-economic stability, and curbing of corruption (Richard, 2002). It seeks to provide a comprehensive framework on which 'Africa can collectively and effectively co-operate with its development partners' (Richard, 2002). Since its inception in 2001 critical views have been expressed about the potential of NEPAD to provide the required lead that will pull Africa out of the woods. The common impression is that the new ideology seems to disregard the epistemological foundation of African problems. In the words of Nabudere (2003) "the African people must continue their struggles for the dismantling of the old economic order instead of compromising with it if we are to address the kind of issues that NEPAD tries to address and which it avoids to address".

The NEPAD framework incorporates the African ministerial conference on housing and urban development (AMCHUD) to manage urban growth; the NEPAD Business Group (NBG) to manage business enterprises; Ministers of public service to manage good governance; and the African Peer Review mechanism to share best practice among African countries. The different arms of NEPAD framework are making contributions especially the NBG in South Africa, Lesotho, Nigeria, and Kenya (Tawfik, 2008:66). The lack of a concrete vision statement and growth indicators for NEPAD makes it difficult to

assess the contribution made by these agencies of NEPAD. The attention focused on poverty eradication does not properly reconcile with the stated objectives of NEPAD which point towards the reversal of trends in the imperial economy of African states - the focus of NEPAD is instead hijacked to address MDGs, thus following global trends.

Already in the political realm there are three trends embedded in the positive appraisal of democracy and good governance in Africa that tend to challenge the vision of engaging a development paradigm for the NEPAD initiative. First, the political institutions are consistently adjudged to be weak, thus requiring capacity-building; second, increasing association of the political system with participatory process; and third, it seems the more responsive African governments are to imperial control the more they are adjudged to be democratic in the perception of the global north. These attributes are bridges in the global political economy that lead to the incapacitation of the bargaining position of Africa. The real issue at stake in the partnership is the sustenance of an imperial economy characterized by the informal sector which has been imposed on Africa since colonization. This is why the attention on eradicating poverty should be properly diagnosed and handled carefully. Its relevance in conceptualizing development paradigm for Africa is beneath the need to emancipate the imperial space economy in Africa.

The supportive activities of external assistance agencies that usually slide into control are some of the legitimate fears that critics express. The UN-Habitat was instrumental to the formation of AMCHUD in 2005 and ever since then has practically determined development projects while AMCHUD religiously provides a collateral mandate. Within its six years of existence the activities of AMCHUD, guided by its multi-dimensional framework for housing and urban development, has been focused substantively on different aspects of slum upgrading prominent among which is fund mobilization under the aegis of UN-Habitat. How do these sets of activities attend to managing space economy? But for the resent AU RAIDS strategy for NEPAD, however inappropriate it is, there is no instrument postulated for managing the space economy in Africa

### **3.9.2 The NEPAD cities initiative**

The mind-set and outlook of the NEPAD cities initiative are difficult to reconcile. The UN-Habitat conceived NEPAD city initiative with the mind-set of preparing African cities to deliver MDGs hence has their attention focused on slum clearance and installing pro-

poor measures in urban development. On the other hand, the outlook of NEPAD cities postulates wide-ranging attributes that aim to achieve world class standards in functional development through the instrumentality of local actors in a participatory planning process. According to AMCHUD (2005b:16) a NEPAD city will be functional, economically productive, socially inclusive, environmentally sound, safe, healthy and secure.

Meanwhile the NEPAD city initiative is built on the foundation laid by the botched sustainable cities programme, yet its protagonists are still confident that it will strike a 'balanced and symbiotic relationship with its hinterland, one which effectively influences the productivity of agriculture, stimulates strong sub-regional flows of trade, and provides adequate access to domestic and international market' (AMCHUD, 2005b:16). It is not clear how slum clearance heavily criticized for its inadequacy and pro-poor measures, would deliver the vision contained in the conceptual framework of NEPAD cities initiative. This is reflected in the performance of the seven NEPAD cities identified in Phase One which includes: Douala, Bamako, Durban, Lagos, Lusaka, Nairobi and Rabat. Meanwhile UN-Habitat has outlined another set of plausible objectives for Phase Two cities.

There are critical impressions that literature on the NEPAD cities initiative conveys which is highlighted herewith. The fact that the NEPAD cities initiative is a UN-Habitat idea illustrates the redundancy of AMCHUD. Somehow the new partnership arrogates lots of authority to UN-Habitat to initiate and follow through projects while AMCHUD sits back and watches complacently, although where AMCHUD lacks initiative the role of UN-Habitat is justified. However, UN-Habitat procedures and planned action for NEPAD cities seem to fall short of adequate theoretical bases for growth or shaping of the city. Recourse to informal spatial growth, determined through market forces, is evident considering the absence of appropriate spatial development paradigm and the disregard for formal expert knowledge in the midwifery of planning interventions for managing the informal sector of survivalist category as identified in Africa.

The UN-Habitat approach is palliative and scarcely addresses the remote causal factors of informal sectors which impact on the modelling of urban regions and the morphology of cities. There is no gainsaying that the consent to informal spatial growth is more of a submission to the problems of informality, a move that ultimately consolidates the gains

of dependent capitalism in Africa. As it were, it works against the rebirth of development for the African renaissance. Overall, a genuine NEPAD city initiative cannot in all good conscience share the mind-set and outlook of planning for African cities that submits to the doctrine of informality.

### **3.10 Conclusion**

The link between planning theories, spatial modelling and growth management is still not clear, contrary to clear indications of increasing informality occasioned by a paradigm shift to neo-liberal planning theory. The dynamics in paradigm shifts vis-à-vis trends in spatial and statutory planning indicate a process of gravitation towards neo-liberal participatory planning theory which tends to render formal planning instruments and knowledge bases redundant. However, the formal planning mind-set remain resilient regardless the increasingly non-statutory orientation of planning. The resilience reflects inter alia in growth management approaches. The urban growth boundaries (UGB) approach based on formal planning was examined and was found to assume prominence increasingly in America following its inception in Europe. Also indicating the resilience of formal planning is the management of spatial patterns of space economy. The extended metropolitan region (EMR) model in Kuala Lumpur, which was examined earlier, gave this indication. However, a contrary scenario was found in the examination of the growth of space economy in Africa where informal planning prevails under the influence of neo-liberal planning theory. The mechanism identified is such that formal planning resonates with spatial modelling and growth management instruments while neo-liberal participatory planning does not. Meanwhile, compliance with neo-liberal participatory planning continues to increase precariously under the influence of informality.

Efforts were made through case studies to verify trends in the analytical framework. An iterative case study examined sixty-six planning indicators arranged under fourteen thematic areas in ten selected African countries to establish the slant of planning databases for selected African countries. Another review case study examined four development planning initiatives in selected African countries from the four cardinal regions in Africa. Both the iterative and review case studies sought to determine compliance with neo-liberal planning principles and specifically for the review case study the performance level of planning initiatives vis-à-vis regional integration.

Among the four initiatives that were reviewed, only the CDS was found to exhibit a potential to source growth and shape the city. But that was for its conceptual framework in a foreign template. In the local understanding of it in Mali the quality of shaping the city was phased out because it became more of a participatory planning instrument. The other initiatives lacked spatial content not by design but by implication of the arrangement of the different phases of activities. In all of them project planning phase preceded integration phase. From their practical experience this had the effect of usurping and disenfranchising the integration phase, as commonly expressed in the segregation of economic and spatial planning. Summarily, compliance was established but the planning initiatives have failed to deliver integration.

On the other hand the review of NEPAD and the NEPAD cities initiative indicated a neo-liberal scenario identified in development planning. It was found from the NEPAD initiative that it sought regional integration and also lacked spatial content. Even the NEPAD cities initiative, which appeared as an afterthought, still had little to do with spatial expression in space.

In the next section trends towards the ethos of neo-liberal planning theory with clear indications of failure to secure integration is further examined empirically. For this purpose and following the review of planning initiatives in the analytical framework of planning, the IDP initiative in South Africa was identified for empirical case study because it manifested relatively high, an indication of compliance with neo-liberal planning trends. The empirical case study is intended to examine the perception of links and relationships between planning principles, practice and desired practice.



## **SECTION C: EMPIRICAL RESEARCH WITHIN SOUTH AFRICA**

### **Chapter 4: A case study of IDP application in South Africa**

This chapter elucidates the empirical investigation into IDP initiatives following its positive appraisal as neo-liberal planning instrument. The study is part of a continuous flow of investigation aimed at establishing the potential of a neo-liberal planning framework to deliver integrative planning and development of spatial systems in Africa. The IDP empirical investigation concludes this process and sets the stage finally for articulating an appropriate spatial planning theory for Africa. A study area and two control stations were identified for the empirical study. The study methodology adopts two survey instruments, namely, a planning questionnaire and personal interviews. Insights gained from this investigation determine the way forward. Thus far compliance with neo-liberal planning is manifest as well as the resilience of formal planning but the ability of planning initiatives to deliver integrated development is still elusive.

#### **4.1 Introduction**

Since the master planning category of spatial planning lost favour following its gross misuse in apartheid planning, the transition to framework planning informed the legislative and policy framework for spatial planning in post-1994 South Africa. With the mind-set to redress the disintegrative spatial consequences of planning which actually dates back to 1652 colonialism, the legislative and policy context determined currently by the Spatial Planning and Land Use Management Act of 2012, otherwise the Wise Land Use Act 2012, provides for all three tiers of government to engage in spatial planning in an integrative and collaborative manner. The Wise Land Use Act of 2012 repealed in whole cognate legal frameworks for physical planning, including Act No. 84 of 1967 (Removal of Restrictions Act), Act No. 88 of 1967 (Physical Planning Act), Act 125 of 1991 (Physical Planning Act), and Act No. 67 of 1995 (Development Facilitation Act). At the moment the 2012 Act functions alongside Municipal Systems Act 32 of 2000 as well as the Municipal Planning and Performance Management Regulations of 2001 to manage the spatial planning system in South Africa. Enabling financial environment for plan implementation is secured through the provisions in Section 21(2) of the Municipal Finance Management Act (Act 56 of 2003) (MFMA).

All three tiers of government are statutorily mandated to prepare, approve and review Spatial Development Frameworks (SDFs). The Municipalities at the local government

level conducts its SDF business in the context of Integrated Development Plans (IDPs), an overarching development planning framework mandated by the Municipal Systems Act of 2000. Both the District and Local municipals prepare and manage DMSDFs and LMSDFs respectively. At the provincial level the Provincial Spatial Development Framework (PSDF) functions within the context of the Provincial Spatial Development Strategy (PSDS) and the PSDS in turn within the context of the Provincial Growth Development Strategy (PGDS). At the national level the National Spatial Development Framework (NSDF) is a sub-set of the National Spatial Development Perspective (NSDP). Spatial planning at the provincial level is pivotal; it links with the NSDP through the PSDS, connects budgets through the MTEF and links up the local level through the DMSDF.

Integrated Development Planning (IDP) is a process by which municipalities prepare a five-year strategic development plan that is reviewed annually in consultation with communities and all relevant stakeholders (TCC, 2012). Its primary component is the spatial development framework (SDF) which is coordinated, aligned and in harmony with each other. A long-term spatial development vision statement and plan informs the preparation of frameworks primarily to address historical spatial imbalances in development. According to section 12(6) of the Wise Land Use Act 2012 spatial development frameworks must outline specific arrangements for prioritizing, mobilizing, sequencing and implementing public and private infrastructural and land development investment in the priority spatial structuring areas identified in spatial development frameworks. Through consultative participatory processes the frameworks which are subject to executive council approval and periodic review processes to be done at least once after five years derive from policies, plans and programmes that impact on spatial planning, land development and land-use management. After council approval the framework takes legal effect upon publication in the Government Gazette.

## **4.2 Methodology**

The nature of the empirical case study anticipated was outlined earlier (see c.f. 1.11.2.2). Details of its application are given below. A desktop review of IDP frameworks precedes the empirical studies to establish entry points for investigation. Meanwhile a study area and two location controls all local municipalities and focal points in provincial and municipal development planning were isolated for the study operations.

#### 4.2.1 Study area: Tlokwe Local Municipality (TLM)

The study area is the Tlokwe Local Municipality (TLM), one of five local municipalities in the Dr Kenneth Kaunda (Southern) district municipality in the North West Province. The North West Province is bounded by the provinces of Gauteng, Limpopo, Northern Cape, Free State and the Republic of Botswana (see **Figure 4.1** below). It is the sixth largest of the nine provinces, covering a total area of 116 320km<sup>2</sup> ( $\pm 9\%$  of South Africa). It has a population of about 3.07 million (according to the census of 2001, excluding cross-border municipalities). Including cross-border municipalities the population is some 3.7 million. Spatially the North West Province is home to four (4) district municipalities and twenty-one (21) local municipalities.



**Figure 4.1: District municipalities in the North West province**

Below is **Figure 4.2** which identifies the Dr Kenneth Kaunda District Municipality (KKDM). KKDM in the North West Province is located 65km south-west of Johannesburg and borders the Gauteng Province on that side. The municipality consists of four local municipalities: Tlokwe City Council, City of Matlosana, Maquassi Hills and Ventersdorp. It is a region with a rich and diverse natural and cultural heritage, with the potential for sustained economic growth. The region is home to some of the most prominent gold mines in the world and one of the oldest meteor impact sites in the world. The district is serviced by a number of primary roads, with the N12 Treasure Corridor forming the main

development axis in the district and serving as a potential concentration point for future industrial, commercial and tourism development (Local Government Handbook, 2012).

In terms of the Municipal Demarcation Act (27 of 1998), the Southern District Municipality (now Dr Kenneth Kaunda District Municipality) was established as a Category C Municipality (TCC, 2011/12). The area encompasses a total of 15,712 km<sup>2</sup> with a projected population of 604939 in 2001. According to the Statistics SA data, the estimated 2007 population of the district (based on new boundaries) was 634 134. The majority of the population is concentrated in the City of Matlosana accounting for more than 60% of the district population (385 784 people). Potchefstroom accounts for approximately 20% and Maquassi Hills and Ventersdorp 14% and 6% respectively. The Southern District is a relatively prosperous and dynamic region of South Africa. Its quality of life is among the best that South Africa has to offer, reflected in its high average incomes, extensive access to basic infrastructure, world-class medical and educational facilities, and relatively low rate of serious crimes. Its excellent location, healthy climate and access to the largest markets in Africa make this area an ideal location for business (TCC, 2011/12).



**Figure 4.2: Location map of Dr Kenneth Kaunda District Municipality (KKDM)**

The TLM covers an area of 2673 km<sup>2</sup> which includes the following areas: Potchefstroom, Ikageng, Mohadin and Promosa; as well as rural villages and commercial farming areas. Potchefstroom was founded in 1838 and served as the first capital of the old South African Republic, later the Transvaal province, which was one of four provinces of pre-1994 South Africa and it is the main urban area of the TLM, although it is classified in

KKSDF as a lower-order medium-sized town in a predominantly rural setting, with 65.1% of the provincial population living in rural areas and 34.9% living in urban areas (Schoeman, 2010). It is located along the Mooi River that runs through the city. Tlokwe (Potchefstroom) municipal area is bounded by Gauteng in the east, Free State Province in the south as well as three other district municipalities within the North West Province: Bojanala District Municipality in the north, Ngaka Modiri Molema District Municipality in the north west and Dr Ruth Segomotsi Mompati District Municipality in the west. Neighbouring Local Municipalities are Matlosana, Ventersdorp and Merafong in North West, Emfuleni in Gauteng as well as Ngwathe and Moqhaka in the Free State (see **Figure 4.3**) below.



**Figure 4.3: Location map of the Tlokwe Local Municipality**

The TLM is a Category B municipality as defined in the Municipal Demarcation Act (Act No. 27 of 1998). It forms part of the **N12** Treasure Corridor which, with the **N12** major highway, forms a primary regional node in the North West Province and has experienced significant development and urbanization. The rationale for TLM as study area rests on two recognitions that make it the focus of attention: first, its recognition by NW DACERD as an area within the province experiencing significant growth and development pressure; and second, its recognition in the NWPSDF 2008 as a Priority One investment area due to its location and its positive physical attributes. Potchefstroom and its neighbour, the city of Klerksdorp (Matlosana), are situated in the heart of the country's gold-mining industry, with the world's deepest gold-mine situated some 40 km north-east of Potchefstroom adjacent to the **N12**, the road to Johannesburg (TCC, 2012).

#### 4.2.2 Location controls: Cities of Matlosana and Rustenburg

The city of Matlosana is one of the local municipalities within the Dr Kenneth Kaunda district municipality, located south-west of Tlokwe local municipality (see **Figure 4.4** below). It was called Klerksdorp Municipality and the name was officially changed to the City of Matlosana on 1<sup>st</sup> July 2005. The City of Matlosana which covers about 3625km<sup>2</sup> includes the towns of Klerksdorp, and the gold and uranium mining towns of Orkney, Stilfontein and Hartbeesfontein. It is the largest town in the district municipality with strong physical and socio-economic linkages and economic interactions with Gauteng as well as other main towns like Potchefstroom, Rustenburg, Ventersdorp, Wolmaransstad and Ottosdal. The rationale for its choice as location control rests on its classification in KKSDF as a higher-order medium-sized town that shares the status of Category B municipality and Priority One investment area, as well as investment node alongside Tlokwe municipality as indicated in the PSDF. Both municipalities are also identified as first order centres along the **N12** Treasure Route corridor.



**Figure 4.4: Location map of Matlosana**

The city of Rustenburg, otherwise the Rustenburg Local Municipality (RLM) is one of the five municipalities within the Bojanala District Municipality in the North West Province. It is a category B municipality consisting of 36 wards and covers an area of 3423km<sup>2</sup> with a total population of 449,775 people, comprising 54.1% males and 45.9% females according to the StatsSA community survey in 2007. It is located in the eastern part of the North West Province, north of Tlokwe local municipality and is accessible via a number of major South African urban centres which include Johannesburg and Tshwane, both located approximately 120km from Rustenburg and Madibeng, Mogale City and Zeerust in the Ramotshere Moilwa Local Municipality (see **Figure 4.5** below). The connectivity between these centres is the **N4** freeway or Platinum Corridor, which

links Rustenburg to Tshwane in the east and Zeerust to the west. The **R24** links Rustenburg to Johannesburg in the south and the Pilanesberg to the north. The rationale for its choice as location control rests on its recognition as one of the fastest growing urban areas in South Africa associated with the advent of the Platinum Spatial Development Initiative (SDI), the Mozambique-Botswana corridor and the Bafokeng Platinum **N4** Initiative.



**Figure 4.5: Location of Rustenburg Local Municipality**

#### **4.2.3 Nature of studies**

The review case studies and empirical study are meant to generate quantitative and qualitative data respectively. Perception instruments informed the review case study while planning questionnaires and personal interviews were used for empirical studies. The review case study sought insights; hence it was oriented towards active qualitative assessment and not necessarily limited to descriptive or explanatory traditions of case study investigation. For the empirical study the interviews conducted with structured questions were discursive to enable the behaviour of the interviewee to be observed and their answers interpreted in summary without imputing motives. An online questionnaire survey through emails was used and the qualitative information generated was

processed into descriptive statistics. The next sub-sections elucidate the data-collection methodology.

#### 4.2.4 Method of desktop case studies

Review case studies were conducted for IDP documents prepared for Tlokwe, Rustenburg and Matlosana local municipalities. Indicated in **Table 4.1** below is a summary of documents used for the case studies. A matrix of IDP objectives, options and criteria was also used in the case study. The case study proceeded in the first instance by establishing relationships between the principles in the matrix and IDP practice vis-à-vis the provisions of IDP documents and followed up through establishing relationships between the principles and IDP desired practice. Thereafter the MCA instrument was used to assess the strength of relationships between IDP principles and practice; principles and desired practice; and practice and desired practice.

**Table 4.1: Summary of documents used for desktop studies**

LOCATION	IDP DOCUMENTS	SDF DOCUMENTS
TLOKWE	<ul style="list-style-type: none"> <li>• Tlokwe IDP (2011 – 2012)*</li> <li>• Tlokwe IDP (2011 – 2016)</li> </ul>	<ul style="list-style-type: none"> <li>• NWSDF 2008</li> <li>• KKDM SDF Review 2010 (Draft)</li> <li>• NWSDF (North West Environmental Management Series 7)</li> </ul>
RUSTENBURG	<ul style="list-style-type: none"> <li>• Rustenburg IDP (2011 – 2012)*</li> <li>• Rustenburg IDP (2012 – 2017)</li> </ul>	
MATLOSANA	<ul style="list-style-type: none"> <li>• Matlosana IDP (2011–2012); (2012 – 2013)*</li> <li>• Matlosana IDP (2011 – 2015)</li> </ul>	

Source: Own construction (2013) \*Represents the focal document.

The criteria for the study are in two dimensions. First, there is the linkage and relationships with higher order plans such as the NSDP, PSDF, and DMSDF. Secondly, there are the theoretical attributes of the IDP and its central role, including:

- Redress apartheid legacy;
- Event-centred and consultative;
- Conflict resolution;
- Strategic and sectoral planning;
- Implementation-oriented requiring smart proposals;
- Integrative planning, and
- IDP definition which practice supports.



Some of these theoretical provisions are thought to be passive and rarely reflect in practice. The case study is poised to verify this mind-set.

#### **4.2.5 Method of empirical investigations**

A two-pronged approach of perception studies was used to source primary information. They are planning questionnaires and personal interviews. The questionnaire, presented in **Annexure B.1**, is modelled to further investigate the points of positive compliance in South Africa with the new theoretical framework of spatial planning (see c.f. 5.8). The questionnaire design used the platform of compliance patterns to review IDP practice. The review sought perceptions of IPD practice based on experiences in Dr Kenneth Kaunda District municipality. The planning questionnaires were sent out electronically to four categories of respondents, namely academics, consultants, IDP administrators (including IDP Managers, Chief Town Planning Officers, etc.), and politicians who are role-players in IDP process (including ward representatives, councillors, etc.).

##### **4.2.5.1 Planning questionnaires**

For purposes of the questionnaire survey four categories of respondents were identified namely academics, urban planning consultants, administrators (role-players in the IDP process) and politicians. The questionnaires were sent online to individuals and members of groups known to be in positions of knowledge concerning IDP/SDF principles and practice. The groups that were approached included SAPI, SALGA, AAPS, CSIR, and NW Province IDP managers' contact lists. The group approach was targeted at reaching role-players and IDP administrators. For the other categories of respondents a total of ten questionnaires were sent to individuals in each category because an intensive survey was intended. The total number of questionnaires sent out added up to fifty-five comprising thirty to individuals and twenty-five to groups (derived from allocating five units to each group).

A total of thirty-three were completed and returned, indicating a response rate of sixty percent. The distribution of completed and returned questionnaires is given in **Table 4.2** below. Some of the questionnaires were returned with very useful comments which were incorporated in the interview analysis.

**Table 4.2: Categories of completed and returned questionnaires**

S/NO.	CATEGORY	NAME	LOCATION/POSITION	% OF TOTAL
1.	Academia	Prof Verna Nel		21.1
2.		Prof Anél du Plessis	NWU, Potch	
3.		Ms. Selna Cornelius	NWU, Potch	
4.		Dr E Drewes	NWU, Potch	
5.		Menini Gibbens		
6.		Prof Matthew Dayomi		
7.		James Duminy	AAPS	
8.	Consultants	Mr. Thinus de Jager	Potchefstroom	24.2
9.		Mari Strydom		
10.		Angelique Myburgh (c/o Mari)		
11.		Charl Grobbelaar		
12.		Stephanie	Tlokwe City	
13.		KMBT_C353 (c/o Mosima)	SALGA/SAPI	
14.		Nico Bignaut	WELWYN – Town and Regional Planners, Potchefstroom	
15.	Susan Weyers	WELWYN – Town and Regional Planners, Potchefstroom.		
16.	Administrators (Role-players)	Marijke van Heerden	NW Province	36.4
17.		Rhulani (c/o Boshoff)		
18.		Marius Stols	IDP Manager	
19.		Nddumiso		
20.		Lihle Hlubi		
21.		Daliso Zulu		
22.		NF Nxaba		
23.		Ntombizodwa Mdluli		
24.		Erhard Engelbrecht		
25.		Boitumelo Moshoeshe	Chief TP Officer	
26.		Mosima Maake	SALGA/SAPI	
27.	Nompumelelo Thwala (c/o Mosima)			
28.	Politicians	CLlr Chris Landsberg	DA Party	18.2
29.		CLlr R Kruger	DA Party	
30.		CLlr H-J Moolman	DA Party	
31.		CLlr Ato Motingoe	ANC Party	
32.		Alderman Maphetle Maphetle	ANC Party (Former Mayor)	
33.		CLlr Dakota Legoete	ANC Party (Chief Whip, Tlokwe LM Council)	
		<b>TOTAL</b>	<b>33</b>	<b>100%</b>

Source: Own construction (2013)

#### 4.2.5.2 Personal interviews

The categories of questionnaire respondents were also used for the personal interviews. A total of nineteen persons were interviewed as shown in **Table 4.3** below. The interviews were conducted with structured questions that guided discussions on IDP planning principles and practice. The questions focused on how effective the IDP initiative is. In other words, does it link compliance with functionality, therefore extending implicitly the coverage of the questionnaire survey?

**Table 4.3: Categories of respondents for personal interviews**

CATEGORY	NAME	POSITION
ACADEMICS	Prof Gerrit van der Waldt	School of Social and Public Management, NWU, Potchefstroom.
	Prof Andre Duvenhage	School of Social and Public Management, NWU, Potchefstroom.
	Prof Francois Retief	Director of the School for Geo and Spatial Sciences, NWU, Potchefstroom.
	Prof Anél du Plessis	Faculty of Law
	Dr J. E. Drewes	Senior Lecturer, Department of Urban and Regional Planning, NWU, Potchefstroom.
	Dr Dark Cilliers	Lecturer, School for Geo and Spatial Sciences, NWU, Potchefstroom.
	Ms Cali Steenkamp	Lecturer, School for Geo and Spatial Sciences, NWU, Potchefstroom.
	Selna Cornelius	Lecturer, Department of Urban and Regional Planning, NWU, Potchefstroom.
	Menini Gibbens	
CONSULTANTS	Mr. Thinus de Jager	Principal Consultant, Placentre, Potchefstroom.
	Susan Weyers	WELWYN – Town and Country Planners, Potchefstroom
ADMINISTRATORS	Bernard Bautch	Chief Town Planner, Land Use Management, Department of Housing and Planning, Tlokwe City Council, Potchefstroom.
	Marijke van Heerden	Chief Town and Regional planner, Department of Local Government and Traditional Affairs, North West Province, South Africa.
	Mr. Dolos Luka	IDP Manager, Tlokwe Local Municipality
POLITICIANS	Cllr Chris Landsberg	MMC Finance, Tlokwe Local Municipality
	Cllr R Kruger	Lands committee, Tlokwe LM
	Cllr Moolman	Councillor, Tlokwe City Council
	Cllr Ato Motingoe	Councillor, Tlokwe City Council
	Alderman Maphetle Maphetle	Former Mayor, Tlokwe Local Municipality

Source: Own construction (2013)

There were six leading questions (with riders) and they are:

- i. Is the planning outlook of IDP initiative visionary (i.e. futuristic) or existential?
- ii. Does the IDP address equity, and if yes, does it trade-off on growth?
- iii. As a strategic planning instrument does the IDP generate integrated development?
- iv. Is the IDP a spatial planning methodology or a development ideology?
- v. To what extent is the IDP concerned with modelling the urban form and by implication the space economy?
- vi. Is sectoral planning responsible for the known incidence of 'silos' in the IDP planning dispensation?

#### **4.2.6 Data-processing and presentation**

The processing and analysis of questionnaire on IDP study was done to generate frequency charts from qualitative information and thereof generate descriptive statistics. This exercise elicited the practical involvement of Statistical Consultative Services of NWU (Potchefstroom Campus). The analysis of perceptions by the category of respondents led to the representation of the descriptive statistics in 2-way frequency tables of each question by category, including mean and standard deviation values of each question by categories. The 'Effect size' value was calculated for all six combinations of categories with Cohen's (d) formula defined as the difference between two means divided by a standard deviation for the data:

$$d = \frac{\bar{x}_1 - \bar{x}_2}{s}.$$

'Effect size' measures the strength of relationships between two variables on a numerical scale. The resultant set of crossed data shall be used as numerical units for MCA analysis in the form of frequency tables to determine the strengths of the perception by category of the compliance of IDP practice to the positive aspects of South Africa's disposition towards the current status of spatial planning theoretical framework. The questionnaire was designed to elicit answers to specific criteria of spatial planning objectives in which South African's country profile exhibits strong compliance. In other words, the extent to which IDP practice indicates this compliance as measured by the criteria examined in each question is the issue at stake here. Also the strength of the relationship between the different categories of perception will be determined for

purposes of establishing and evaluating trends in IDP analysis in particular and in spatial planning analysis in Africa generally.

#### **4.3 Matrix of empirical data on IDP**

Below is **Table 4.4** showing descriptive statistics of empirical data presented in MCA format with highlighted data representing the dominant class of perception or preferred opinion for each question by category. The highlighted data facilitates the frequency table which summarizes the strength of perceptions by category. Other values derived from the descriptive statistics include the “Mean” and “Effect size “data for each category of perception.

#### **4.4 IDP interview summary**

The summary of the interview survey is presented in **Table 4.5** below. The analysis of the summary views is done with the MCA instrument. The assessment of the views of the different categories of respondents draws from the general impressions that accrue from the interactive interview process. These impressions are presented below in relation to the questioning sessions.

**First question:** Views on the planning outlook of IDP initiative were generally expressed with reservations. The concept proves to be difficult to understand, therefore there is low expectation in practice that it can positively impact on the system either in the short term or in the long term. The concept is burdened with too many expectations and this tended to affect its focus.

**Second question:** The overarching influence of party politics and budgeting orientation relegates planning rationality to the background and this has an impact on the ability of the IDP to secure equity in terms of redistribution – it is rather equitable involvement that is manifest. In the circumstances, market forces are seen to assume significance; hence the provision of infrastructure is increasingly seen as business, factored on affordability and maintenance and determined by profitability. These are conditions for neo-liberal planning.

**Third question:** Conflicting planning outlooks driven by political and technical analysis are the bane of integrated development sought through the IDP initiative. The IDP instrument lacks the potential to generate a harmonized planning outlook because the mind-set of content drivers, with regards to empowering planning rationality or market

force in the provision of infrastructure, is not harmonized. Unfortunately mediocrity seems to incapacitate the management of planning rationality, thus creating a stalemate.

**Table 4.4: Matrix of descriptive statistics of the questionnaire**

S/No	QUESTIONS	PERCEPTIONS			
		+1	0	-1	M
		%	%	%	%
1.	In the IDP planning approach is the urban environment regarded as the physical shape of the city?	39.4	30.3	27.2	3.0
2	Does the IDP function more with land-use schemes than PGDS for instance?	21.2	27.3	42.4	9.1
3	Do market forces determine the use of space in IDP activities?	48.5	30.3	18.2	3.0
4	Does the establishment and functioning of IDP agencies constitute planning activity?	33.3	42.4	21.2	2.0
5	Is the IDP planning approach intended primarily to generate growth and not necessarily to shape the city?	24.2	33.3	33.3	9.1
6	Is the IDP planning approach specifically designed for planning at local level?	60.6	18.2	21.2	-
7	Does the IDP planning approach properly represent participatory planning process?	45.5	36.4	18.2	-
8	Would you refer to existing IDP plans (including their SDF, LED, ITP, EMF, and IIP components) as broad-based guideline plans?	66.7	15.2	15.2	3.0
9	Is the technical committee for IDP plan preparation under any obligation to take the decisions reached through stakeholders' participatory process?	48.5	21.2	30.3	-
10	Does the public participate in IDP plan preparation by taking initiative independently of external institution effort to change the system of planning?	12.1	33.3	45.5	9.1
11	Do you think IDP plan preparation is essentially a technical activity?	45.5	27.3	27.3	-
12	Is IDP methodology succeeding in using participatory process to address the technical aspects of planning such as land use planning?	24.2	30.3	42.4	3.0
13	Does the IDP serve as instrument for the development of empty spaces and the renovation of degraded neighbourhoods within the urban environment?	30.3	30.3	36.4	3.0
14	Was adequate consideration given to the use of professional planning expertise for the preparation of the IDP?	18.2	33.3	42.4	6.1
15	Does the non-implementation of the provisions of the IDP plan indicate failure of the IDP planning approach?	42.4	30.3	27.3	-
16	Does the alteration of IDP plan provisions, whether such alterations are implemented or not, indicate the failure of IDP planning approach?	21.2	30.3	45.5	3.0
17	Does IDP plan preparation consider regional plan classification (such as the urban region; functional region; planning region; physical formal region; economic formal region, etc.)?	48.5	36.4	15.2	-
18	Is the IDP an instrument for the implementation of the national development corridor strategy?	48.5	33.3	18.2	-
19	Does IDP preparation consider the connectivity responsible for the functional flow of activities within the urban region?	51.5	36.4	12.1	-
20	Do you really think that IDP can effectively repack the economic fundamentals of municipalities in South Africa?	48.5	39.4	12.1	-
21	Does IDP follow any policy guideline for urban development?	57.6	21.2	12.1	9.1
22	Do IDP activities recognize and apply the spatial aspect of urban growth (such as qualitative, quantitative, structural growth, etc.)?	36.4	39.4	18.2	6.1
23	Is IDP meant to provide support for the operation of survivalist informal sector activities?	42.4	30.3	24.2	3.0
24	Does the planning system consider environmental factors along with culture, value system, activity systems and their distribution in space as attributes of the urban environment?	42.4	21.2	12.1	24.2
25	Are broad guideline plans given adequate consideration in determining the direction of development in South Africa?	36.4	36.4	3.0	21.2
26	Does the use of planning standards prevail in the South African planning	39.4	36.4	3.0	21.2

	system?				
27	Are greenbelts or other management techniques such as urban service limits, urban growth boundaries (UGB), urban development boundaries (UDB) used to manage urban growth in South Africa?	51.5	24.2	-	24.2
28	Do long-term objectives drawn from a defined mind-set and outlook determine city planning and development in South Africa?	39.4	36.4	6.1	18.2
29	Do economic fundamentals such as productivity and GDP issues influence planning in South Africa?	54.5	27.3	3.0	15.2
30	Issanitation and urban quality integrated in the South African planning system?	45.5	18.2	15.2	21.2
31	Does planning in South Africa adopt definite spatial measures or standards to shape the city?	36.4	30.3	15.2	18.2
32	Are planning decisions democratic in South Africa?	27.3	36.4	18.2	18.2
33	Do role-players in the participatory process demand gratification such as honoraria for their services?	6.1	39.4	33.3	21.2
34	Is South Africa inclined to design-oriented approach to planned development?	18.2	39.4	24.2	18.2
35	Does planning activities depend on opinion poll drawn from town-hall meetings?	15.2	24.2	42.4	18.2
36	Does civic identity and local ownership of plan matter in South Africa?	21.2	36.4	21.2	21.2

NOTE: The highest score highlighted in each row represent the preferred perception for each question.

NOTE: +1 = Yes; 0 = Moderate; -1 = No; M = "Missing"

Source: Own construction in collaboration with Statistical Consultation Service, NWU 2013

**Fourth question:** The IDP is generally perceived as a hybrid concept that shares the qualities of development ideology and planning methodology. However, the participatory aspect of its identity as a planning instrument is seen as a political necessity and not a requirement in planning. It is believed that conditions are not right for participation because rational input is not feasible - rather structured participation with limits is advocated although there are claims that politicians are not doing enough on capacity building. The impact of IDP is perceived to be a process not an event and some credit is already given to participation for improved plan implementation.

**Fifth question:** It is generally accepted that the practice of IDP is at the moment not form-based although there are high expectations that SDF can provide the missing link for form-based planning. However, lots of relativity is expressed in the potentials of local municipalities to generate quality SDFs. For the IDP to address form in managing the space economy the politics of planning involving politicians and technocrats demands attention as well as researchers-consultants interactions.

**Sixth question:** The impression that 'Silos' development thrives on the so-called weak state to work against integration is not uncommon. This is generally attributed to the backlash effect of multiple legislations, funding mechanisms and decentralized planning

systems. Integration is sought at very low levels at a time when most planning decisions have been taken and related to budgets and reversal is hard.

Overall the reactions tend to be constant and predictable but the reasons for the reactions differ depending on the political persuasion of the respondent. Nevertheless, the respondents generally are very critical of the IDP initiative, always ready to identify gaps between principles and practice and a lack of analytical rigor, especially in the method of provision of services. Emanating from the very strong dissension, the consensus is that the IDP instrument is dysfunctional, although it is inherently considered a good instrument. It has conceptual problems relating to mainstreaming spatial integration.



**Table 4.5: Summary of personal interviews**

Options	Category of respondents			
	Academics	Consultants	Administrators	Politicians
Nature of IDP planning: existential or visionary?	<p>*Visionary by design but not in practice due to implementation problems. The person who does the design is not the person who implements,</p> <p>*Need for a strategic vision that is not conflicting,</p> <p>*Existential in practice,</p> <p>*Hybrid situation identified because it is both creative and prescriptive,</p> <p>*IDP is not built on the right mind-set,</p> <p>*IDP adopts a reactive planning approach, no thinking 'out of the box' i.e. no bigger vision,</p> <p>*IDP should be used to pull out of dependency and work towards self-sufficiency,</p>	<p>*The visionary dimension of planning is implicit considering the absolute need to pull out of dependency,</p> <p>*African urban ideology is required as prerequisite to function on the global stage,</p> <p>*The IDP is considered futuristic because it is a broad-based plan and not an action plan.</p>	<p>*The IDP is seen as long term plan at addressing issues raised for community members,</p> <p>*The IDP is a borrowed concept derived after the review of different concepts,</p> <p>*Planning rationality controls however governed by spatial issues.</p> <p>*The IDP is good and very rational on paper but difficult to implement,</p> <p>*Reactive planning and the process is not credible,</p> <p>*Seen as a 'wish list' that does not inform the budget,</p>	<p>*The IDP is regarded as a desktop 'wish list',</p> <p>*The IDP is perceived as a force document,</p> <p>*The IDP vision cannot be realized because there are too many poor people and Local Authority is not maximizing the value of money,</p> <p>*The IDP has the potentials to be a visionary instrument considering its legal provisions,</p> <p>*The IDP is considered a template and is not really a live document that inspires,</p> <p>*Wide gap between principles and practice – legislation and policies sound good on paper but does not translate into practice,</p> <p>*Identified the need to create a new way to achieve integrated development that will protect human dignity through the delivery of basic services ,</p> <p>*The IDP differs in meaning from ward to ward depending on the disposition of the ward,</p> <p>*The IDP should adopt an integration process that engage the people, a ward driven exercise, LED based, and mutual assistance in which the affluent will assist the less-affluent,</p> <p>*The IDP is considered an existential instrument because it considers immediate problems,</p> <p>*The IDP should be considered under the budget section for it to be regarded properly. At the moment the IDP is not the authoritative document that informs the budget,</p> <p>*The IDP is considered a visionary planning instrument because it is a 5-years planning</p>

<p>Objectives of IDP planning: equity and/or growth?</p>	<ul style="list-style-type: none"> <li>*The IDP is normally focused on socio-economic development,</li> <li>*The IDP is designed to address equity and growth simultaneously through redistribution,</li> <li>*Equitable involvement is identified although not necessarily good for economic development perhaps more concerned with sustainable development,</li> <li>*Market force not accepted as determinant factor in development, it will reduce growth,</li> <li>*Confusing documentation in IDP planning obscures the issues</li> </ul>	<ul style="list-style-type: none"> <li>*Planning rationality should be respected although there are good and bad planners,</li> <li>*Market force cannot be ignored but should be considered as a factor in planning rationality,</li> <li>*Participatory planning can enhance the influence of market force,</li> <li>*Not efficient presently as an equity instrument,</li> <li>*The IDP focus depends on the location and dependent on the situation on ground,</li> <li>*The IDP is at present not concerned with growth,</li> <li>*IDP policy is not properly understood therefore not properly implemented,</li> <li>*Market force is determinant factor in IDP planning.</li> </ul>	<ul style="list-style-type: none"> <li>*Guided by national legislation the IDP can achieve its set objectives,</li> <li>*The IDP has problems with project design embedded in the politics of infrastructure provision,</li> <li>*The IDP is a participatory planning process that starts with a long shopping list and ends with funding problems,</li> <li>*No civic education</li> <li>*Political and market forces play a bigger role than planning rationality,</li> <li>*The IDP is very complicated for the councillors to understand,</li> <li>*The IDP is not growth-oriented in practice - rather it is more committed to give access to participation,</li> </ul>	<p>document,</p> <ul style="list-style-type: none"> <li>*Links equity with affordability which translates to creating opportunity and not making provisions,</li> <li>*Education provided at the national level is tangential to addressing equity,</li> <li>*Over-emphasis on equity in relation to maintenance. Equity generates pressure on facilities and without maintenance the quality of services downgrade requiring restoration at higher cost than maintenance,</li> <li>*The IDP does not address growth rather it addresses basic needs,</li> <li>*Infrastructure development should be seen as business,</li> <li>*It is not necessarily addressing equity because of party politics.</li> <li>*Budget is not biased towards addressing equity,</li> <li>*Balancing the budget with planning slows the pace of development,</li> <li>*The IDP is addressing equity although the speed is low but segregation is beginning to change,</li> <li>*The IDP is working against issues that work against growth again result is slow,</li> <li>*Political analysis addresses equity while technical analysis does not look at equity. They do not understand that the IDP is all about redistribution</li> </ul>
<p>The IDP as strategic planning instrument: interface between political and technical analysis?</p>	<ul style="list-style-type: none"> <li>*The IDP is political because it is seen as National Democratic Revolution,</li> <li>*In so far as planning is public sector driven it invariably relates to political analysis and application problem is a major issue in political analysis,</li> <li>*Government should be a 'referee' and not a 'player' meaning that government should engage more in planning control</li> </ul>	<ul style="list-style-type: none"> <li>*Politicians (local or global) can influence planning and it applies to IDP,</li> <li>*Political analysis predominates in IDP planning,</li> <li>*Decision making is preferential in favour of social acceptance rather than the purpose of IDP.</li> </ul>	<ul style="list-style-type: none"> <li>*Political analysis leads to passive participation,</li> <li>*Municipals are currently both 'referee' and 'player',</li> <li>*Municipals have problem with capacity.</li> <li>*Finding an interface depends on issues required to be addressed in other to execute a project,</li> </ul>	<ul style="list-style-type: none"> <li>*Political analysis is impacting the system and it is reducing quality and integration,</li> <li>*Mediocrity is in the increase and technical knowledge is compromised as many knowledgeable engineers have left the country since 1994,</li> <li>*Interfaces to be sought through the participation of strong civil society and interest groups in the IDP process,</li> <li>*Weak state identified due to the policy of cadre deployment which implies that posts are filled in employment with emphasis on</li> </ul>

	<p>rather than intervention,          *Integration is a problem for the IDP at various degrees depending on the location. Integration by 'Stapling' sectoral plans is identified and it is considered a flaw in the design of IDP. Integration should be mainstreamed. People do not want to change their mind which is made up at the project phase before integration,          *The IDP is a revolutionary approach leading to transformation hence lots of powers to the Minister. But in a weak state identified in South Africa where party controls the Minister power does not guarantee performance because of capacity issues,          *Weak on technical analysis hence bad and uninformed decisions driven by stakeholders who bear informal expertise knowledge,          *Planning decisions should derive from technical analysis driven by researched input, and the outcome of technical analysis should determine political analysis,          *An inverse relationship between technical and political analysis identified as the size of cities decreases,</p>			<p>loyalty and very limited emphasis on knowledge and expertise to execute the statutory mandate,          *Conflict exists between politicians and technocrats in their planning outlook,</p>
<p>The IDP: planning methodology or development ideology</p>	<p>*The IDP is a spatial planning instrument but not in all cases,          *Perceived in some quarters as development ideology,          *Legal provision is made for both scenarios. It is not only an ideology and it is not only a methodology because there is an outcome (a product),</p>	<p>*A mix of statutory and non-statutory planning is required because as planning moves towards land use planning it should be statutory because it has implications on service delivery,</p>	<p>*Described as development planning ideology that involves everybody,          *The IDP is shaping the city in so far as development is not an event but a process,          *Politicians have not done enough to ensure empowerment of communities,</p>	<p>*Not necessarily a planning instrument rather it is a 'wish list',          *The IDP in practice perceived as a development ideology than a planning methodology. The IDP does not work as being current reality driven from a central government than a local,          *Seen as a planning methodology intended to address an approach to development,</p>

	<ul style="list-style-type: none"> <li>*Participation is driven by democracy, not by what is required in planning,</li> <li>*Participation should be encouraged where rational input can be made,</li> <li>*Improvement in the IDP is not as a result of participation rather things are better structured,</li> <li>*There is need for participation but rational planning should prevail,</li> <li>*Structured participation advocated i.e. participation with limits. At the moment participation is not structured correctly,</li> <li>*Plans should be statutory but not rigid</li> </ul>	<ul style="list-style-type: none"> <li>*Participation in planning has limits,</li> <li>*IDP planning methodology should adopt comprehensive and holistic approach,</li> <li>*Participation can improve plan implementation,</li> <li>*The IDP is a hybrid concept; the objectives make it a development ideology and the sequence of activities make it a methodology.</li> </ul>	<ul style="list-style-type: none"> <li>officials, councillors, etc.,</li> <li>*Weak monitoring</li> <li>*Participation is peripheral in SDF, organized groups not involved,</li> <li>*Participation has improved implementation,</li> <li>*Participation in the short run makes planning difficult but in the long run the reverse is the case,</li> </ul>	<ul style="list-style-type: none"> <li>*If properly done and budgeted for it will deliver on addressing the problem of development in Potchefstroom,</li> </ul>
IDP and urban form	<ul style="list-style-type: none"> <li>*Urban form guided by policies and land-use schemes</li> <li>*The IDP ought to be able to handle space economy through SDF</li> <li>*Its potential to address space economy with SDF depends on the municipality,</li> <li>*The IDP is currently not linked with form,</li> <li>*The IDP does not address space economy - rather it is more or less a list,</li> <li>*IDP planning is not form-based,</li> <li>*Acceptance of compact city model</li> </ul>	<ul style="list-style-type: none"> <li>*Agrees with the concept of form and function for sourcing growth,</li> <li>*There is a place for planning models but consultants and researchers should work together for the consultant to know the new theories that are available,</li> <li>*Transportation can aid the introversion of urban economy,</li> <li>*The SDF provides for the IDP to shape the city.</li> </ul>	<ul style="list-style-type: none"> <li>*The IDP is designed to encourage introverted space economy,</li> <li>*Redistributing land holding is a long process; there is need to unlock resistance not antagonistically against people you have to engage,</li> <li>*SDF gives information on the use of space,</li> <li>*The IDP considers densification and connectivity between nodes,</li> <li>*Agrees with compact cities principles,</li> <li>*Consultants handle SDF while planning administrators are concerned with development control,</li> <li>*Urban edge and SDF go together,</li> <li>*No standards for urban form,</li> </ul>	<ul style="list-style-type: none"> <li>*The use of in-house labour is yet to materialize although there are prospects with the pending Arts Festival as contact point,</li> <li>*Agrees that the IDP can redistribute activities in space but not so in practice because there is no political will to influence the use of space,</li> <li>*Dealing with space economy in terms of planning the use of the hinterland for agriculture is not within the competency of municipalities (Ref: Schedule 4&amp;5 of the constitution of the Republic of South Africa),</li> <li>*The IDP is capable of determining space economy because of its SDF content, but unable to do that at the moment because of politicians and technocrats,</li> </ul>
IDP and sectoral planning	<ul style="list-style-type: none"> <li>*Parties, multiplicity of legal provisions and legal orientation encourages the incidence of 'silos',</li> </ul>	<ul style="list-style-type: none"> <li>*Environmental management should not undermine planning, in trying to</li> </ul>	<ul style="list-style-type: none"> <li>*Integration has to happen at district level,</li> <li>*Lack of skilled manpower is responsible for non-</li> </ul>	<ul style="list-style-type: none"> <li>*Planning and implementation of the IDP is not impressive,</li> <li>*Disagrees with the notion of 'silos' development,</li> </ul>

	<p>*'Silos' should be addressed through cooperative or good governance,          *Blurred links and relationships between environmental management and spatial planning,          *Legislation encourages the development of 'silos',          *No integration between the sectors,          *Zero-integration ,          *Project planning is not holistic</p>	<p>determine where to develop and where not to develop,          *'Silos' indicate lack of leadership and authority,          *Plan implementation is top-down business – if political outcome is desired the people will be involved and if economic outcome is desired investors will be involved.</p>	<p>integration. Municipalities need the assistance of formal expertise,          *Before council resolution on the IDP there is a need for evaluation done by formal experts,          *Everything is discussed at management level except IDP,          *Integration jobs done by lower officers do not work,</p>	<p>*LED should be encouraged,          *Agrees that legislation has a role to play in the incidence of 'silos', the good intentions of statutory provisions is marred by overreaction to political issues,          *Visionary leadership can reduce the incidence of 'silos' and the national development plan is a step in the right direction. Therefore favours a centralized strategic planning body, making analysis of current reality and develop something beyond the scope of traditional way of thinking,          *No integrated planning where all the sectors come together to work,          *Nobody takes the IDP seriously, especially those in the infrastructure sector – those that provide services,          *The IDP is repeated annually to fulfil a statutory obligation,          *Actions depend on the need of locations,          *'Silos' is a huge challenge. We have not come to a situation where each sector submits a plan to a central processing point such as the National Treasury,          *Resolution of funding is an issue for stopping 'silos' The LG does not have the funds to deal with the situation, hence selected project financing.</p>
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Source: Own construction (2013)

## 4.5 Conclusion

The empirical studies adopted the Tlokwe Local Municipality as study area and Matlosana and Rustenburg local municipalities as control stations. The empirical studies examined the perceptions of four categories of respondents using two survey instruments –a planning questionnaire and a personal interview. The respondents included administrators, politicians, academics, and consultants who are either role-players in IDP administration or have cognate experience with IDP applications, preferably in the study area and control locations. The administrators comprise mainly IDP managers. A total of thirty-three were completed and returned and a total of nineteen persons were interviewed. The responses from the questionnaire survey were subjected to statistical analysis and the MCA instrument was used to process the information generated through personal interviews. Prior to the application of the MCA instrument, a general impression of the IDP planning scenario was gleaned from the behaviour of respondents, followed by an executive summary of representations. The summary of representations tended to confirm the general impressions reached on each interview question. The general impression tended to confirm the trend of poor resonance established in literature with more insights that put neo-liberal planning into question as the best practice mechanism for spatial planning that pursues equity.

The next section provides a summary of analytical data generated through literature review and desktop and empirical case studies. The analytical instruments engaged were mainly the **MCA** analytical instrument, a **SWOT** analysis, and an own assessment using a self-administered **4As** template. A matrix of information by time-frame and regions and performance matrices, coupled with frequency distribution of descriptive statistics, informed the analytical process.

## **SECTION D: INTEGRATION OF THEORY AND EMPIRICAL RESEARCH**

### **Chapter 5: Analysis**

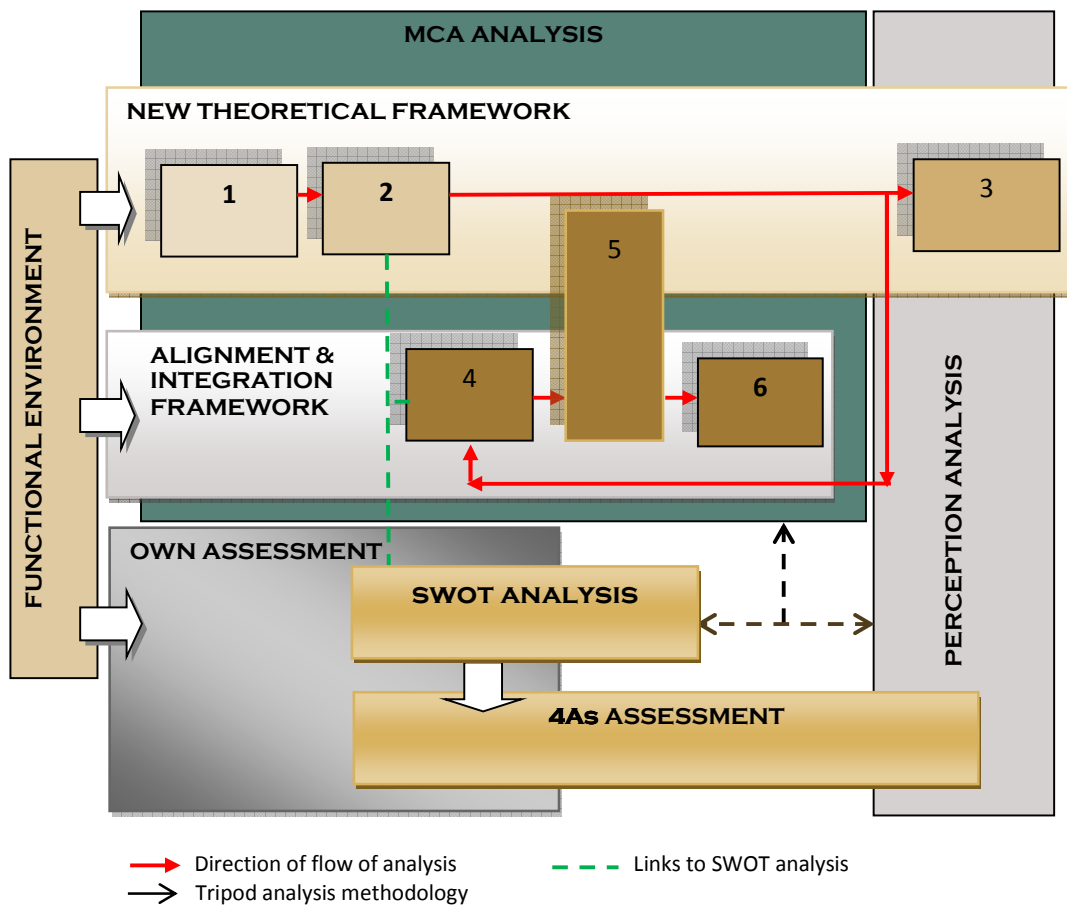
This chapter elucidates the analytical process. A tripod analytical process was engaged, including MCA analysis, perception analysis, and SWOT analysis coupled with own assessments. These sets of analysis were done on three functional environments. They are the new theoretical framework, alignment and integration frameworks and own assessment. The functional flow of analyses involved six operations in the following sequence: first, MCA analysis of compliance with the new theoretical framework in Africa (c.f. 5.5.1), second, MCA analysis of compliance with the new theoretical framework in planning initiatives in select African countries (c.f. 5.5.2), third, perception analysis of compliance with options (variables) in the new theoretical framework of spatial planning in selected African countries (c.f. 5.7), fourth an MCA analysis of Tlokwe, Matlosana and Rustenburg local municipal IDPs (c.f. 5.8), fifth the MCA analysis of personal interviews (c.f. 5.10), and sixth the analysis of descriptive statistics from questionnaires based on alignment and integration frameworks (c.f. 5.9). Two SWOT analyses were done for the second and fourth MCA analyses and each SWOT analysis was followed up with **4As** own assessment.

#### **5.1 Introduction**

This study set out to elucidate changes in planning theory and corresponding paradigm shifts in planning instruments. It sought to determine the extent to which planning in Africa complies with these changes and the implications with regard to economic growth and spatial integration. This was done in the context of the history of African civilization and global influence in determining universal development ideologies. Lots of reviews and case studies have been done to generate databases relevant to ascertain the veracity of paradigm shifts and their validity for integrated regional development in Africa.

#### **5.2 Functional flow of analysis**

The functional flow of analysis is as shown in **Figure 5.1** below. It is designed to aid the understanding of how the analysis was done and the justification of findings. Overall six levels of analysis were carried out.



- 1 - MCA analysis of compliance to the new theoretical framework in Africa
- 2 - MCA analysis of compliance to the new theoretical framework in planning initiatives in select African countries
- 3 - Indication of compliance to options (variables) in the new theoretical framework of spatial planning in selected African countries.
- 4 - MCA analysis of Tlokwe, Matlosana and Rustenburg local municipal IDPs
- 5 - MCA analysis of personal interviews
- 6 - Analysis of descriptive statistics from questionnaire

**Figure 5.1: Flow-chart of analysis**

Source: Own construction (2013)

The research adopted a perception analysis which was done in two dimensions – Data and SWOT analyses. The data analysis is further split into two categories – desktop analysis based on secondary iterative data used to measure compliance in principles and practice and an empirical analysis based on primary data used to measure compliance specifically in practice. The desktop analysis claimed four of the six levels of analysis and it was done with two pre-determined templates – one indicating the matrix



of new spatial planning principles since 1960s in Africa, and the other indicating the matrix of IDP principles. The remaining two levels of analysis were based on empirical studies.

The initial set of desktop analysis sought to determine in three instances whether the principles of substantive planning systems reinforced the new spatial planning principles identified in literature. For this purpose the African continent was assessed globally, followed by selected country profiles, and then planning initiatives also in selected African countries. The fourth and last desktop analysis used the matrix of IDP principles to conduct a comparative analysis of links between the IDP concept and the principles, practices and desired practices of IDP operations in the Tlokwe, Matlosana and Rustenburg local municipalities. The fifth and six analyses were conducted to supplement the information generated through personal interviews and the questionnaire survey. In all instances the MCA analytical instrument was used to determine the three values (i.e. compliance with principles, practice and desired practice) except in the case of assessing the country profile where one value, which indicated strong compliance in principle, was measured.

The compliance levels are the scale used for assessment. Compliance in principles and practice scores 'strong', compliance in principle and partially in practice scores 'moderate', and compliance in principle and not in practice scores 'weak'.

A SWOT analysis was required as a means of integrating the analytical process. This was done for the selected planning initiatives at the second level of analysis and for the IDPs of local municipalities dealt with at the fourth level of analysis. The result of the SWOT analysis was subjected to own assessment with the **4As** criteria to obtain an independent measure of the capacity of the initiatives to deliver integrated planning and development.

### **5.3 Matrix of literature (by time-frame)**

The classification by time-frame is outlined in **Table 5.1** below. Four periods are identified to witness signpost events in the trend of activities. Progressively, informality reinforces the stakes of economics in planning theory as expressed in regional neo-classical theories and simultaneously attention shifts away from the city and tends towards the survival of businesses and people. In the process attitudes towards informality shift from pessimism to optimism under institutionalist perceptions and the in-

formalization of human systems prevails. Economic development planning gives impetus to the attitudinal changes towards informality and the end result is the incidence of dysfunctional megacities as urban growth increases. Remarkably, in all of these events, master planning remained resilient in principle although it lacked authority in practice.

**Table 5.1: Matrix of literature (by time-frame)**

	MATRIX	LINE OF ARGUMENT: BY TIME-FRAME				
	THEME/FOCUS	1960	1970	1980s – 1990s	From 2000	Trends
PRINCIPLE	<b>Spatial and statutory planning</b>	Classical Pre-Modern	Rational Modern	Neo-liberal Modern	Neo-classical Post -modern	Spatial planning perspectives.
	<b>Informal sector</b>	Economic dualism (Urban/Rural)	Activity oriented (Traditional)	Entrepreneurship oriented (Modern)	Population oriented/(Mo onlighting)	Concern for spatial orientation.
PRACTICE	<b>Spatial and statutory planning</b>	2 <sup>nd</sup> Phase of criticism of master planning in Europe.	Criticism of master planning in Africa.	Paradigm shift in Africa: incidence of participatory process.	Urban design vs. Strategic plans. (Statutory vs. non-statutory)	Resilience of master planning principles under new urbanism.
	<b>Informal sector</b>	Pseudo-urbanization.	Pessimistic attitude towards the survivalist strategy.	Optimistic attitude while the survivalist outlook persists in Africa.	Institutionalist perception prevails	In-formalization of human systems
	<b>The evolution of city development in Africa</b>	Parasitic colonial towns.	Informal settlements.	New-town development.	Dysfunctional megacity syndrome.	NEPAD cities initiatives
	<b>NEPAD</b>	National development planning.	Structural Adjustment Programme (SAP).	Lagos Action Plan (LAP).	NEPAD initiative.	RAIDS strategy.

Source: Own construction (2012)

Deductions from **Table 5.1** above are as follows:

- i. The evolution of spatial and statutory planning is cyclical: classic – rational – neo-classic, and symmetrically in practice: pre-modern – modern – post-modern. An similar evolution is noted in urban design: old urbanism – modern urbanism – sustainable urbanism. All three categories of evolutions are influenced by new facts associated with urban growth.

- ii. The informal sector is set to be considered from a spatial perspective following its consideration in the 1970s as a set of activities and in early 2000 as a people-centred phenomenon with reference to the Moonlighting/MML concept,
- iii. The status of spatial planning is unstable. But the resilience of statutory planning in spite of its systemic isolation is remarkable against the increasing popularity of non-statutory planning. The resilience is not disconnected from the impact of postmodernism in planning,
- iv. The informal sector remains an economic variable and has increasingly proved to be a morphological factor in city development. Its enhanced popularity in Africa has earned it the impetus to lead the in-formalization of cities,
- vi. City development in Africa is in a quagmire. As cities in Africa assume mega-status they increasingly become dysfunctional and progressively lose civic identity,
- vii. NEPAD derives from the neo-liberal tradition of project planning and is currently committed to the RAIDS strategy as operational instrument. The adequacy of this instrument is yet to be determined as the economic growth it is barely able to generate has no relationship with giving form to the urban regions as it is required for the regional integration that is expected from NEPAD initiative.

#### **5.4 Matrix of literature (by regions)**

The classification by region presented in **Table 5.2** below identified Africa as being in a peculiar position compared with other regions. Planning principles is in transition under the influence of events in other regions. The instrument of change apparently is the UN-Habitat with its insistent crusade for neo-liberal planning in Africa. Unfortunately, the survivalist informal sector is found to be prevalent in Africa, unlike in other regions including ASEAN, where the informal sector seems to be fully developed. In other regions the modern informal sector that imbibes accumulation obtains. As Africa struggles with external influences it maintains its fate precariously with statutory urban master planning. In other words master planning remains resilient but heavily dysfunctional. The other regions backup their new perspectives in planning with urban design which does not seem to be the case in Africa.

**Table 5.2: Matrix of literature (by region)**

	MATRIX	LINE OF ARGUMENT: BY REGIONS				
	THEME/FOCUS	America	Europe	ASEAN	Africa	UN-Habitat
<b>PRINCIPLES</b>	<b>Spatial and statutory planning.</b>	Neo-classical paradigm.	Rational cum Neo-liberal paradigm.	Classical cum Rational paradigm.	Classical paradigm (but transitional).	Neo-liberal paradigm:
	<b>Informal sector</b>	Modern informal sector	Modern informal sector	Traditional/ Modern	Survivalist informal sector	Poverty alleviation (survivalist) mechanisms
<b>PRACTICE</b>	<b>Spatial and statutory planning</b>	Statutory urban design	Non-statutory spatial frameworks.	Statutory concept planning	Statutory Urban Master planning	Non-statutory action plans /strategic planning/ urban renewal.
	<b>Informal sector</b>	Dominantly economically oriented (upper-tier)	Informal planning	Dominantly economic oriented (lower-tier)	Dominantly commercial trading (lower tier)	Pro-poor initiatives
	<b>Involvement in city development in Africa.</b>	Urban master plan consultancy services	Establishment of colonial towns	-	Kingdoms/Empires/ Traditional town initiatives	NEPAD cities initiative
	<b>NEPAD</b>	African Growth Opportunity Act AGOA)	FDI	-	AU/AMCHUD NEPAD Action Plan	External development partners

Source: Own construction (2012)

Deductions from **Table 5.2** above are as follows:

- i. Europe seems to be more committed to the UN-Habitat neo-liberal planning paradigm than other regions and has gone ahead to articulate ESDP in line with neo-liberal thinking. This scenario is not surprising given the antecedents of Europe in the critique of traditional master planning,

- ii. A survivalist informal sector that correlates with poverty is commonplace in Africa,
- iii. Statutory planning still dominates planning practice, especially at the local level in Africa.
- iv. Participatory planning is inversely related to statutory form-based planning and directly related to broad guideline spatial planning,
- v. Only the ASEAN region seems not to mingle with city development in Africa. The other regions and UN-Habitat are characteristically involved,
- vi. Again ASEAN countries are seldom associated with NEPAD operations. America and Europe have since positioned themselves to engage especially as development partners. Already UN-Habitat is practically involved and its supportive roles tend to shift to control as can be argued in its relations with AMCHUD.

## 5.5 MCA analysis of literature

The analysis of literature engaged the three analytical instruments identified for this research: Multi-Criteria Analysis (MCA) analysis, SWOT analysis and 4As assessment. MCA and SWOT analyses are established research methodologies. The **4As** assessment has been an innovation as a follow-up to the SWOT analysis and it is geared towards quality control. The **4As** template given in **Table 5.3** below seeks to determine the potentials of planning initiatives to serve as good planning instruments as measured by the disposition of planning initiatives to aspire towards a visionary outlook, avoid stated weaknesses, attain goals determined by opportunities, and act against common threats to good planning.

Since the 1980s new perspectives in planning have introduced innovations in planning principles. As a result, a mixture of product-oriented and the new process-oriented planning principles have begun to define the theoretical framework for planning. Based on an extensive review of literature a summary of the emerging theoretical framework is presented in **Table 5.4** below. The analysis of literature with this template will measure compliance which means in practical terms the extent to which the analytical framework of planning supports the theoretical framework.

**Table 5.3: Template of 4As criteria for assessing planning initiatives**

MATRIX		Hypothetical planning initiative	
<b>Own Assessment methodology</b>	<b>OBJECTIVES (4As)</b>	<b>OPTIONS</b>	CRITERIA (commonalities from SWOT analysis)
	<b>Aspire</b>	<b>Strength</b>	<ul style="list-style-type: none"> <li>* Visionary and multi-dimensional planning.</li> <li>* Conceptually form-based planning committed to formal expertise knowledge.</li> <li>* Assets-based analysis.</li> <li>* Local resource optimization.</li> <li>* Strong institutional base.</li> <li>* Holistic in participatory terms.</li> </ul>
	<b>Avoid</b>	<b>Weakness</b>	<ul style="list-style-type: none"> <li>* Project planning to precede spatial integration.</li> <li>* Mediocrity in planning practice.</li> <li>* Interdepartmental conflict and unilateral interventions.</li> <li>* Dependency of funding mechanism.</li> <li>* More of political analysis than technical analysis in planning.</li> <li>* Informality in planning.</li> </ul>
	<b>Attain</b>	<b>Opportunity</b>	<ul style="list-style-type: none"> <li>* Mainstreaming monitoring and evaluation in planning (i.e. feedback).</li> <li>* Focused attention on shaping the city.</li> <li>* Developmental outlook for planning (i.e. growth)</li> <li>* Managerial and administrative reforms.</li> </ul>
	<b>Act</b>	<b>Threats</b>	<ul style="list-style-type: none"> <li>* Vulnerability to global system of economic control.</li> <li>* Politics of power and resources in planning mechanisms</li> <li>* Redundancy of development plans.</li> <li>* Poor database.</li> <li>* Widening gap between principles and practice.</li> </ul>

Source: Own construction (2013)

**Table 5.4: Matrix of new theoretical framework for spatial and statutory planning in the 2010s**

	<b>OBJECTIVES</b>	<b>OPTIONS</b>	<b>CRITERIA</b>
<b>THEORETICAL FRAMEWORK</b>	The concept of urban environment	Systems approach	Study of system of base, deep structure, superficial structure.
		Spatial approach	Delineation of urban core, urban outer ring (fringe area), urban outer ring (hinterland area).
		Urban structure approach	Concentric zone theory; sector theory; multi-sector theory.
	Statutory Planning	Provisional documents	Framework plans
		Operational documents	Planning schemes; Layout schemes; Action plans
		Regulatory documents	Normative (informal) standards
	Spatial Planning	Urban form	Land use densities, patterns, functions,
		Urban growth management	UGB, UDB, Greenbelt, Urban service limit, urban edge.
		Use of space (Land use control)	Market force as determinant factor.
	Nature of Planning	Informal	Non-professional planning; sectoral development planning; sub-area development planning.
		Developmental	Project (facility) plans; economic plans.
		Organizational	Stakeholders' forum; Event-oriented planning process.
		Visionary	Long-term objectives; city vision statement; mind-set; outlook issues.
	Purpose of Planning	Economic	GDP, productivity; employment; use of resources; infrastructure planning, etc.
		Cultural	Conservation of heritage issues; cityscape concerns; civic identity concerns, etc.
		Health	Urban sanitation measures; urban quality control, etc.
		Form	Urbanity standards, etc.
	Planning instruments	Planning initiative	Urban planning and local planning approach, etc.
		Planning perspective	Process-oriented planning (neo-liberal planning).
		Planning framework	Guideline plans.
	Participatory process	Consultative	Professionals are under no obligation to take on board people's views.
		Interactive	Groups take control over local decisions and determine how available resources are used.
		Functional	Participation is seen by external agencies as a means to achieve project goals, especially reduced costs.
		Manipulative	Participation simply pretence by representatives on official boards who have no power.
		Passive	People participate by being told what has been decided or has already happened.
		Self-mobilization	People participate by taking initiatives independently of external institutions to change systems.
		Participation for Material incentives	People participate by contributing resources, for example labour, in return for material incentives.
	Planning methodology	Classic	Survey-analysis-design approach
		Rational	Participatory approach
		Neo-classic	New-master planning approach
	Urbanism	New urbanism	Smart growth
		Sustainable urbanism	Design-oriented approach to planned development: relative density
Creative urbanism		Culture-based urban design	
Planning knowledge	Formal expertise	Planning Professionalism; scientific database; use of planning theories & concepts, etc.	
	Informal expertise	Stakeholders' forum; town-hall meetings, opinion poll, etc.	
Plan evaluation	Planning as control of the future	Non-implementation of plan.	

	technique	Process of decision making	Decision-making methodology; monitoring activities
		Intermediate technique	Plan alteration irrespective of implementation.
Regional integration		Spatial integration	Planning based on regional classifications: urban region, functional region, physical formal region, economic formal region, planning region, regional master plans, etc.
		Space economy	National urban development strategies (NUDS)
		Regional connectivity	Regional road network; functional flow-chart;
		Economic integration	Economic reforms; political reforms, etc.
Cross-cutting issues		Heritage of city development in Africa	Civic identity
		Urbanization	Extroverted or introverted
		Urban growth	Spatial growth issues: qualitative, quantitative, structural growth, urban change, etc.
		Informal sector	Survivalist model

Source: Own construction 2013

Principles based on product-oriented planning

### 5.5.1 MCA analysis of literature

The MCA analysis of literature is the first part of two levels of analysis envisaged. This level of analysis, shown in **Table 5.5** below, seeks to get an overview of compliance with the new theoretical framework in Africa. The frequency distribution of the analysis is given in **Table 5.6** below.



**Table 5.5: MCA analysis of compliance with the new theoretical framework in Africa**

MATRIX		ANALYTICAL FRAMEWORK			
		OPTIONS	SCORING		
+1	0		-1		
THEORETICAL FRAMEWORK	<b>OBJECTIVES</b>				
	<b>The concept of urban environment</b>	Systems approach			Study of system of base, Deep structure, superficial structure.
		Spatial approach			Delineation of urban core, urban outer ring (fringe area), urban outer ring (hinterland area).
		Urban structure approach			Concentric zone theory; sector theory; multi-sector theory.
	<b>Statutory planning</b>	Provisional documents			Framework plans
		Operational documents			Planning schemes; layout schemes; action plans
		Regulatory documents			Normative (informal) standards
	<b>Spatial planning</b>	Urban form			Land use densities, patterns, functions,
		Urban growth management			UGB, UDB, Greenbelt, Urban service limit, urban edge.
		Use of space (Land use control)			Market force as determinant factor.
	<b>Nature of planning</b>	Informal			Non-professional planning; Sectoral development planning; sub-area development planning.
		Developmental			Project (facility) plans; economic plans.
		Organizational			Stakeholders' forum; event-oriented planning process.
		Visionary			Long term objectives; city vision statement; mind set; outlook issues.
	<b>Purpose of planning</b>	Economic			GDP, Productivity; employment; use of resources; infrastructure planning, etc.
		Cultural			Conservation of heritage issues; cityscape concerns; civic identity concerns, etc.
		Health			Urban sanitation measures; urban quality control, etc.
		Form			Urbanity standards, etc.
	<b>Planning instruments</b>	Planning initiative			Urban planning and local planning approach, etc.
		Planning perspective			Process-oriented planning (neo-liberal planning).
		Planning framework			Guideline plans.
	<b>Participatory process</b>	Consultative			Professionals are under no obligation to take on board people's views.
		Interactive			Groups take control over local decisions and determine how available resources are used.
		Functional			Participation is seen by external agencies as a means to achieve project goals, especially reduced costs.
		Manipulative			Participation simply pretence by representatives on official boards who have no power.
		Passive			People participate by being told what has been decided or has already happened.
		Self-mobilization			People participate by taking initiatives independently of external institutions to change systems.
	Participation for Material incentives			People participate by contributing resources, for example labour, in return for material incentives.	
<b>Planning</b>	Classic			Survey-analysis-design approach	

<b>methodology</b>	Rational			Participatory approach
	Neo-classic			New-master planning approach
<b>Urbanism</b>	New urbanism			Smart growth
	Sustainable urbanism			Design-oriented approach to planned development: relative density
	Creative urbanism			Urban design (artefact)
<b>Planning knowledge</b>	Formal expertise			Planning Professionalism; scientific database; planning theories & concepts, etc.
	Informal expertise			Stakeholders forum; town-hall meetings, opinion poll, etc.
<b>Plan evaluation technique</b>	Planning as control of the future			Non-implementation of plan.
	Planning as a process of decision making			Decision-making methodology; monitoring activities
	Intermediate technique			Plan alteration, SWOT analysis.
<b>Regional integration</b>	Spatial integration			Planning based on regional classifications: urban region, functional region, physical formal region, economic formal region, planning region, regional master plans, etc.
	Space economy			National urban development strategies (NUDS)
	Regional connectivity			Regional road network; functional flow-chart;
	Economic integration			Economic reforms; political reforms, etc.
<b>Cross-cutting issues</b>	Heritage of city development in Africa			Civic identity
	Urbanization			Urban policy
	Urban growth			Spatial growth issues: qualitative, quantitative, structural, urban change, etc.
	Informal sector			Survivalist model

Source: Own construction (2013)

Principles based on product-oriented planning

**Table 5.6: Frequency distribution of compliance with the new theoretical framework in Africa**

RELATIONSHIP	FREQUENCY	%
<b>Strong</b>	19	41.3
<b>Moderate</b>	12	26.1
<b>Weak</b>	15	32.6
<b>Total</b>	46	100

Source: Own construction (2013)

The findings from this analysis are summarized below:

- Multi-dimensional planning perspectives exist in Africa.
- Informal planning instruments are used for managing spatial development in Africa,
- Planning outlooks are diffused in Africa,
- Spatial planning is not form-based in Africa,

- As shown in **Table 5.6** above there is nearly a mean distribution of relationship between theoretical and analytical relationship in spatial planning in Africa.

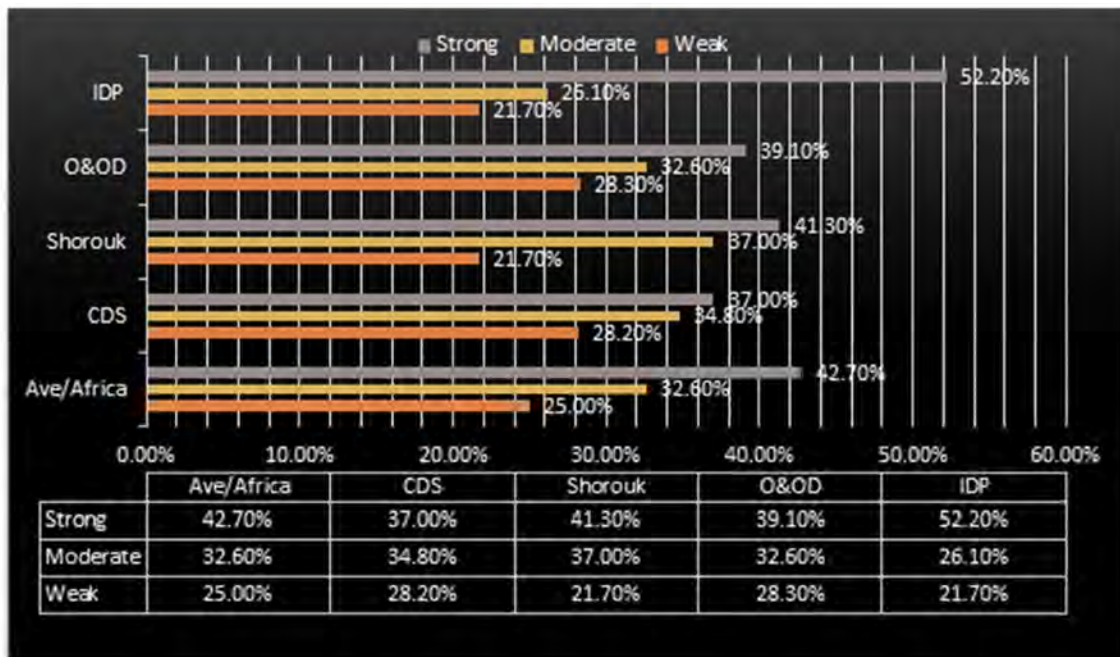
### **5.5.2 MCA analysis of planning initiatives in selected African countries**

The planning initiatives being analysed were picked from countries in the four cardinal points of Africa: the City Development (CDS) initiative in Mali (West Africa), the “Shorouk” initiative in Egypt (North Africa), the Opportunity and Obstacles to Development (O&OD) initiative in Tanzania (East Africa) and the Integrated Development Planning (IDP) initiative in South Africa (Southern Africa)(see **Table 5.7** below). The frequency distribution of the analysis is contained in **Table 5.8** below. Included in this analysis is the synthesis of the scenario in the four initiatives presented in **Figures (5.2 and 5.3)** below. At this level, which is also measuring compliance, the subject of analysis is fine-tuned and focused on specific initiatives and the evaluation depends on the perception of information gleaned from literature.

**Table 5.7: MCA analysis of compliance with the new theoretical framework in planning initiatives in select African countries**

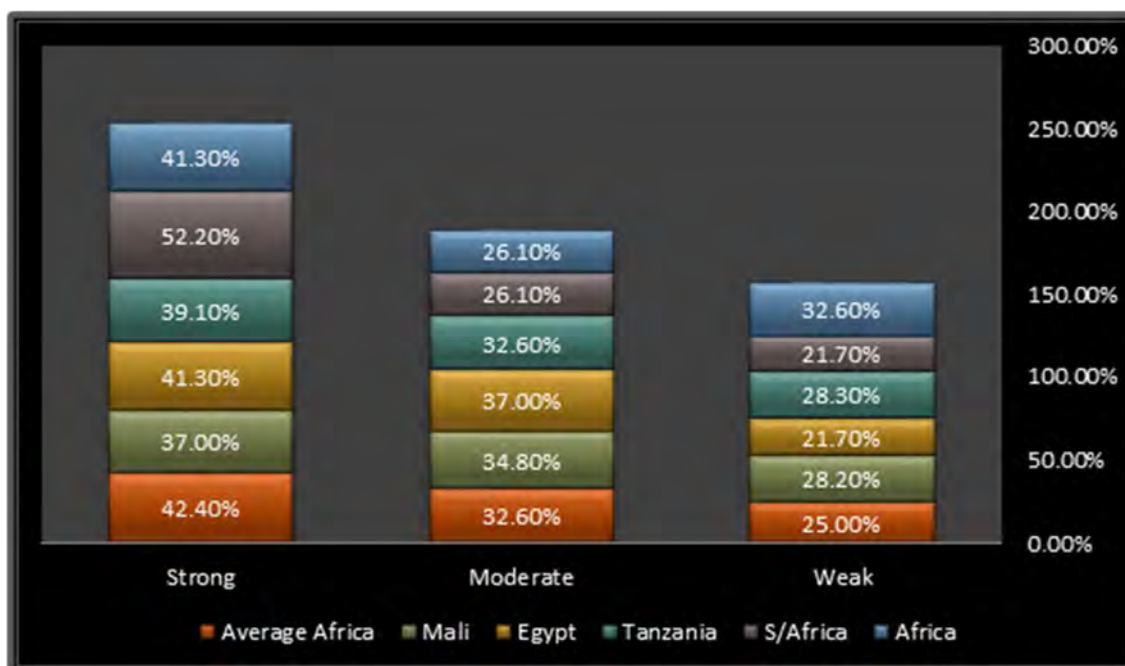
MATRIX		OPTIONS	PLANNING INITIATIVES											
			MALI			EGYPT			TANZANIA			S/AFRICA		
OBJECTIVES			+1	0	-1	+1	0	-1	+1	0	-1	+1	0	-1
			<b>THEORETICAL FRAMEWORK</b>	<b>The concept of urban environment</b>	Systems approach		0							
Spatial approach		0					0			0			0	
Urban structure approach	1						0		1				1	
<b>Statutory planning</b>	Provisional documents					1			1				0	
	Operational documents	1					0			0		1		
	Regulatory documents			0					1				0	
<b>Spatial planning</b>	Urban form													
	Urban growth management			0			0		1				0	
	Use of space (Land use control)	1				1			1			1		
<b>Nature of planning</b>	Informal	1				1			1					
	Developmental	1				1				0			0	
	Organizational			0			0			0		1		
	Visionary								1			1		
<b>Purpose of planning</b>	Economic	1				1				0			0	
	Cultural						0							
	Health			0			0		1					
	Form													
<b>Planning instruments</b>	Planning initiative			0		1				0		1		
	Planning perspective			0			0			0		1		
	Planning framework	1				1				0		1		
<b>Participatory process</b>	Consultative	1				1			1			1		
	Interactive												0	
	Functional	1				1			1					
	Manipulative	1				1			1					
	Passive			0		1				0		1		
	Self-mobilization			0			0		1			1		
	Participation for Material incentives			0			0			0		1		
<b>Planning</b>	Classic	1											0	





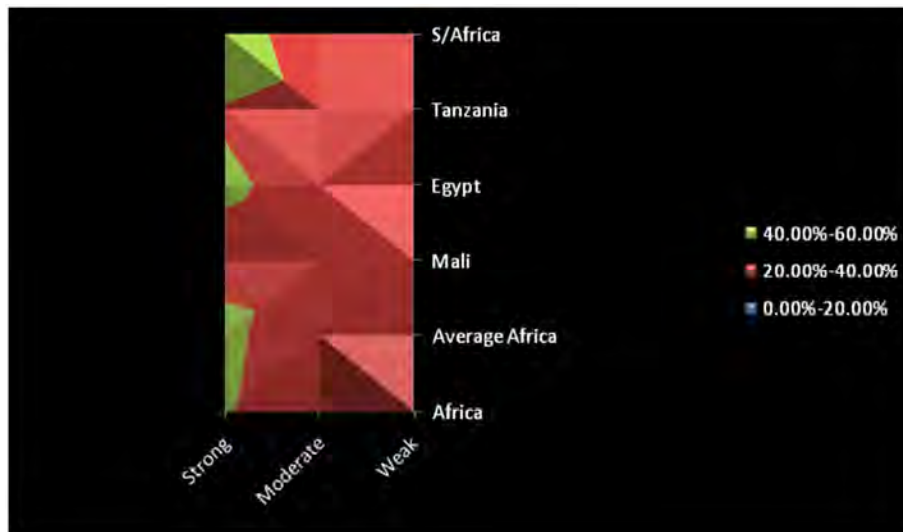
**Figure 5.2: Bar chart of compliance with the new theoretical framework in planning initiatives in selected African countries**

Source: Own construction (2013)



**Figure 5.3: Synthesis of compliance with the new theoretical framework in planning initiatives in selected African countries**

Source: Own construction (2013)



**Figure 5.4: Surface levels of compliance with the new theoretical framework in planning initiatives in selected African countries**

Source: Own construction (2013)

The synthesis represented in **Figure 5.4** above indicates that compliance levels are not a flat surface although they concentrate mostly on the same mean plain when it comes to moderate and weak relationships, but for strong relationships there are high points experienced in the African average and South Africa. The lowest point, which manifests in the weak performance category, applies only to the African average. Overall the relationship between theoretical and analytical framework is generally positive.

The findings from these sets of analysis and synthesis are summarized below:

- The synthesis of data generated as contained in **Table 5.8** indicates that the IDP initiative in South Africa is more compliant with neo-liberal planning theory as indicated in **Figure 5.2** above. **Figure 5.3** confirmed that the initiatives studied cumulatively indicate the dominance of strong compliance although **Figure 5.4** indicates that the compliance surface is undulating.
- Market forces are the dominant determinant factor for land-use management in the initiative studies,
- The participatory process is invariably consultative in the initiatives studied, and
- Project planning defines the planning framework in the initiatives studied.

## 5.6 SWOT analysis of planning initiatives in selected African countries

A SWOT analysis was used to identify the attributes of the initiative as shown in **Table 5.9** below vis-à-vis their potentials to support spatial integration in planning and development. Attention was focused on the potential for putting spatial planning in space without prejudice about participatory processes.

**Table 5.9: SWOT analysis of planning initiatives in selected African countries**

MATIX		SWOT ANALYSIS			
COUNTRY	PLANNING INITIATIVE	STRENGTH	WEAKNESSES	OPPORTUNITIES	THREATS
<b>Mali</b>	Cities Development Strategy (CDS) initiative in Bamako	* Conceptually form-based planning committed to formal expertise knowledge. * Visionary planning.	* UMP approach to address form. * No performance indicators. * Mediocrity in planning practice. * External funding. * Poor technical input. * CDS launch not based on thorough morphological study of Bamako. * Project planning precedes spatial integration.	* Mainstreaming monitoring and evaluation. * Replication opportunities. * Shaping the city.	* Widening gap between principles and practice * Lack of formal expertise knowledge * Poor database. * Limited intellectual capacity of Malian population. * Systemic undermining of urban-form.
<b>Egypt</b>	"Shorouk" initiative	* Local resource optimization. * Assets-based analysis.	* Interdepartmental conflict and unilateral interventions. * Dependency of funding mechanism. * Lacks spatial planning dimension.	* Decentralization policy * Rural planning initiative	* Vulnerability to global system of economic control. * Politics in planning administration.
<b>Tanzania</b>	Opportunities and Obstacles to Development (O&OD) initiative	* Assets-based analysis. * Holistic in participatory terms. * Strong institutional base.	* Project planning precedes spatial integration. * Limited application for large-scale spatial integration. * Donor-dependent funding mechanism. * Informal planning. * Doubtful expertise of facilitators.	* Monitoring and evaluation activities contained in Review and Backstop mechanisms (R&B).	* Parallel planning mechanism. * Redundancy of development plans.
<b>S/Africa</b>	IDP/SDF initiative	* Multi-dimensional planning. * Integrated Institutional Plan. * Visionary planning.	* Event-centred planning process. * Project planning precedes spatial integration. * More political analysis than technical analysis in planning. * Informality in planning.	* Developmental outlook * Managerial and administrative reforms. * SDFs.	* Politics of power and resources in planning mechanisms * IDP diffused comprehension. * Sweeping Ministerial powers.

Source: Own construction (2013)



### 5.6.1 4As assessment of planning initiatives in selected African countries

Recall that for purposes of own assessment a structured template based on **4As** measurement criteria was developed earlier on. The template is meant to provide a standardized approach for own assessment. The **4As** own assessment approach which measures the capacity of the initiative to deliver spatial regional integration works with MCA perception principles. The **4As** assessment was applied with reference to the SWOT analysis. The result is represented in **Table 5.10** below, and informs the frequency chart in **Table 5.11** below.

**Table 5.10: 4As assessment of planning initiatives in selected African countries**

MATRIX		PLANNING INITIATIVES												
Own assessment	4As	CDS			Shorouk			O&OD			IDP			
		+1	0	-1	+1	0	-1	+1	0	-1	+1	0	-1	
	Aspire	√					√		√				√	
	Avoid			√		√				√				√
	Attain		√				√			√			√	
Act			√		√			√			√			

Source: Own construction (2013)

**Table 5.11: Frequency distribution of 4As assessment of planning initiatives in selected African countries**

Matrix	Average		CDS		Shorouk		O&OD		IDP	
	FREQ	%	FREQ	%	FREQ	%	FREQUENCY	%	FREQUENCY	%
<b>Strong (+1)</b>	0.5	12.5	1	25.0	-	-	-	-	1	25.0
<b>Moderate (0)</b>	1.75	43.8	1	25.0	2	50.0	2	50.0	2	50.0
<b>Weak (-1)</b>	1.75	43.8	2	50.0	2	50.0	2	50.0	1	25.0
<b>Total</b>	4	100	4		4	100	4	100	4	100

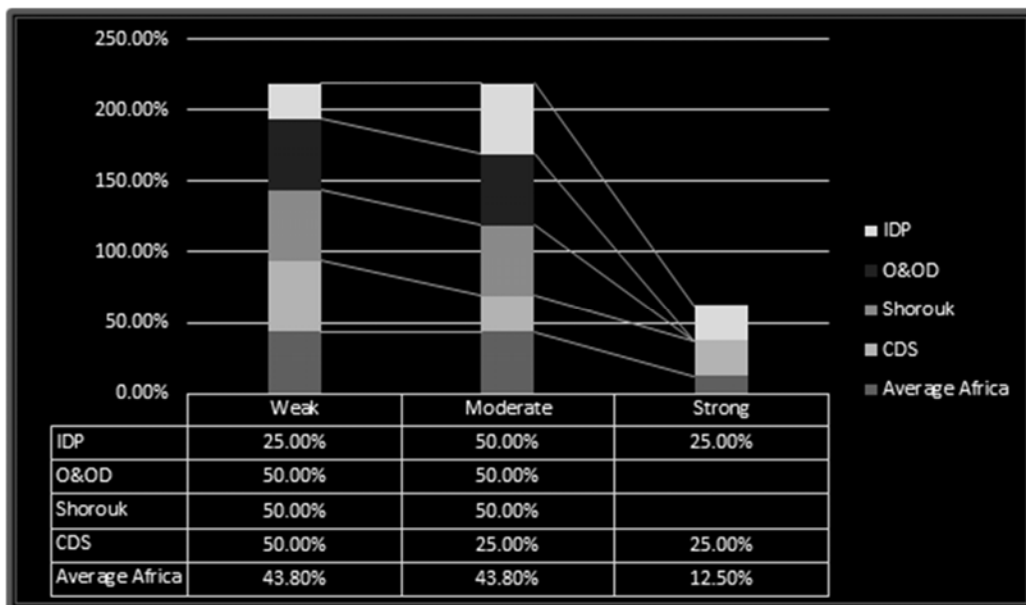
Source: Own construction (2013)

The corresponding descriptive statistics that indicate the capacities of the initiatives informs **Figure 5.5** below. The capacities of the initiatives were further synthesized and shown in **Figure 5.6** below. While the Shorouk and O&OD initiatives share similar capacity traits, the CDS and IDP initiatives exhibit almost symmetrical capacity traits but for the redistribution of the percentages of moderate capacity category.



**Figure 5.5: Distribution of the capacities of planning initiatives to achieve spatial regional integration in Africa**

Source: Own construction (2013)



**Figure 5.6: Synthesis of the capacities of planning initiatives to achieve spatial regional integration**

Source: Own construction (2013)

The findings from these sets of analysis and synthesis are summarized below:

- The IDP initiative exhibits the best disposition towards compliance with the new spatial planning theoretical framework that has developed since the 1980s.
- Planning initiatives in selected African countries are generally weak spatial planning instruments. They are all weak in spatial integration but somehow strong in resource mobilization.
- Planning initiatives in selected African countries cumulatively indicate very low percentages of a strong capacity to deliver spatial regional integration in the continent as indicated in **Figure 5.6**,
- The compliance of planning initiative with neo-liberal planning is on a higher level in South Africa and Egypt compared with the other initiatives that were studied.

The analysis of literature summarily indicates lots of dynamism in the system as informality gives an impetus. The new planning paradigm introduced by neo-liberal planning seems to be gaining some foothold but it is not delivering integration because conceptually it is not form-based and economic and spatial planning is yet to integrate. However, the new theoretical framework which is identified as having developed since 1960 has been found to influence the conception of planning initiatives in Africa. Among the four African planning initiatives examined, the IDP in South Africa seems to be more compliant with the new theoretical framework. Further examination is anticipated to establish the status of the new framework. To this end the next section will examine country profiles with the intent to determine their disposition towards the new planning paradigm. In other words, the presence of an institutional base for the take-off of the new planning paradigm will be examined. Ten countries were isolated for this investigation.

### **5.7 MCA analysis of secondary data on selected African countries**

With the preceding analysis of secondary data on thematic areas in spatial planning for selected African countries, an adequate knowledge base has been built to enable engagement in assessing country profile compliance with the options (variables) of the new theoretical framework. How the assessment flows is that countries are appraised to be compliant to the options in the theoretical framework where the country profile collaborates directly or indirectly the criteria set for the options. Such positive appraisals are identified with a shade as shown in **Table 5.12** below and further analysed in **Graphs (1 and 2)** below.

**Table 5.12: Indication of compliance with options (variables) in the new theoretical framework of spatial planning in selected African countries**

MATRIX		AFRICAN COUNTRIES														
		OBJECTIVES	OPTIONS	DRC	ANGOLA	MALI	EGYPT	SENEGAL	KENYA	NIGERIA	S/AFRICA	TANZANIA	ETHIOPIA	TOTAL	%	CRITERIA
Theoretical framework	The concept of urban environment	Systems approach												2	0.8	Study of system of base, Deep structure, superficial structure.
		Spatial approach												1	0.4	Delineation of urban core, urban outer ring (fringe area), urban outer ring (hinterland area).
		Urban structure approach												5	2.0	Concentric zone theory; sector theory; multi-sector theory.
	Statutory planning	Provisional documents												4	1.6	Framework plans
		Operational documents												8	3.1	Planning schemes; Layout schemes; action plans
		Regulatory documents												9	3.5	Normative (informal) standards
	Spatial planning	Urban form												2	0.8	Land-use densities, patterns, functions,
		Urban growth management												3	1.2	UGB, UDB, greenbelt, urban service limit, urban edge.
		Use of space (Land use control)												8	3.1	Market force as determinant factor.
	Nature of planning	Informal												7	2.7	Non-professional planning; Sectoral Development Planning; Sub-Area Dev. Planning.
		Developmental												10	3.9	Project (facility) plans; economic plans.
		Organizational												5	2.0	Stakeholders' forum; Event-oriented planning process.

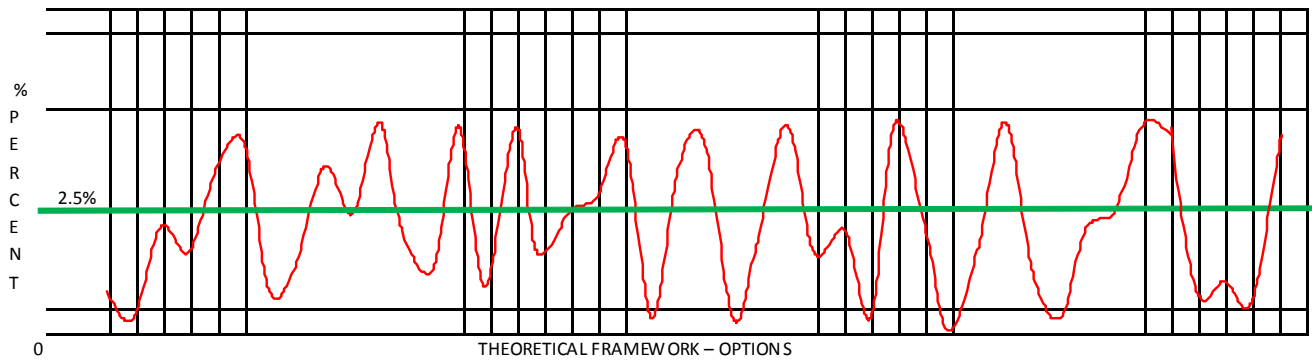
		Visionary											3	1.2	Long term objectives; city vision statement; mind set; outlook issues.
<b>Purpose of planning</b>		Economic											10	3.9	GDP, Productivity; Employment; Use of resources; infrastructure planning, etc.
		Cultural											2	0.8	Conservation of heritage issues; cityscape concerns; civic identity concerns, etc.
		Health											10	3.9	Urban sanitation measures; urban quality control, etc.
		Form											4	1.6	Urbanity standards, etc.
<b>Planning instruments</b>		Planning initiative											6	2.4	Urban planning and local planning approach, etc.
		Planning perspective											6	2.4	Process-oriented planning (neo-liberal planning).
		Planning framework											7	2.7	Guideline plans.
<b>Participatory process</b>		Consultative											9	3.5	Professionals are under no obligation to take on board people's views.
		Interactive											1	0.4	Groups take control over local decisions and determine how available resources are used.
		Functional											8	3.1	Participation is seen by external agencies as a means to achieve project goals, especially reduced costs.
		Manipulative											9	3.5	Participation simply pretence by representatives on official boards who have no power.
		Passive											1	0.4	People participate by being told what has been decided or has already happened.
		Self-mobilization											4	1.6	People participate by taking initiatives independently of external institutions to change systems.
		Participation for Material incentives											10	3.9	People participate by contributing resources, for example labour, in return for material incentives.
<b>Planning methodology</b>		Classic											4	1.6	Survey-analysis-design approach
		Rational											5	2.0	Participatory approach
		Neo-classic											1	0.4	New-master planning approach
<b>Urbanism</b>		New urbanism											10	3.9	Smart growth
		Sustainable urbanism											5	2.0	Design-oriented approach to planned development: relative density
		Creative urbanism											0	0	Culture-based urban design
<b>Planning</b>		Formal expertise										4	1.6	Planning professionalism; scientific database; use of planning theories &	

<b>knowledge</b>																	concepts, etc.	
	Informal expertise												10	<b>3.9</b>			Stakeholders' forum; town hall meetings, opinion poll, etc.	
	<b>Plan evaluation technique</b>	Planning as control of the future												10	<b>3.9</b>			Non-implementation of plan.
		Process of decision-making												3	<b>1.2</b>			Decision-making methodology; monitoring activities
		Intermediate technique												1	<b>0.4</b>			Plan alteration irrespective of implementation.
	<b>Regional integration</b>	Spatial integration												5	<b>2.0</b>			Planning based on regional classifications: urban region, functional region, physical formal region, economic formal region, planning region, regional master plans, etc.
		Space economy												6	<b>2.4</b>			National Urban Development Strategies (NUDS)
		Regional connectivity												10	<b>3.9</b>			Regional road network; functional flow-chart (development corridors)
		Economic integration												10	<b>3.9</b>			Economic reforms; political reforms, etc.
	<b>Cross-cutting issues</b>	Heritage of city development in Africa												2	<b>0.8</b>			Civic identity; local ownership of plans
Urbanization													3	<b>1.2</b>			Urban policy	
Urban growth													2	<b>0.8</b>			Spatial growth issues: qualitative, quantitative, structural, urban change, etc.	
Informal sector													10	<b>3.9</b>			Survivalist model	
	<b>TOTAL</b>	16	23	27	29	25	26	24	33	29	23	255	<b>100</b>					
	%	<b>6.3</b>	<b>9.0</b>	<b>10.6</b>	<b>11.4</b>	<b>9.8</b>	<b>10.2</b>	<b>9.4</b>	<b>12.9</b>	<b>11.4</b>	<b>9.0</b>	<b>100</b>						

Source: Own construction (2013)

Principles based on product-oriented planning

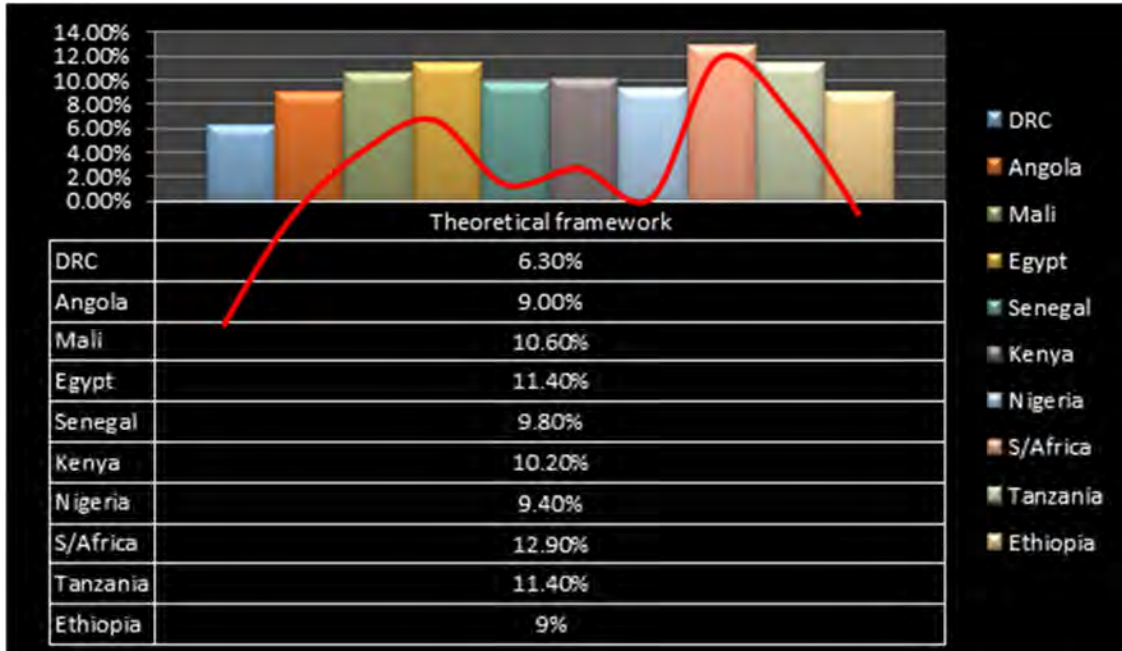
The two-way frequency chart generated in the preceding assessment is represented in **Graphs 1** and **2** below. **Graph 1** represents the descriptive statistics on the vertical axis. The forty-two options (variables) that were assessed generated a frequency of 255 positive appraisals. The threshold of performance of each variable is anticipated to be 2.4 per cent. It turned out that the mean performance of the frequency distribution is 2.5 per cent.



**Graph 1: Frequency chart of compliance with options in the theoretical framework of spatial and statutory planning in selected African countries**

Source: Own construction (2013)

**Graph 2** below represents the descriptive statistics on the horizontal axis. It illustrates the frequency of positive appraisals recorded per country.



**Graph 2: Column diagram indicating the level of compliance with the theoretical framework of spatial and statutory planning in selected African countries.**

Source: Own construction (2013)

The findings from this analysis are summarized below:

- The level of mean performance at roughly 2.5% is above the average threshold of 2.4% anticipated per variable for a total of 46 variables (options) considered. Thus the distribution of performance levels is healthy,
- The bulk of issues beneath the mean average line are form-based issues and those above are mainly developmental economics, informal expertise and participatory issues,
- The most compliant country in terms of the new theoretical framework is South Africa and the least is the DRC, and
- The compliance identified is largely in principle, especially in the cases of Tanzania and perhaps Kenya.



The investigation of country profiles confirmed that the ten countries are favourably disposed to the new planning theoretical framework for planning however in varying degrees with South Africa topping the list. But it was found that all the countries investigated were deficient in the variables that are concerned with form-based planning. Most of the countries are disposed to use informal expertise and participation is anything but interactive. It is noticed that the purpose of planning is focused on economics because planning is increasingly seen as a development activity; hence planning initiatives are evaluated on the basis of plan implementation. The need for regional connectivity and economic integration are some of the other high points of positive disposition towards the new planning theory. However, the extent to which compliance is captured in practice required further investigation. This provides the rationale to investigate the possibility of achieving participatory planning and integration in the context of non-form based planning. The next section is devoted to this investigation and the IDP initiative in South Africa is isolated for this purpose. Empirical investigations were conducted with planning questionnaire and personal interviews.

## **5.8 Analysis of the IDP in the Tlokwe, Matlosana and Rustenburg municipalities**

The two control points for the analysis that are held constant are the template containing IDP theoretical framework standard and the configuration of desired practice response. The analysis is based on the provisions of IDP documents and educated opinion guided by background information on the IDP initiative. The analysis is contained in a performance matrix and frequency tables and line diagrams. Overall the analysis of the Tlokwe IDP is contained from **Tables 5.13 to 5.16**; for the Matlosana IDP from **Tables 5.17 to 5.20**, and for the Rustenburg IDP from **Tables 5.21 to 5.24**.

### **5.8.1 Performance matrix of the IDP in Tlokwe municipality**

The analysis of the Tlokwe IDP document in **Table 5.13** indicates that planning is typically event-oriented and engages in extensive consultation. It adopts a holistic multi-sectoral planning approach and seeks legitimacy through legislative provision. It relies heavily on sectoral planning processes. Sectoral analysis was used to elaborate on the existing conditions and asset-based approach was applied in the process to assess available resources. The document stipulated a vision statement which was backed up

with medium-term objectives. Priority actions were identified with measurable indicators and subdued spatial integration elements which is typical of neo-liberal planning.

**Table 5.13: Matrix of analysis of the IDP of the Tlokwe Local Municipality**

	MATRIX			IDP TLOKWE		OWN ASSESSMENT		
	OBJECTIVES	OPTIONS	CRITERIA	Practice	Desired practice	Principles & practice	Practice & d/practice	Principles & d/practice
<b>IDP/SDF PRINCIPLES</b>	<b>Links and relations with higher-order plans</b>	<b>NSDP</b>	<b>Policy framework</b>	Acknowledged in PSDF	Yes	M	P	P
		<b>PSDF,PGDS</b>	<b>Strategic framework</b>	Acknowledged	Yes	M	P	P
		<b>DMSDF</b>	<b>Spatial framework</b>	Acknowledged	Yes	M	P	P
	<b>Theoretical base</b>	<b>Purpose</b>	<b>Redress the legacy of apartheid</b>	Yes	Yes	P	P	P
			<b>Conflict resolution</b>	No indication found	Yes	N	N	P
		<b>Process</b>	<b>Event-centred</b>	Yes, indicated by Tlokwe Process Plan	No, activity-centred.	P	N	N
			<b>Consultative</b>	Yes, extensive approach	Yes (Intensive )	P	P	P
		<b>Nature of planning</b>	<b>Strategic</b>	Yes, indicated perhaps by strategies proposed for every sector.	Yes	P	P	P
			<b>Sectoral</b>	Yes	Not necessarily	P	M	M
			<b>Integrative</b>	No	Yes	N	N	P
		<b>Outlook</b>	<b>Implementation -oriented</b>	Yes, indicated in portfolio evidence contained in Key Performance Area chart.	Growth-oriented	P	M	M
			<b>Smart objectives</b>	Yes, indicated variously	Yes	P	P	P
		<b>Definitions of IDP</b>	<b>Integrating sectoral strategies (FEDPD)</b>	Yes, through horizontal integration intentions	No	P	N	N
	<b>Legislative (DPLG cited in Gibbens, 2008:31)</b>		Yes	No	P	N	N	
	<b>Intergovernmental coordination (IDP Nerve Centre, 2004)</b>		Not necessarily	No	M	P	N	
	<b>Dynamic (ASALGP cited in Gibbens, 2008: 7)</b>		No	No	N	P	N	
	<b>Planning methodology (Pieterse cited in Gibbens, 2008)</b>		Not necessarily	Yes	M	N	P	
	<b>Holistic multi-sectoral</b>		Yes	Yes	P	P	P	

			<b>planning (Todes, 2004)</b>						
			<b>Municipal activity (CSIR cited in Gibbens, 2008:32).</b>	Yes	Moderate	P	M	M	
<b>IDP dimension</b>	<b>Natural</b>		<b>Integrated Environmental Planning (IEP)</b>	Yes, supported by Environmental Management Plan (EMP), IWMP	System of base issues	P	M	M	
	<b>Economic</b>		<b>Local Economic Development (LED) plan</b>	Yes	Yes, in the context of regional analysis.	P	P	P	
	<b>Institutional</b>		<b>Integrated Institutional Plan</b>	Moderate, indicated explicitly in disaster risk management and perhaps institutional arrangement for IDP process.	Yes	M	P	P	
	<b>Spatial</b>			<b>Spatial Development Framework (SDF)</b>	Acknowledged	Yes linked with Integrated Environmental Planning (IEP)	M	P	P
				<b>Land-use scheme(s)</b>	No indication found	Yes, in the form of sector development plans (i.e. Planned Unit Developments) controlled within the SDF.	N	N	P
	<b>Social</b>			<b>Equity-focused planning</b>	Moderate, indicated in employment equity plan	Form-based with culture and equity as primary indicators.	M	N	M
				<b>Sensitivity to inclusive planning</b>	No indication found	Moderate	N	M	M
	<b>Cross-cutting issues</b>			<b>Poverty alleviation</b>	Acknowledged	Explicitly fundamental.	M	P	P
				<b>Gender</b>	Acknowledged	Moderate	M	P	M
				<b>HIV/AIDS</b>	Acknowledged	Moderate	M	P	M
				<b>Urban and rural development</b>	Yes, provided urban and rural spatial development guidelines	Yes, with emphasis on form and function.	P	P	P

	IDP process	Analysis	Existing level of development	Yes, elaborate sectoral analysis	Yes, explained in terms of space-activity relationships.	P	P	P
			Priority issues and problems	Yes, identified with measurable objectives and the adoption of systems thinking approach to deal with problems	Yes	P	P	P
			Causes of priority issues/problems	Moderate	Yes, with focus on remote causal factors	M	M	P
			Available resources	Yes, indicated by assets-based approach to strategies and natural resource assessment.	Robust assets-based analysis	P	P	P
		Strategy	Visioning process (including mind-set and outlook issues and vision drivers)	Vision statement, mission, values and strategic objectives indicates the process	Visionary, long term for structural reforms. Based on political-cum-technical analysis.	M	P	P
			Long term objectives	No, medium-term objectives available although there is an isolated mention of CDS with a horizon of 15-20 yrs.	Yes	N	N	P
			Priority actions (Project identification)	Yes	Yes	P	P	P
		Projects	Performance indicators	Yes, indicated in Key Performance Areas (KPAs) and Organizational Performance Management System, and Tlokwe Performance model.	Yes, indicated by milestones (deliverables)	P	p	P
			Funding	Yes, from government allocation (Capital budget)	Mobilization of private sector investment to	P	M	P

					complement public sector allocations.			
			<b>Project time-frame</b>	Yes	Yes	P	P	P
			<b>Management (outputs, targets, locations)</b>	Yes, contained in annual performance plan.	Yes	P	P	P
		<b>Integration</b>	<b>5-year financial plan</b>	Yes, indicated in Budgeted Financial Performance (2011-2014)	Funding strategy	P	M	M
			<b>5-year capital investment programme (CIP)</b>	Yes, indicated by Tlokwe City Capital budget (2011-2015)	Private sector and external development partners' involvement.	P	M	M
			<b>Integrated spatial development framework</b>	No	Yes, in the form of Plan Implementation Programme (PIP).	N	N	P
			<b>Integrated sectoral programme (LED, HIV, Poverty alleviation, gender equity, etc.)</b>	Yes, focused on LED, ITP, and IWMP.	Moderate, preferably Project development framework.	P	M	M
			<b>Consolidated monitoring/performance management system</b>	Yes, indicated by a draft performance management framework	Yes	P	P	P
			<b>Disaster risk management plan (DRMP)</b>	Yes, located in the Department of Public safety	Yes	P	P	P
			<b>Institutional plan</b>	Yes, indicated by KPA	No	P	N	N
			<b>Reference to sector plans</b>	Yes, especially housing sector plan	Moderate	P	M	M
			<b>Approval</b>	<b>Council deliberation</b>	Presumed	Validation workshop	M	M
		<b>Public comment</b>		Presumed	Yes	M	P	P
		<b>Adoption and Gazetting</b>		Yes	Yes, Legal adoption.	P	P	P

Source: Own construction (2013)

As indicated in **Table 5.14** the Tlokwe IDP document complies very well with the principles of the IDP initiative. The relationship between existing and desired practice as indicated in **Table 5.15** below is average, requiring adjustments with regards to alignment and integration, its status as a planning methodology, spatio-physical content, and visioning process. As can be seen in **Table 5.16** below the Tlokwe IDP principles comply more fully with desired practice, especially with regards to its appreciation of existing conditions and resource analysis and the visionary disposition. Its low points have to do with the definition of the IDP initiative and the inclination towards sectoral planning.

**Table 5.14: Analysis of relationships between principles and practice of the IDP in Tlokwe**

RELATIONSHIPS	CODE	FREQUENCY	PERCENTAGE
STRONG	P	30	57.7
MODERATE	M	15	28.8
WEAK	N	7	13.5
TOTAL	T	52	100

Source: Own construction (2013)

**Table 5.15: Analysis of the relationship between existing and desired practice of the IDP in the Tlokwemunicipality**

RELATIONSHIPS	CODE	FREQUENCY	PERCENTAGE
STRONG	P	29	55.8
MODERATE	M	12	23.1
WEAK	N	11	21.1
TOTAL	T	52	100

Source: Own construction (2013)

**Table 5.16: Analysis of the relationship between principles and desired practice of the IDP in the Tlokwe municipality**

RELATIONSHIPS	CODE	FREQUENCY	PERCENTAGE
POSITIVE	P	33	63.5
MODERATE	M	13	25.0
NEGATIVE	N	6	11.5
TOTAL	T	52	100

Source: Own construction (2013)

The Tlokwe IDP document requires minimal adjustments in order to improve its capacity for integrated planning but the adjustment is critical because it borders on conceptual redefinition. Simultaneously it needs to improve on its status as a planning methodology.

### **5.8.2 Performance matrix of the IDP in the Matlosana municipality**

The analysis of the Matlosana IDP initiative in **Table 5.17** indicates that it is properly aligned and integrated with other levels of planning although it inherently lacks integrative attributes for spatial planning. It is committed to participatory processes and identifies with extensive consultation; hence it is sensitive to inclusive planning. Its outlook is more of a development programme than a planning methodology. This reflects in its skewed treatment of existing condition studies which are focused on socio-economic issues without bothering with spatial issues. The disregard for spatial issues is further reinforced with the status of SDF. The SDF is not empowered to determine land use; in fact it is not available because attention is focused on land reform projects. The compliance of IDP practice with its principles is not impressive. **Table 5.18** below indicates a 48 per cent compliance level. The bulk of criteria for compliance are indeterminate.

As indicated in **Table 5.19** below the relationship between existing and desired practice fell, relative to the relationship between principles and practice. Lots of weaknesses are identified in the relationship especially as it relates to their disposition on process, nature of planning, definition of planning as methodology, focus on the IEP, attention on cross-cutting issues, duration of planning objectives, and the status of the SDF, etc. The relationship between principles and desired practice reflected in **Table 5.20** below is much better. Areas of weakness are drastically reduced; however, adjustments are required in the planning process, the nature of planning, the planning outlook, definitions of planning, cross-cutting issues, the institutional plan and plan-approval processes.



**Table 5.17: Matrix of analysis of the IDP in Matlosana**

	MATRIX			IDP MATLOSANA		OWN ASSESSMENT		
	OBJECTIVES	OPTIONS	CRITERIA	Practice	Desired practice	Principles & practice	Practice & d/practice	Principles & d/practice
IDP/SDF PRINCIPLES	Links and relations with higher order plans	NSDP	Policy framework	Yes, via National and Provincial guidelines as well as the Southern District SDF.	Yes	P	P	P
		PSDF,PGDS	Strategic framework	Yes, indicated in NWSDF implications for Matlosana and remarkably in Disaster Risk Management Programmes.	Yes	P	P	P
		DMSDF	Spatial framework	Yes, indicated in Integrated Transport Plan (ITP) of the City of Matlosana which is linked with the Southern District Municipality ITP.	Yes	P	P	P
	Theoretical base	Purpose	Redress of the legacy of apartheid	Superficial, potentially rhetoric and limited to diagnosis.	Yes	N	P	P
			Conflict resolution	No indication	Yes	N	P	P
		Process	Event-centred	Implicit.	No, activity-centred.	M	N	N
			Consultative	Yes (Extensive).	Yes (Intensive )	P	P	P
		Nature of planning	Strategic	Yes, with 10 strategic focus.	Yes	P	P	P
			Sectoral	Sectoral project development indicated.	Not necessarily	P	M	M
			Integrative	No	Yes	N	N	P
		Outlook	Implementation -oriented	Linking projects with budget is indicated but not verified.	Growth-oriented	M	M	N
			Smart objectives	Yes, on the bases of which Directorates were set-up to handle 'Service delivery'	Yes	P	P	P
	Definitions of IDP	Integrating sectoral strategies (FEDPD)	Yes	No	P	N	N	
		Legislative (DPLG cited in	Yes, indicated by post-1994	No	P	N	N	

		<b>Gibbens, 2008:31)</b>	environmental laws and by-laws.				
		<b>Intergovernmental coordination (IDP Nerve Centre, 2004)</b>	No	No	N	P	N
		<b>Dynamic (ASALGP cited in Gibbens, 2008:7)</b>	No, more of routine project development activity.	No	N	P	N
		<b>Planning methodology (Pieterse cited in Gibbens, 2008)</b>	No, more of a programme in, practical terms, sought through participatory process.	Yes	N	N	P
		<b>Holistic multi-sectoral planning (Todes, 2004)</b>	Moderate	Yes	M	M	P
		<b>Municipal activity (CSIR cited in Gibbens, 2008:32).</b>	Yes	Moderate	P	M	M
<b>IDP dimension</b>	<b>Natural</b>	<b>Integrated Environmental Planning (IEP)</b>	Awareness campaigns and Strategic Environmental Assessment tool developed in 2000 which is considered obsolete requiring review.	System of base issues	M	N	N
	<b>Economic</b>	<b>Local Economic Development (LED) plan</b>	Objectives and programme of activities indicated. Perceived as an approach of facilitating national and provincial programmes on transportation and democracy.	Yes in the context of regional analysis.	P	P	P
	<b>Institutional</b>	<b>Integrated Institutional Plan</b>	No	Yes	N	N	N
	<b>Spatial</b>	<b>Spatial Development Framework (SDF)</b>	Yes, with a detailed database on existing condition and project development status. Unfortunately the SDF is not empowered to determine land use but it can facilitate.	Yes linked with Integrated Environmental Planning (IEP)	P	P	P
		<b>Land-use scheme(s)</b>	Yes, Spatial strategies indicated for CBD area, community centres, neighbourhood nodes, etc. Provision is made for land-use management scheme in line with national guidelines.	Yes, in the form of Sector development plans (i.e. planned unit developments) controlled with the SDF.	P	P	P

		<b>Social</b>	<b>Equity-focused planning</b>	Implicit, perhaps in housing programme.	Form-based with culture and equity as primary indicators.	M	M	N
			<b>Sensitivity to inclusive planning</b>	High, given the plethora of meeting announcements.	Moderate	P	M	M
		<b>Cross-cutting issues</b>	<b>Poverty alleviation</b>	Implicit as objective of sectoral development.	Explicitly fundamental.	M	M	P
			<b>Gender</b>	Budget for women empowerment indicated.	Moderate	M	M	M
			<b>HIV/AIDS</b>	Graphic information provided	Moderate	M	M	M
			<b>Urban and rural development</b>	Development corridors indicated as spatial proposals for urban areas. Provision is made for agro-based rural settlement development.	Yes, with emphasis on form and function.	P	P	P
	<b>IDP process</b>	<b>Analysis</b>	<b>Existing level of development</b>	Explained in socio-economic terms.	Yes, explained in terms of space-activity relationships.	M	N	P
			<b>Priority issues and problems</b>	Yes, with a focus on transportation especially the N12 route as a means to redress spatial imbalance.	Yes	P	P	P
			<b>Causes of priority issues/problems</b>	Yes, indicated in apartheid planning and the legacy of distortions in spatial development.	Yes, with focus on remote causal factors	P	P	P
			<b>Available resources</b>	Implicit	Robust assets-based resource analysis.	M	M	P
<b>Strategy</b>		<b>Visioning process (including mind-set and outlook issues and vision drivers)</b>	Existential, short-term indicated in "Agenda 16" (IDP) vision statement linked with national, provincial, and district level visions. Based mainly on political analysis.	Visionary, long term for structural reforms. Based on political-cum-technical analysis.	M	N	P	
		<b>Long-term objectives</b>	No	Yes	N	N	P	
		<b>Priority actions (Project identification)</b>	Yes, indicated on ward and community bases.	Yes	P	P	P	

		<b>Projects</b>	<b>Performance indicators</b>	Yes, indicating level of project implementation and Disaster Risk Management Programmes.	Yes, indicated by milestones (deliverables)	P	N	P
			<b>Funding</b>	Government budgetary allocation.	Mobilization of private sector investment to complement public sector allocations.	P	M	P
			<b>Project time-frame</b>	Yes, indicated in action programme.	Yes	P	P	P
			<b>Management (outputs, targets, locations)</b>	Yes, indicated under service delivery.	Yes	P	P	P
		<b>Integration</b>	<b>5-years financial plan</b>	Sectoral cost estimates and budgetary allocations indicated.	Funding	M	M	P
			<b>5-years capital investment programme (CIP)</b>	Indicated for housing development.	Private sector and external development partners' involvement.	M	N	M
			<b>Integrated spatial development framework</b>	Not available - rather a focus on land reform projects. Perhaps spatial proposals for urban development remedy the situation.	Yes, in the form of Plan Implementation Programme (PIP).	N	N	P
			<b>Integrated sectoral programme (LED, HIV, Poverty alleviation, gender equity, etc.)</b>	Identified in activity programme for IDP preparation particularly Integrated HIV/AIDS programme. Isolated directorate programme indicated.	Moderate, preferably project development framework.	M	M	M
			<b>Consolidated monitoring/performance management system</b>	Elaboration of statutory provisions indicated.	Yes	P	P	P
			<b>Disaster Risk Management Plan (DRMP)</b>	Yes, indicated in Matlosana LM DRMP complied in 2011. Environmental studies indicated and the need to protect ecosystems highlighted in terms of	Yes	P	P	P

			spatial guidelines.					
			<b>Institutional plan</b>	Partial, subsumed in sectoral plans.	Moderate	M	M	M
			<b>Reference to sector plans</b>	Yes	No	P	N	N
		<b>Approval</b>	<b>Council deliberation</b>	Implied	Validation workshop	M	N	M
			<b>Public comment</b>	Implied	Yes	M	M	P
			<b>Adoption and gazetting</b>	Municipal manager's consent indicated.	Yes, Legal adoption.	M	N	P

Source: Own construction (2013)

NOTE: P= Positive; M = Moderate; N = Negative

**Table 5.18: Analysis of relationships between principles and practice of the IDP in Matlosana**

RELATIONSHIPS	CODE	FREQUENCY	PERCENTAGE
POSITIVE	P	25	48.1
MODERATE	M	18	34.6
NEGATIVE	N	9	17.3
TOTAL	T	52	100

Source: Own construction (2013)

**Table 5.19: Analysis of the relationship between existing and desired practice of the IDP in Matlosana**

RELATIONSHIPS	CODE	FREQUENCY	PERCENTAGE
POSITIVE	P	21	40.4
MODERATE	M	15	28.8
NEGATIVE	N	16	30.8
TOTAL	T	52	100

Source: Own construction (2013)

**Table 5.20: Analysis of the relationship between principles and desired practice of the IDP in Matlosana**

RELATIONSHIPS	CODE	FREQUENCY	PERCENTAGE
POSITIVE	P	33	63.5
MODERATE	M	9	17.3
NEGATIVE	N	10	19.2
TOTAL	T	52	100

Source: Own construction (2013)

Overall there are some critical observations on the Matlosana IDP initiative. The pre-2004 SDF had no link with higher-order plans. The SDF is usurped through IEP, land-use schemes which tend to duplicate the effort of the SDF, financial plans, institutional plans and sectoral plans. In the circumstances, the IDP initiative tends to regard integration as a summation of priority projects identified on ward bases. There is a very strong need to reposition the SDF and enhance the possibility of integrated planning and development in the municipality.

### **5.8.3 Performance matrix of the IDP in the Rustenburg municipality**

As represented in **Table 5.21** below the Rustenburg IDP initiative aligns properly with higher order plans. It adopts activity-centred processes and engages in extensive consultation to deliver sectoral planning. Its outlook is implementation-oriented due mainly to its link with the budget. The Rustenburg IDP seeks legitimacy through legislation and it identifies with the definition of the IDP that emphasizes a planning methodology. Therefore it is visionary given its long-term objectives. Remarkably it is linked with the CDS initiative. Its existing condition studies are good but its resource analysis is poor. Cross-cutting issues attract lots of attention, a scenario that is perhaps responsible for the identification with sector plans. There is no indication of an integrated SDF, although there are indications that its SDF shall serve as a guide to decision-makers. Spatial integration is potentially endangered.

**Table 5.21: Matrix of analysis of the IDP in Rustenburg**

	MATRIX			IDP RUSTENBURG		OWN ASSESSMENT		
	OBJECTIVES	OPTIONS	CRITERIA	practice	desired practice	Principles & practice	practice & d/practice	Principles & d/practice
IDP/SDF PRINCIPLES	Links and relations with higher order plans	NSDP	Policy framework	Yes, indicated as guiding development perspective for the IDP review.	Yes	P	P	P
		PSDF,PGDS	Strategic framework	Yes, through targeted projects to support ASGI-SA	Yes	P	P	P
		DMSDF	Spatial framework	Yes, also through ASGI-SA.	Yes	P	P	P
	Theoretical base	Purpose	Redress the legacy of apartheid	Moderate	Yes	M	P	P
			Conflict resolution	No indication	Yes	N	M	P
		Process	Event-centred	No, activity-centred indicated in the process plan.	No, activity-centred.	N	P	N
			Consultative	Yes (extensive) at ward and stakeholder level.	Yes (Intensive )	P	P	P
		Nature of planning	Strategic	Moderate	Yes	M	P	P
			Sectoral	Yes	Not necessarily	P	M	N
			Integrative	No	Yes	N	N	P
		Outlook	Implementation -oriented	Yes, IDP is linked with budget.	Growth-oriented	P	M	N
			Smart objectives	Yes, given strategic thrusts of Rustenburg 2020.	Yes	P	P	P
		Definitions of IDP	Integrating sectoral strategies (FEDPD)	Partially	No	M	M	N
			Legislative (DPLG cited in Gibbens, 2008:31)	Yes, every activity refers to an enabling law.	No	P	M	N
			Intergovernmental coordination (IDP Nerve Centre, 2004)	Yes, Intergovernmental Relations Plan into the IDP indicated	No	P	M	N
			Dynamic (ASALGP cited in Gibbens, 2008:7)	No	No	N	P	N
			Planning methodology (Pieterse cited in Gibbens, 2008)	Yes, committed to aligning development activities in the municipal with National NSDP, PSDF, PGDS, and DMSDF.	Yes	P	P	P
			Holistic multi-sectoral	No	Yes	N	N	P



			<b>planning (Todes, 2004)</b>						
			<b>Municipal activity (CSIR cited in Gibbens, 2008:32).</b>	Yes	Moderate	P	M	M	
<b>IDP dimension</b>	<b>Natural</b>		<b>Integrated Environmental Planning (IEP)</b>	Yes, RLM Integrated Waste Management Planning (IWMP); RLM Air Quality Management Plan; Rustenburg Open Spaces and Heritage Sites Management Plan (ROSHMAP) indicated.	System of base issues	P	M	P	
			<b>Economic</b>	<b>Local Economic Development (LED) plan</b>	Yes and research-oriented.	Yes in the context of regional analysis.	P	P	P
			<b>Institutional</b>	<b>Integrated Institutional Plan</b>	Implicit, line function departments indicated.	Yes	M	M	P
	<b>Spatial</b>		<b>Spatial development framework (SDFs)</b>	Yes, serves as a guide to decision-makers and investors.	Yes linked with Integrated Environmental Planning (IEP)	P	P	P	
			<b>Land use scheme(s)</b>	Yes, indicated in Rustenburg Land Use Management Scheme.	Yes, Sector development plans (i.e. Planned Unit Developments) controlled with the SDF.	P	P	P	
	<b>Social</b>		<b>Equity-focused planning</b>	Moderate	Form-based with culture and equity as primary indicators.	M	M	M	
			<b>Sensitivity to inclusive planning</b>	Moderate	Moderate	M	P	M	
	<b>Cross-cutting issues</b>		<b>Poverty alleviation</b>	Yes, indicated in proposed high-quality social support system.	Explicitly fundamental.	P	P	P	
			<b>Gender</b>	Yes, indicated in situation analysis and proposed high-quality social support system.	Moderate	P	M	M	
			<b>HIV/AIDS</b>	Yes, HIV/AIDS programmes indicated in proposed high-quality social support system.	Moderate	P	M	M	

		<b>Urban and rural development</b>	Yes, indicated in CDS that informed Rustenburg 2020	Yes, with emphasis on form and function.	P	P	P
<b>IDP process</b>	<b>Analysis</b>	<b>Existing level of development</b>	Yes, existing development surface indicated.	Yes, explained in terms of space-activity relationships.	P	P	P
		<b>Priority issues and problems</b>	Yes, sectoral provisions indicated.	Yes	P	P	P
		<b>Causes of priority issues/problems</b>	No indication found	Yes, with focus on remote causal factors	N	N	P
		<b>Available resources</b>	No collated indication found although there are references to mining and heritage resources.	Explicit assets-based resource analysis.	N	M	P
	<b>Strategy</b>	<b>Visioning process (including mind-set and outlook issues and vision drivers)</b>	Yes, contained in CDS known as Rustenburg 2020.	Visionary, long-term for structural reforms. Based on political-cum-technical analysis.	P	P	P
		<b>Long term objectives</b>	Yes, linked with Rustenburg 2020	Yes	P	P	P
		<b>Priority actions (Project identification)</b>	Yes,	Yes	P	P	P
	<b>Projects</b>	<b>Performance indicators</b>	KPIs (milestones) indicated	Yes, indicated by milestones (deliverables)	P	P	P
		<b>Funding</b>	Yes, including grants, external loans, own funding, etc.	Mobilization of private sector investment to complement public sector allocations.	P	P	P
		<b>Project time-frame</b>	Yes, indicated in transport projects	Yes	P	P	P
		<b>Management (outputs, targets, locations)</b>	Partial, sectoral information indicated.	Yes	M	P	P
	<b>Integration</b>	<b>5-years financial plan</b>	Rustenburg annual financial statement indicated; sectoral cost provisions (e.g.	Funding	M	M	P

			Transportation services, Electrical Engineering Services) indicated				
		<b>5-year capital investment programme (CIP)</b>	Yes, CIP indicated apart from sectoral provisions.	Private sector and external development partners' involvement.	P	P	P
		<b>Integrated spatial development framework</b>	No indication	Yes, in the form of Plan Implementation Programme (PIP).	N	N	P
		<b>Integrated sectoral programme (LED, HIV, Poverty alleviation, gender equity, etc.)</b>	Yes, ITP indicated	Moderate, preferably project development framework.	P	M	M
		<b>Consolidated monitoring/performance management system</b>	Yes, Performance management indicated.	Yes	P	P	P
		<b>Disaster Risk Management Plan (DRMP)</b>	Yes, aligned with Provincial and District Policies.	Yes	P	P	P
		<b>Institutional plan</b>	Implicit	No	M	N	N
		<b>Reference to sector plans</b>	Yes, for alignment with IDP under Intergovernmental Relations Plan.	Moderate	P	M	M
	<b>Approval</b>	<b>Council deliberation</b>	Implied	Validation workshop	M	M	P
		<b>Public comment</b>	Implied	Yes	M	P	P
		<b>Adoption and gazetting</b>	Implied	Yes, Legal adoption.	M	P	P

Source: Own construction (2013)

NOTE: P= Positive; M = Moderate; N = Negative

The Rustenburg IDP practice properly interprets IDP principles. The data on **Table 5.22** below conveys this impression. The positive trend towards compliance indicates the need for upward adjustment of current indeterminate positions classified as moderate. Positive adjustment means the reduction of negative relationships. The anticipated adjustment is almost the situation represented in the relationship between practice and desired practice as shown in **Table 5.23** below. Similar adjustments are required for the relationship between principles and desired practice as shown in **Table 5.24** below. Upgrading of weak relationships by at least ten per cent is critical to achieve positive trends towards positive relationships.

**Table 5.22: Analysis of relationships between principles and practice of the IDP in Rustenburg**

RELATIONSHIPS	CODE	FREQUENCY	PERCENTAGE
POSITIVE	P	32	61.5
MODERATE	M	12	23.1
NEGATIVE	N	8	15.4
TOTAL	T	52	100

Source: Own construction (2013)

**Table 5.23: Analysis of the relationship between existing and desired practice of the IDP in Rustenburg**

RELATIONSHIPS	CODE	FREQUENCY	PERCENTAGE
POSITIVE	P	30	57.7
MODERATE	M	17	32.7
NEGATIVE	N	5	9.6
TOTAL	T	52	100

Source: Own construction (2013)

**Table 5.24: Analysis of the relationship between principles and desired practice of the IDP in Rustenburg**

RELATIONSHIPS	CODE	FREQUENCY	PERCENTAGE
POSITIVE	P	37	71.2
MODERATE	M	7	13.5
NEGATIVE	N	8	15.3
TOTAL	T	52	100

Source: Own construction (2013)

The summary of the results of the MCA analysis conducted for the three local IDP initiatives is contained in **Table 5.25** below. Note the consistently high percentage for positive relationships in all three scenarios examined. The percentages of positive relationships are higher than those of moderate relationships and those of moderate relationships are in turn higher than those of negative relationships. What is implied is that positive connections or linkages exist between principles, practice and desired practice; although to improve the linkage there is room for adjustments. The adjustments are prone to draw upon aspects of the IDP that exhibit weak relationships and these aspects are mainly linked with spatial integration issues such as the status of the SDF, integrated rather than sectoral planning, etc.

**Table 5.25: Summary of the MCA analysis of local IDP initiatives in South Africa**

Local Municipals	RELATIONSHIPS								
	Principles & Practice			Practice & Desired Practice			Principle & Desired practice		
	Positive	Moderate	Negative	Positive	Moderate	Negative	Positive	Moderate	Negative
<b>Tlokwe</b>	57.7	28.8	13.5	55.8	23.1	21.1	63.5	25.0	11.5
<b>Matlosana</b>	48.1	34.6	17.3	40.4	28.8	30.8	63.5	17.3	19.2
<b>Rustenburg</b>	61.5	23.1	15.4	57.7	32.7	9.6	71.2	13.5	15.3

Source: Own construction (2013)

The summary of findings is given thus:

- The performance of IDP frameworks varies but they all maintain positive compliance with the new theoretical framework,
- The relationship between existing and desired practice is positive although it varies in relation with compliance with principles,
- A strong positive relationship exists across the board between principles and desired practice,
- Weak relations are at a low ebb and more pronounced in the relationship between practice and desired practice,
- The capacity of IDPs to achieve spatial regional integration is generally below average although a comparative advantage exists between IDPs.

In the next sub-section a SWOT analysis is conducted to facilitate the assessment of the capacity of IDP initiatives to achieve spatial integration.

#### **5.8.4 SWOT analysis of the IDP in Tlokwe, Matlosana and Rustenburg municipalities**

This SWOT analysis provides the platform for assessing the capacity of IDP initiatives under investigation to deliver integrated spatial development. It is not clear what kind of platform the IDP provides. The way forward derives from this analysis because in spite of its theoretical role it seems that the IDP culture has more or less influenced the content of planning rather than modelling planning methodology. The IDP methodology which has remained within the confines of traditional budgetary planning approach is riddled with bureaucratic red tape. Represented in **Table 5.26** below is the SWOT analysis.

From the SWOT analysis and the other preceding analysis of IDP initiative the following conclusions were reached:

- i. The IDP is a neo-liberal planning instrument,
- ii. The IDP as an instrument for spatial planning is contestable,
- iii. Not all IDP documents are visionary,
- iv. The IDP conceptually lacks integrative elements. There is a need to mainstream integration,
- v. The SDF is a misplaced strategy because the SDF is conceptually invalid under an IDP culture,
- vi. The IDP lacks authority in practice.

At this point the prospects of the IDP to provide integrated planning possibilities are growing dimmer. Own assessment is engaged to reconsider the IDP instruments and establish their capacity to achieve integration.

**Table 5.26: Matrix of SWOT analysis of the IDP in the Matlosana, Rustenburg and Tlokwe municipalities**

MATRIX	IDP/SDF IN LOCAL MUNICIPALITIES		
	MATLOSANA	RUSTENBURG	TLOKWE
STRENGHT	<ul style="list-style-type: none"> <li>• Good relationship with higher order plans (NSDP, PGDS, DMSDF)</li> <li>• Strategic focus with smart objectives</li> <li>• Possesses SDF with detailed database</li> <li>• Spatial strategies manifest in sector designs and development corridors initiative for urban development</li> <li>• Service delivery programme (project time-frame, activity programme, management, etc.)</li> </ul>	<ul style="list-style-type: none"> <li>• Good relationship with higher order plans (NSDP, PGDS, DMSDF)</li> <li>• IDP/SDF perceived as a planning methodology</li> <li>• Activity-centred planning process</li> <li>• Strategic thrusts</li> <li>• Research-oriented LED</li> <li>• Provision for Land use management scheme</li> <li>• Connect with CDS initiative</li> <li>• Good diagnosis of existing conditions</li> <li>• Visionary planning with long-term objectives</li> <li>• Establishment of development milestones</li> <li>• Sustainable funding programme</li> </ul>	<ul style="list-style-type: none"> <li>• Holistic multi-sectoral approach</li> <li>• Good database</li> <li>• Smart measurable objectives</li> <li>• Asset-based approach</li> <li>• Research oriented</li> </ul>
WEAKNESSES	<ul style="list-style-type: none"> <li>• Lack of integrative elements</li> <li>• Poor perception of IDP as a planning methodology</li> <li>• Reducing the natural dimension of the IDP to awareness campaigns for environmental assessment</li> <li>• Non-spatial disposition to equity</li> <li>• Poor land use analysis</li> <li>• Existential visioning without long term objectives</li> <li>• Performance indicators not linked to development milestones</li> <li>• Funding focused on government allocation</li> </ul>	<ul style="list-style-type: none"> <li>• Lack of integrative elements</li> <li>• Limiting the natural dimension of planning to environmental planning</li> <li>• Reducing the SDF to guide instrument</li> <li>• Lack of analysis of causal factors of priority problems</li> <li>• Poor assessment of available resources</li> <li>• No integrated spatial development framework</li> <li>• Implied approval process</li> </ul>	<ul style="list-style-type: none"> <li>• Rhetorical outlook</li> <li>• Poor treatment of causes of priority issues/problems</li> <li>• Non-spatial dimension</li> <li>• Assumptions in approval process</li> <li>• Poor integration</li> </ul>
OPPORTUNITY	<ul style="list-style-type: none"> <li>• Vertical planning</li> <li>• Review of environmental assessment tool</li> </ul>	<ul style="list-style-type: none"> <li>• Vertical planning</li> <li>• Integrative planning under Intergovernmental</li> </ul>	<ul style="list-style-type: none"> <li>• Prospects of using CDS</li> <li>• Tourism development</li> </ul>

	<ul style="list-style-type: none"> <li>• Addressing land use with the SDF</li> <li>• Design potentials of land use schemes</li> <li>• Rural resource mobilization for economic development</li> <li>• Rural housing development</li> <li>• Land reforms</li> <li>• Concern for environmental management</li> </ul>	<ul style="list-style-type: none"> <li>• Relations Plan</li> <li>• Research-oriented planning</li> <li>• Diagnose/resolve the remote causal factors of cross-cutting issues</li> <li>• Good foundation for monitoring development control</li> <li>• Mobilizing private sector and external development partners in capital investment</li> </ul>	<ul style="list-style-type: none"> <li>• Priority development focus for the NSDF</li> <li>• Systems thinking approach</li> <li>• Monitoring strategies</li> </ul>
THREAT	<ul style="list-style-type: none"> <li>• Resilience of traditional economic planning (sectoral planning)</li> <li>• Cryptic IDP practice</li> <li>• Redundancy of SDF</li> <li>• Overbearing political analysis dubbed inclusiveness</li> <li>• Legislative planning definition</li> <li>• Disregard of IDP as planning methodology</li> <li>• Isolated functioning of line departments in IDP plan implementation</li> <li>• Poor conception of equity in planning</li> <li>• Cryptic observance of due process in IDP approval</li> </ul>	<ul style="list-style-type: none"> <li>• Subjugation of spatial planning instrument in the overarching IDP instrument</li> <li>• Not very strategic</li> <li>• Deficient knowledge base (with regards to cause-effect relationships and asset-base)</li> </ul>	<ul style="list-style-type: none"> <li>• Weighted interface issues (environmental and spatial planning relationships; politics in planning; etc.)</li> <li>• Short-sightedness</li> <li>• Dependence on public funding</li> <li>• Emergence of "silos" (due to independent sector plans)</li> <li>• Lack of technical input in approval procedure.</li> </ul>

Source: Own construction (2013)

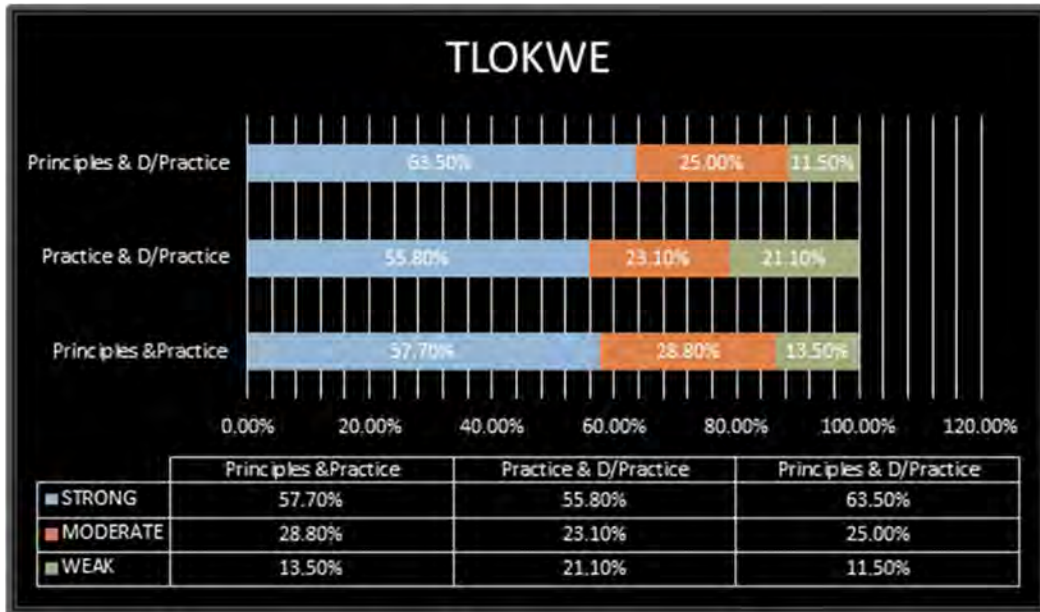
### 5.8.5 Own assessment of the IDP in the Tlokwe, Matlosana and Rustenburg municipalities

For purposes of own assessment two measures were taken: firstly, the **4As**-assessment used as follow-up to the SWOT analysis, and secondly the synthesis of relationships between principles, practice and desired practice of the IDP in Tlokwe, Matlosana and Rustenburg. Considering the synthesis, the different combinations of descriptive data generated from the performance matrix table are presented from **Figures 5.7 to 5.15** below.

The synthesis in **Figure 5.7** shows that the three relationships in the Tlokwe LM consistently indicate higher percentages for positive linkages in all three scenarios. The same performance plays out in Matlosana LM as represented in **Figure 5.8**. The

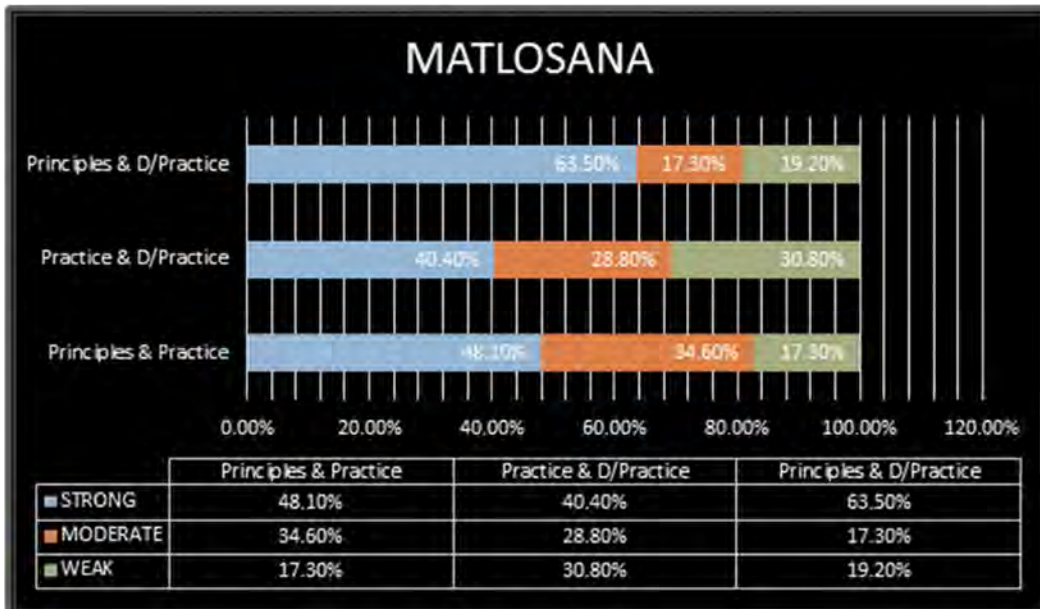


situation in Rustenburg, as indicated in **Figure 5.9**, reinforced the high percentage of positive relations in the three relationships that were examined. However, in the percentage of weak relationships, the relationships are lower compared with the situation in the other municipalities.



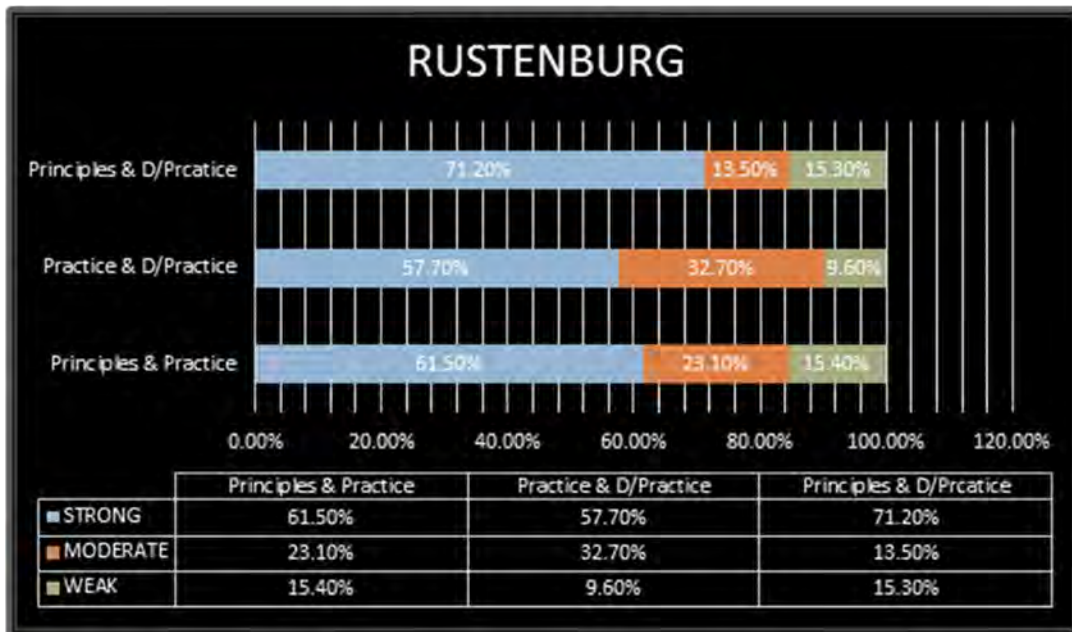
**Figure 5.7: Synthesis of relationship between principles, practice and desired practice of the IDP in Tlokwe**

Source: Own construction (2013)



**Figure 5.8: Synthesis of relationships between principles, practice and desired practice of the IDP in Matlosana**

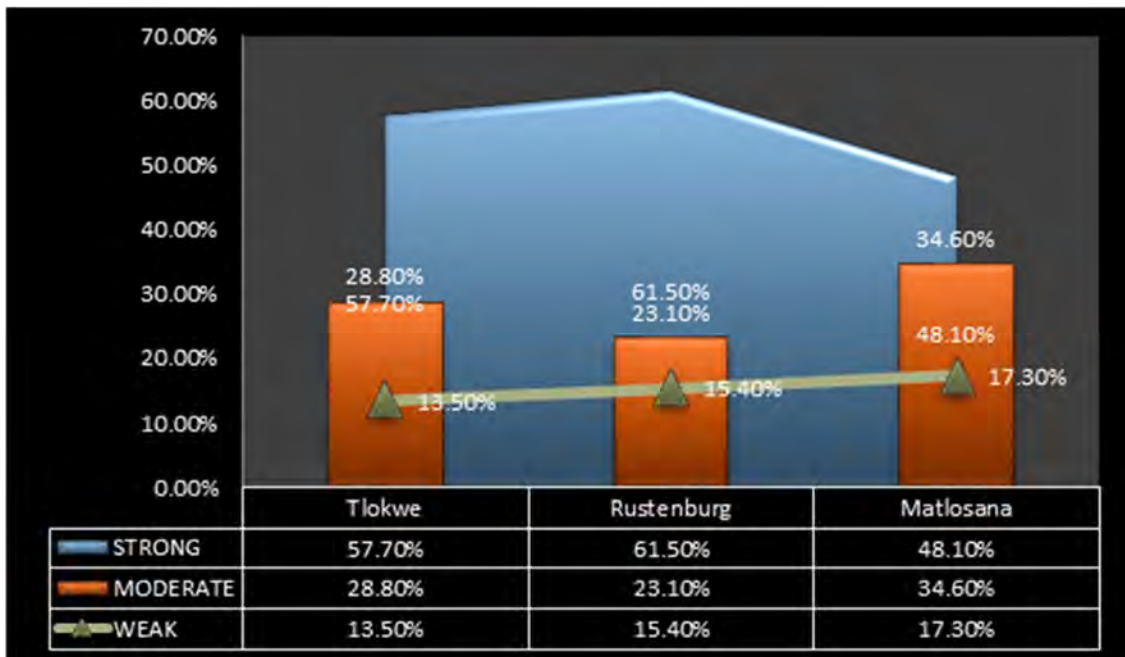
Source: Own construction (2013)



**Figure 5.9: Synthesis of the relationship between principles, practice and desired practice of the IDP in Rustenburg**

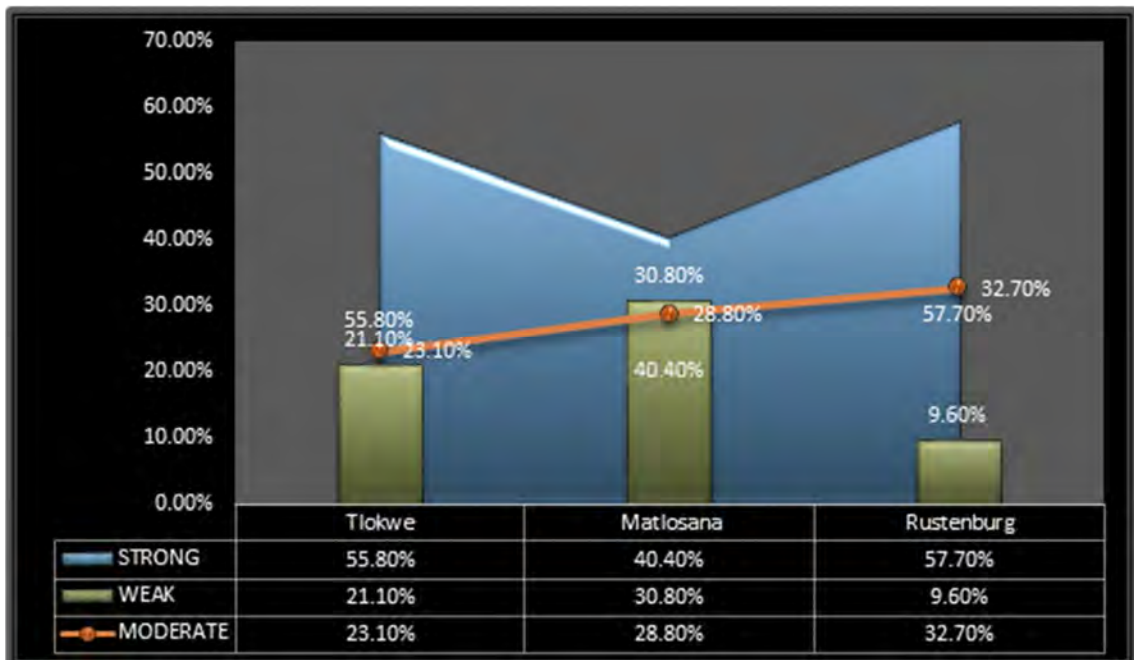
Source: Own construction (2013)

A synthesis of data on the relationship between principles and practice for the three IDPs is shown in **Figure 5.10** below. A similar pattern is manifest with the strong relationship towering above and the weak relationship maintaining a perfect exponential locus. A similar synthesis for practice and desired practice indicates a different distribution; however, with the strong relationship completely separated from the other categories of relationships (see **Figure 5.11**). A little bit of convergence is noticed in the case of Matlosana. The pattern in the relationship between principles and desired practice shown in **Figure 5.12** also indicates the strong option distinctly overarching.



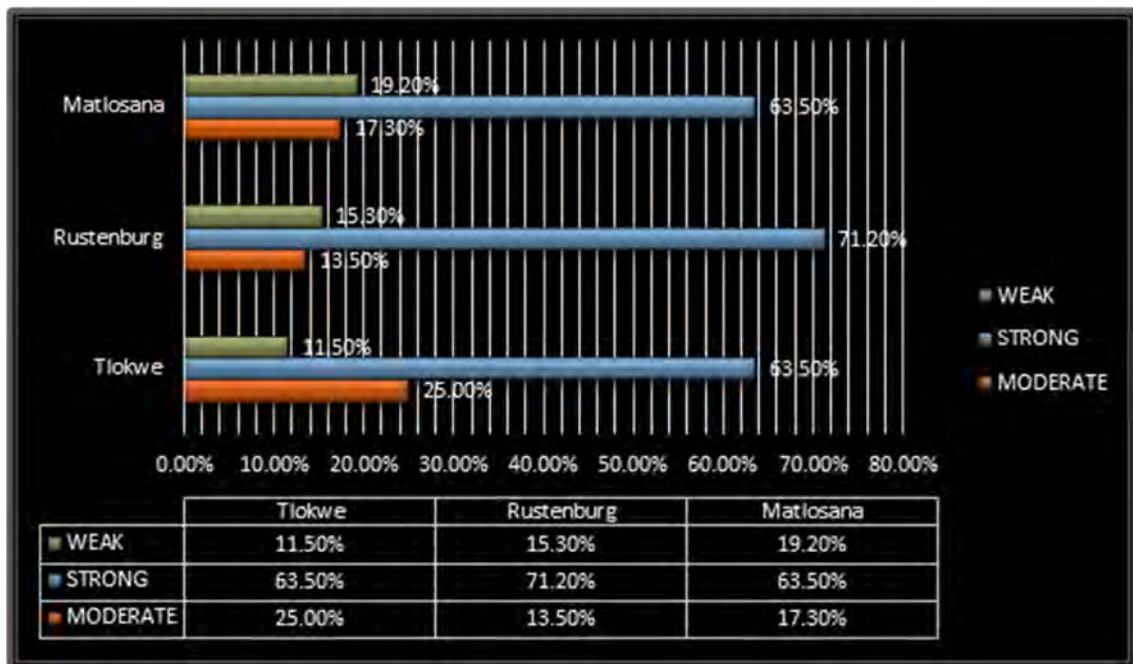
**Figure 5.10: Synthesis of the relationship between principles and practice of the IDP in Tlokwe, Rustenburg and Matlosana**

Source: Own construction (2013)



**Figure 5.11: Synthesis of relationships between existing and desired practice of the IDP in Tlokwe, Rustenburg and Matlosana**

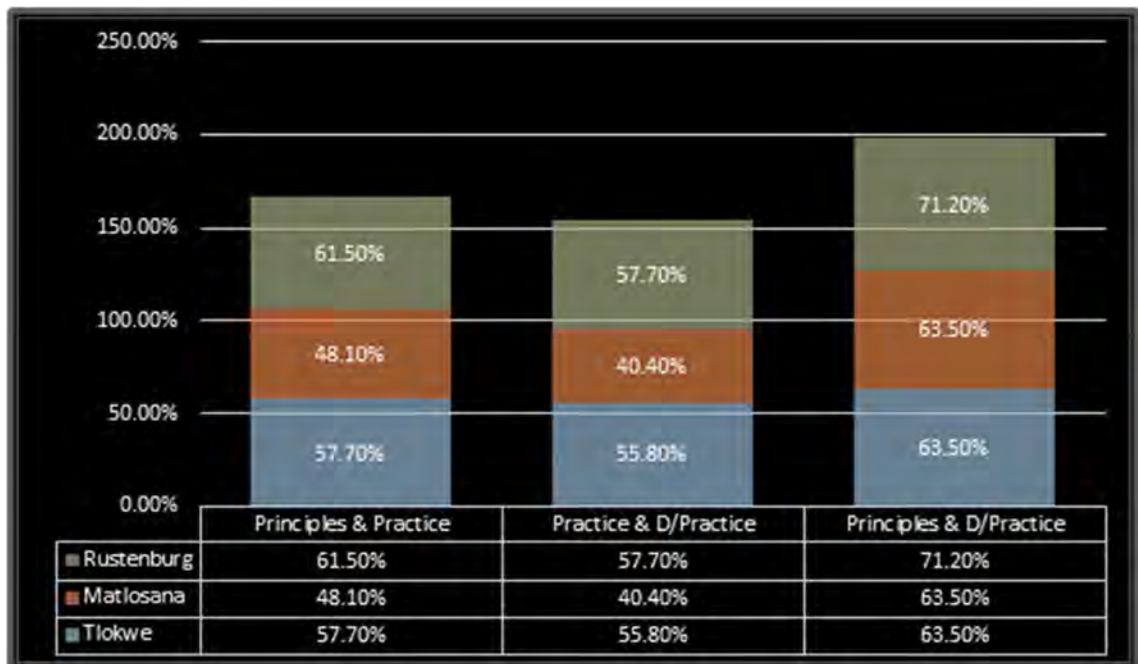
Source: Own construction (2013)



**Figure 5.12: Synthesis of relationships between principles and desired practice of the IDP in Tlokwe, Rustenburg and Matlosana**

Source: Own construction (2013)

The syntheses of relationships between the three scenarios in each local municipality and across the three local municipalities consistently indicate the dominance of strong relationships. The moderate and weak relationships assume alternate positions but the frequency of moderate position superseding the weak tends to be higher. For purposes of ranking their performance, the synthesis of the three options of relationship is considered. **Figure 5.13** indicates that the percentage of strong relationships is highest for the principles and desired practice category, followed by principles and practice and then practice and desired practice. In other words, current practice is faulted.

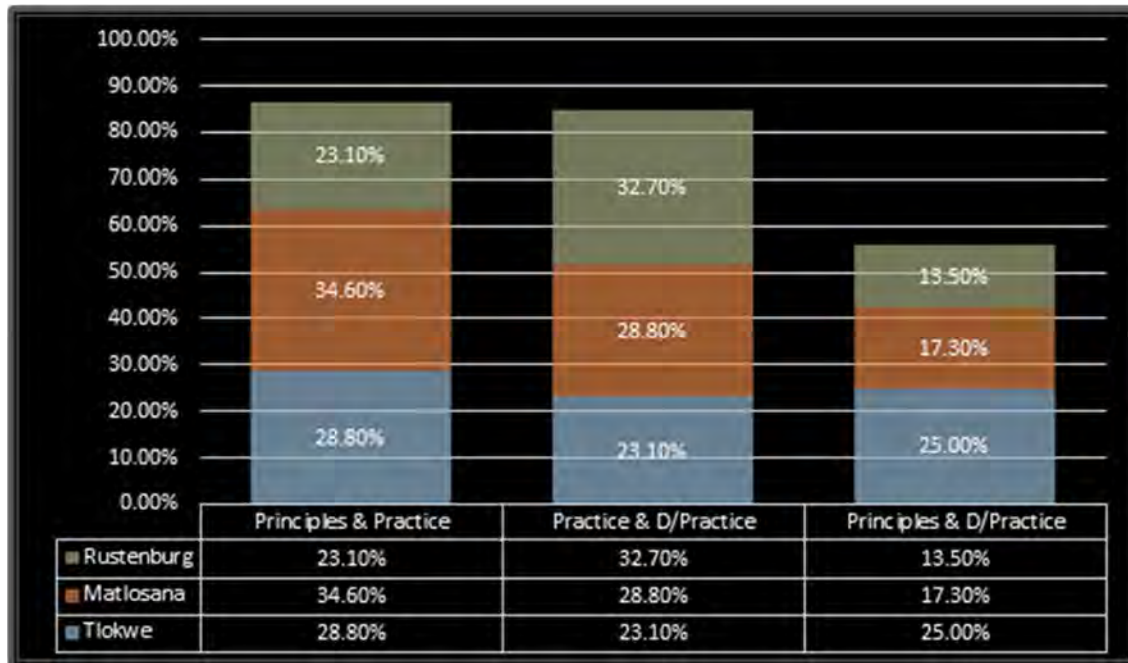


**Figure 5.13: Synthesis of strong relations between IDP principles, practice and desired practice in Tlokwe, Rustenburg and Matlosana**

Source: Own construction (2013)

For moderate relations, principles and desired practice indicates the smallest percentage as shown in **Figure 5.14** below. What this implies is that principles and desired practice are more compatible and compliant than the other two categories indicated by higher percentages of moderate relationships.

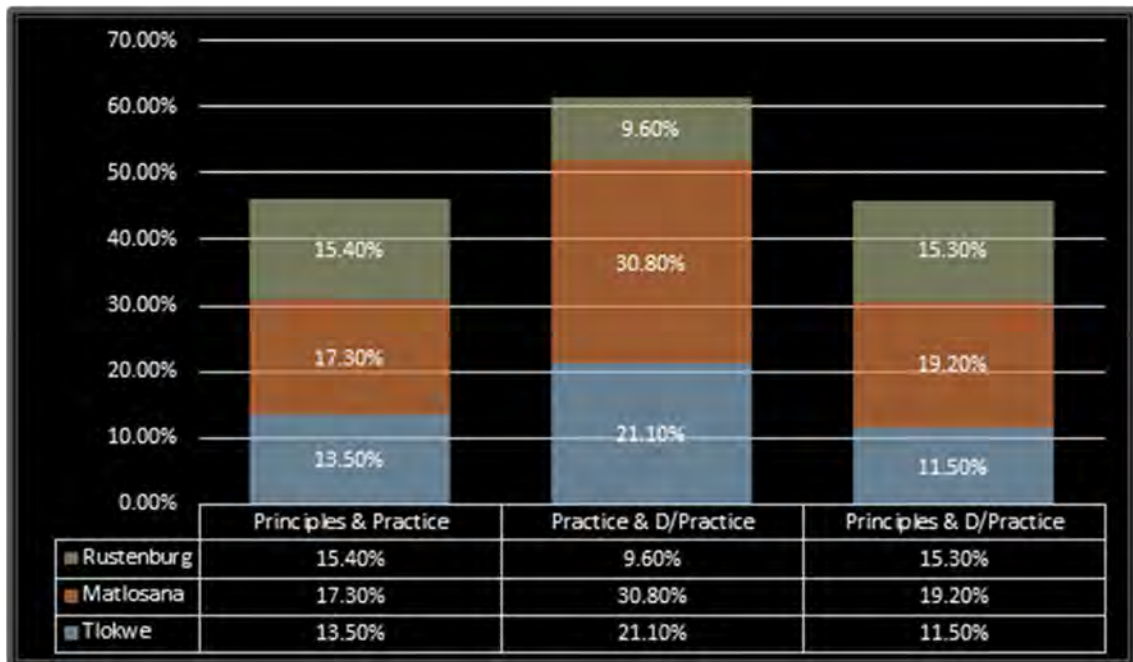
**Figure 5.14: Synthesis of moderate relations between IDP principles, practice and desired practice in Tlokwe, Rustenburg and Matlosana**



Source: Own construction 2013

A weak relationship is pronounced in practice and desired practice relations. This is indicated by the highest percentage it controls, as shown in **Figure 5.15**. This means a lot more issues need to be resolved in this category of relationships in order to achieve compliance. Weaknesses of lesser magnitude are manifest in the other two categories of relationships, although they have sizable proportions of areas of disconnect to be resolved.

Overall the percentage of strong relations is highest compared with moderate and weak relations for the three categories of relationships. However, practice needs to adjust to improve compliance with principles and desired practice. The adjustment required varies for the different IDP practices, and as identified earlier on the points of departure for improvement the anticipated adjustments are not unrelated to issues concerning integrative planning.



**Figure 5.15: Synthesis of weak relationships between IDP principles, practice and desired practice in Tlokwe, Rustenburg and Matlosana**

Source: Own construction (2013)

At this juncture own assessment of the IDPs using the **4As** criteria is applied to gain insight into the capacity of the IDPs to transit to integrative planning instrument. The assessment is contained in **Table 5.27** below. The frequency **Table 5.28** is derived from there, with corresponding descriptive statistics.

**Table 5.27: Performance matrix of 4As assessment of IDP/SDF local municipal initiatives South Africa**

MATRIX		IDP/SDF OF LOCAL MUNICIPALS								
		MATLOSANA			RUSTENBURG			TLOKWE		
own assessment	4As	+1	0	-1	+1	0	-1	+1	0	-1
	aspire		√		√				√	
	avoid			√			√			√
	attain		√		√			√		
	act			√			√			√

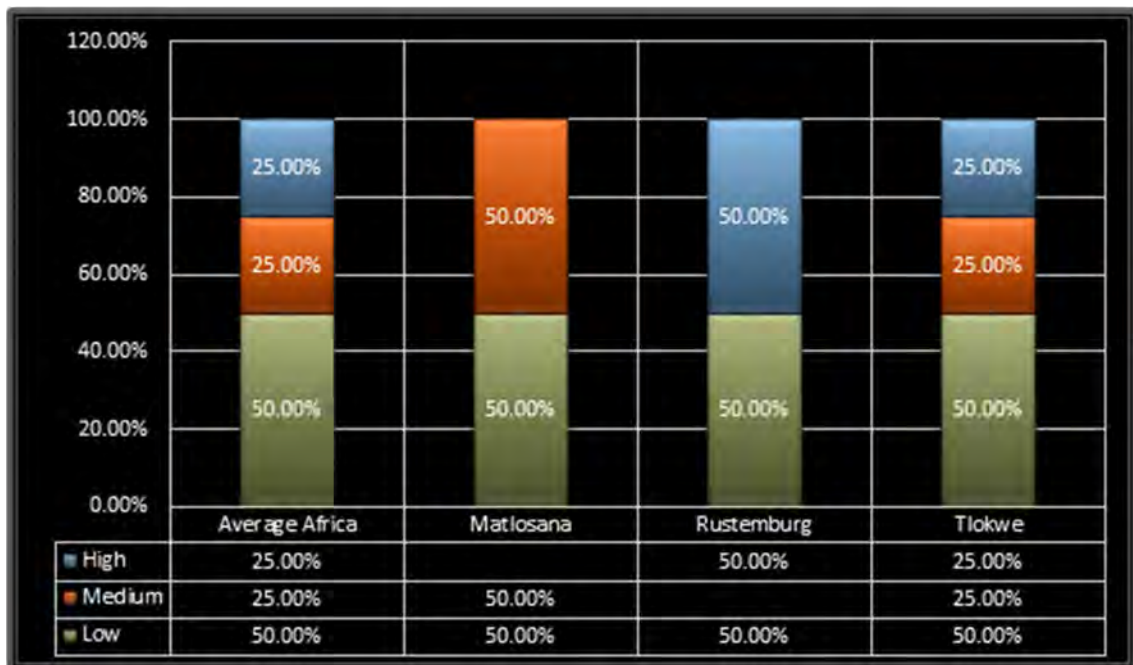
Source: Own construction (2013)

**Table 5.28: Frequency distribution of 4As assessment of the IDP/SDF in Tlokwe, Rustenburg and Matlosana local municipalities in South Africa**

Matrix	Average		Matlosana		Rustenburg		Tlokwe	
	FREQ	%	FREQ	%	FREQ	%	FREQ	%
High (+1)	1	25.0	-	-	2	50.0	1	25.0
Medium (0)	1	25.0	2	50.0	-	-	1	25.0
Low (-1)	2	50.0	2	50.0	2	50.0	2	50.0
<b>Total</b>	<b>4</b>	<b>100</b>	<b>4</b>	<b>100</b>	<b>4</b>	<b>100</b>	<b>4</b>	<b>100</b>

Source: Own construction (2013)

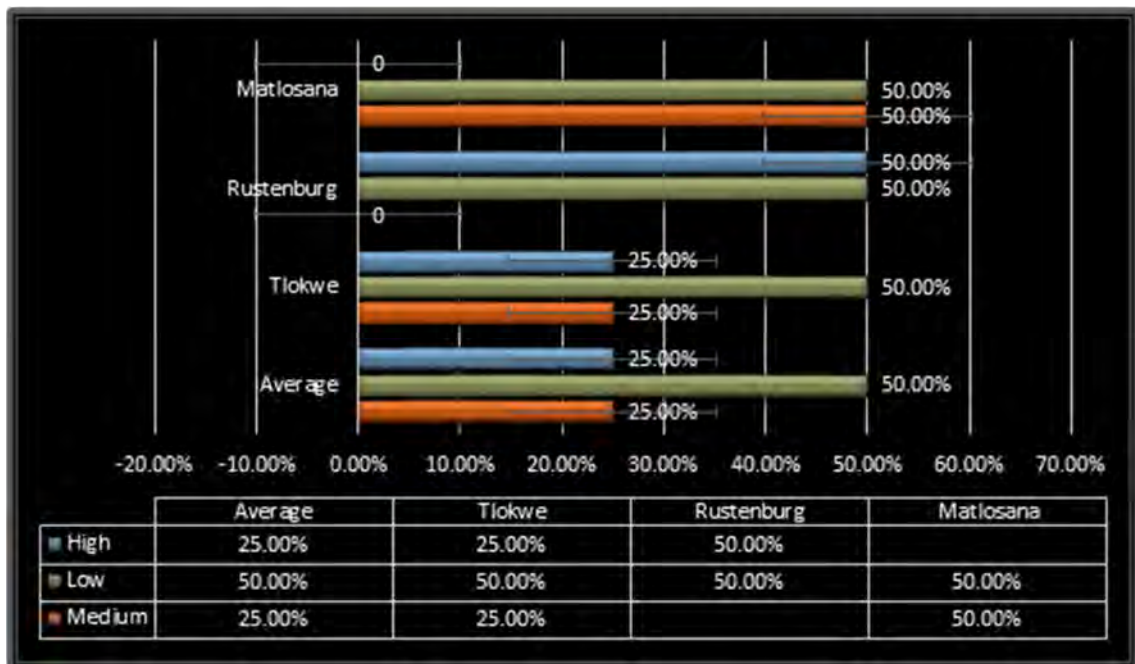
The frequency distribution is presented in **Figures 5.16** and **5.17** below. The performance under **4As** assessment indicates two distinct features. The horizon of low capacity for change is the same for the IDPs (see **Figure 5.16**) but the Rustenburg IDP is more prospective as a good planning instrument, followed by the Tlokwe IDP and then the Matlosana IDP. In other words, as depicted in **Figure 5.17**, the Rustenburg IDP has the highest capacity for change, followed by the Tlokwe IDP. The Matlosana IDP did not show any capacity for change.



**Figure 5.16: Columns of performance of IDP initiatives in 4As assessment in Matlosana, Rustenburg and Tlokwe LM, South Africa**

Source: Own construction (2013)





**Figure 5.17: Synthesis of performance in 4As assessment of IDP/SDF in the Tlokwe, Rustenburg and Matlosana local municipalities in South Africa**

Source: Own construction (2013)

Following the impressions from the synthesis of relationships and own assessment using **4As** criteria, the following findings are made:

- The pattern and quality of IDP documents vary.
- IDP planning is potentially weak and vulnerable as a spatial planning instrument.
- IDP documents are fairly well related to the IDP theoretical framework,
- The IDP is more advanced in theory than in practice
- Patterns of relationships between principles, practice and desired practice are not identical but fairly similar within and across the municipalities,
- Levels of relationships between principles, practice and desired practice within and across municipalities are consistently positive.

In summary, the IDP is more of a management instrument than a planning instrument. It is supposed to provide integrated planning but unfortunately the various sectors in the

planning machinery work in isolation from each other, each protecting its mandate. Hence reactive planning is encouraged and the integrative element is lacking. Therefore the planning outlook of IDP is existential and incremental. It is not necessarily proactive and futuristic as integrated planning provides. In the next sub-section, the IDP is further reconsidered empirically. As indicated earlier, the focus is on practice to check the veracity of findings attributed to the preceding case studies.

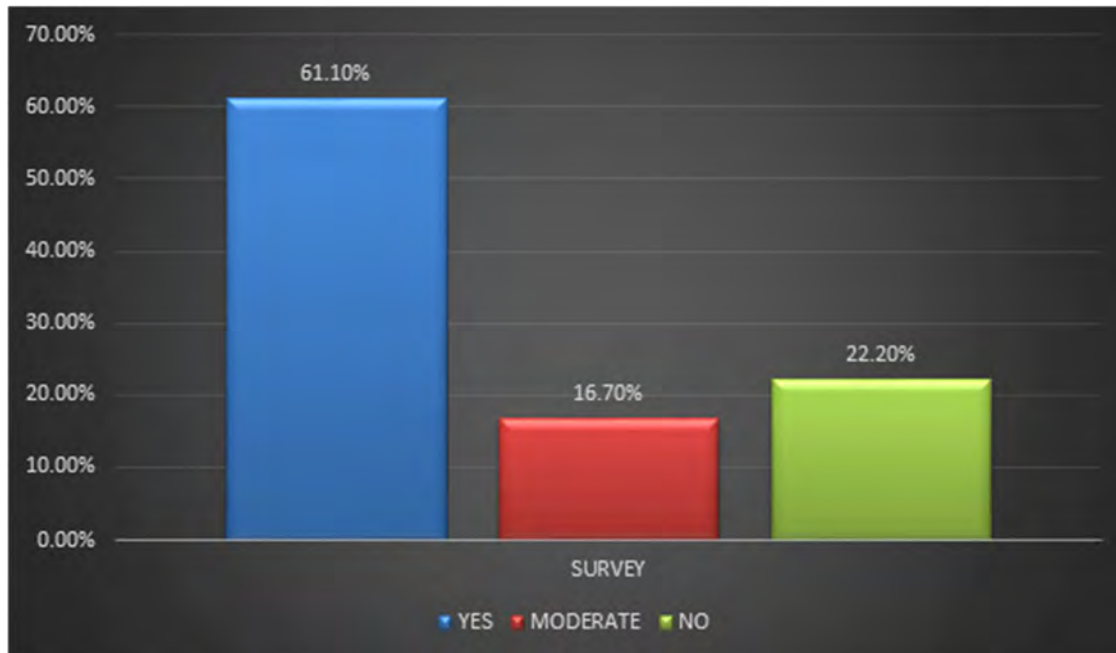
### 5.9 Analysis of the frequency distribution of empirical data

The frequency **Table 5.29** below is determined by the summation of highlighted data in **Table 4.4** above (c.f. 4.4) for each category of perception. Positive perceptions of IDP practice are identified to be high. What this means is that practice is in line with IDP provisions and by implication oriented towards new theoretical frameworks for planning. **Figure 5.18** below illustrates this staggering compliance, leaving little to speculation.

**Table 5.29: Analysis of frequency distribution of preferred perception for each question**

<b>Relationship</b>	<b>Frequency</b>	<b>%</b>
<b>Yes</b>	22	61.1
<b>Moderate</b>	6	16.7
<b>No</b>	8	22.2
<b>Total</b>	36	100

Source: Own construction in collaboration with the Statistical Consultation Services, NWU 2013



**Figure 5.18: Bar chart of preferred perceptions for each question**

Source: Own construction (2013)

The overall positions of perceptions are further analysed according to categories of respondents. **Table 5.30** derives from descriptive statistics representing column percentages per category generated from the questionnaire. The highest score of perception for each question for each category is highlighted and the summation of their frequency generated **Table 5.31** below.

**Table 5.30: Matrix of column percentages of a two-way frequency table of descriptive statistics**

S/No	QUESTIONS	PERCEPTIONS											
		ADMINISTRATORS			POLITICIANS			ACADEMICS			CONSULTANTS		
		-1	0	+1	-1	0	+1	-1	0	+1	-1	0	+1
		%	%	%									
1.	In the IDP planning approach, is the urban environment regarded as the physical shape of the city?	33.3	40.0	23.1	22.2	10.0	23.1	33.3	30.0	7.7	11.1	22.2	66.7
2	Does the IDP function more with land-use schemes than the PGDS for instance?	28.6	22.2	42.9	7.14	33.3	28.6	28.8	11.1	14.3	35.7	33.3	14.3
3	Do market forces determine the use of space in IDP activities?	33.3	50.0	25.0	33.3	-	25.0	33.3	30.0	6.3	-	20.0	43.8
4	Do the establishment and functioning of IDP agencies constitute planning activity?	-	50.0	36.4	42.9	7.1	18.2	42.9	7.1	18.2	14.3	35.7	27.3
5	Is the IDP planning approach intended primarily to generate growth and not necessarily to shape the city?	36.7	45.5	12.5	27.3	9.1	25.0	9.1	18.2	25.0	27.3	27.3	37.5
6	Is the IDP planning approach specifically designed for planning at local level?	42.9	33.3	30.0	14.3	-	25.0	42.9	50.0	5.0	-	16.7	40.0
7	Does the IDP planning approach properly represent participatory planning process?	33.3	8.3	53.3	16.7	16.7	20.0	50.0	33.3	-	-	41.7	26.7
8	Would you refer to existing IDP plans (including their SDF, LED, ITP, EMF, and IIP components) as broad-based guideline plans?	40.0	60.0	22.7	40.0	-	18.2	-	40.0	22.7	11.1	-	88.9
9	Is the technical committee for IDP plan preparation under any obligation to take the decisions reached through stakeholders' participatory process?	50.0	28.6	25.0	10.0	14.3	25.0	28.6	28.6	42.9	22.2	22.2	55.6
10	Does the public participate in IDP plan preparation by taking initiative independently of external institution effort to change the system of planning?	26.7	27.3	50.0	20.0	18.2	25.0	20.0	18.2	25.0	33.3	36.4	-
11	Do you think anDP plan preparation is essentially a technical activity?	33.3	22.2	40.0	11.1	11.1	26.7	22.2	33.3	13.3	33.3	33.3	20.0
12	Is the IDP methodology succeeding in using participatory processes to address the technical aspects of planning such as land-use planning?	7.1	40.0	62.5	28.6	10.0	12.5	42.9	10.0	-	21.4	40.0	25.0
13	Does the IDP serve as an instrument for the development of empty spaces and the renovation of degraded neighbourhoods within the urban environment?	33.3	40.0	30.0	33.3	-	20.0	16.7	20.0	20.0	16.7	40.0	30.0

14	Was adequate consideration given to the use of professional planning expertise for the preparation of the IDP?	35.7	18.2	66.7	28.6	9.1	16.7	14.3	27.3	-	21.4	45.5	16.7
15	Does the non-implementation of the provisions of the IDP plan indicate failure of the IDP planning approach?	44.4	20.0	35.7	-	10.0	35.7	33.3	40.0	-	22.2	30.0	28.6
16	Does the alteration of IDP plan provisions, whether such alterations are implemented or not, indicate the failure of IDP planning approach?	33.3	30.0	28.6	6.7	10.0	57.1	20.0	40.0	-	40.0	20.0	14.3
17	Does IDP plan preparation consider regional plan classification (such as the urban region; functional region; planning region; physical formal region; economic formal region, etc.)?	40.0	33.3	31.3	20.0	8.3	25.0	20.0	16.7	25.0	20.0	41.7	18.8
18	Is the IDP an instrument for the implementation of the national development corridor strategy?	16.7	36.4	37.5	33.3	9.1	18.8	16.7	18.2	25.0	33.3	36.4	18.8
19	Does IDP preparation consider the connectivity responsible for the functional flow of activities within the urban region?	-	33.3	41.2	25.0	8.3	23.5	50.0	8.3	23.5	25.0	50.0	11.8
20	Do you really think that the IDP can effectively repackage the economic fundamentals of municipalities in South Africa?	-	15.4	56.3	25.0	7.7	25.0	-	38.5	12.5	75.0	38.5	6.3
21	Does the IDP follow any policy guideline for urban development?	25.0	42.9	30.8	25.0	14.3	21.1	-	14.3	15.8	50.0	28.6	26.3
22	Do IDP activities recognize and apply the spatial aspect of urban growth (such as qualitative, quantitative, structural growth, etc.)?	-	53.6	33.3	50.0	7.7	16.7	16.7	15.4	16.7	33.3	23.1	33.3
23	Is the IDP meant to provide support for the operation of survivalist informal sector activities?	12.5	40.0	42.9	37.5	10.0	14.3	12.5	30.0	14.3	37.5	20.0	28.6
24	Does the planning system consider environmental factors along with culture, value systems, activity systems and their distribution in space as attributes of the urban environment?	-	42.9	21.4	100	14.3	7.1	-	-	28.6	-	42.9	42.9
25	Are broad guideline plans given adequate consideration in determining the direction of development in South Africa?	-	25.0	25.0	66.7	8.3	25.0	33.3	33.3	8.3	-	33.3	41.7
26	Does the use of planning standards prevail in South African planning system?	100	8.3	30.8	-	16.7	30.8	-	33.3	7.7	-	41.7	30.8
27	Are greenbelts or other management techniques such as urban service limits, urban	-	25.0	17.6	-	37.5	17.7	-	25.0	17.7	-	12.5	47.1

	growth boundaries (UGB), urban development boundaries (UDB) used to manage urban growth in South Africa?												
28	Do long-term objectives drawn from a defined mind-set and outlook determine city planning and development in South Africa?	50.0	8.3	30.8	50.0	16.7	23.1	-	33.3	15.4	-	41.7	30.8
29	Do economic fundamentals such as productivity and GDP issues influence planning in South Africa?	-	22.2	22.2	100	11.1	22.2	-	33.3	22.2	-	33.3	33.3
30	Is sanitation and urban quality integrated in South African planning system?	20.0	16.7	26.7	40.0	-	26.7	40.0	33.3	6.7	-	50.0	40.0
31	Does planning in South Africa adopt definite spatial measures or standards to shape the city?	-	30.0	25.0	20.0	10.0	33.3	60.0	20.0	8.3	20.0	40.0	33.3
32	Are planning decisions democratic in South Africa?	16.7	25.0	22.2	16.7	8.3	44.4	33.3	66.7	-	33.3	33.3	33.3
33	Do role-players in the participatory process demand gratification such as honoraria for their services?	18.2	23.1	50.0	27.3	23.1	-	18.2	23.1	-	36.4	30.8	50.0
34	Is South Africa inclined to design-oriented approach to planned development?	25.0	15.4	33.3	12.5	15.4	50.0	62.5	7.7	-	-	61.5	16.7
35	Do planning activities depend on opinion polls drawn from town hall meetings?	21.4	12.5	40.0	21.4	12.5	40.0	28.6	25.0	-	28.6	50.0	20.0
36	Do civic identity and local ownership of plan matter in South Africa?	14.3	16.7	42.9	28.6	16.7	28.6	28.6	16.7	14.3	28.6	50.0	14.3

NOTE: The highest score highlighted in each row represent the preferred perception for each question. NOTE: +1 = Yes; 0 = Moderate; -1 = No

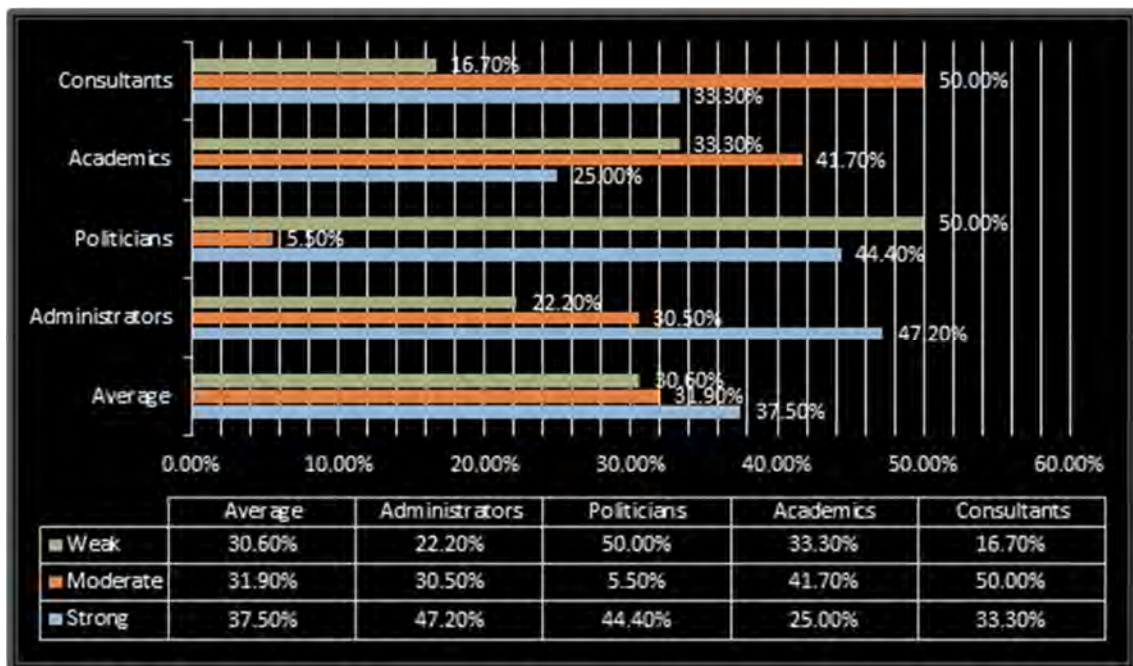
Source: Own construction in collaboration with the Statistical Consultation Services, NWU (2013)

**Table 5.31: Frequency distribution of preferred perceptions based on column percentages of descriptive statistics**

MATRIX	AVERAGE		ADMINISTRATORS		POLITICIANS		ACADEMICS		CONSULTANTS	
	FREQUENCY	%	FREQUENCY	%	FREQUENCY	%	FREQUENCY	%	FREQUENCY	%
<b>Yes</b>	13.5	37.5	17	47.2	16	44.4	9	25.0	12	33.3
<b>Moderate</b>	11.5	31.9	11	30.5	2	5.5	15	41.7	18	50
<b>No</b>	11	30.6	8	22.2	18	50	12	33.3	6	16.7
<b>Total</b>	<b>36</b>	<b>100</b>	<b>36</b>	<b>100</b>	<b>36</b>	<b>100</b>	<b>36</b>	<b>100</b>	<b>36</b>	<b>100</b>

Source: Own construction in collaboration with Statistical Consultation Service, NWU (2013)

The frequency distribution identified is illustrated in **Figure 5.19** below. A mixed situation is apparent and no relationship is seen. The perceptions are very independent but on the average positive appraisals tend to have a little edge over indeterminate and dissenting perceptions. Administrators are more optimistic, while politicians are more sceptical. Academics and consultants are more indeterminate, especially consultants.



**Figure 5.19: Bar chart of preferred perceptions based on column percentages of descriptive statistics**

Source: Own construction (2013)

The next table, **Table 5.32** derives from descriptive statistics representing row percentages per category generated from the questionnaire. As in the previous instance the highest score of perception for each question for each category is highlighted and their summation generates the frequency **Table 5.32** below. The summation of the frequency of highlighted values which represents the dominant view on each question generates **Table 5.33** below.

**Table 5.32: Matrix of the row percent of two-way frequency table of descriptive statistics**

S/No	QUESTIONS	PERCEPTIONS											
		ADMINISTRATORS			POLITICIANS			ACADEMICS			CONSULTANTS		
		-1	0	+1	-1	0	+1	-1	0	+1	-1	0	+1
		%	%	%	%	%	%	%	%	%	%	%	%
1.	In the IDP planning approach, is the urban environment regarded as the physical shape of the city?	30.0	40.0	30.0	33.3	16.7	50.0	42.9	42.9	14.3	11.1	22.2	66.7
2	Does the IDP function more with land-use schemes than the PGDS for instance?	44.5	22.23	33.3	16.7	50.0	33.3	66.7	16.7	16.7	55.6	33.3	11.1
3	Do market forces determine the use of space in IDP activities?	18.2	45.5	36.4	33.3	-	66.7	33.3	50.0	16.7	-	22.2	77.8
4	Do the establishment and functioning of IDP agencies constitute planning activity?	-	63.6	36.4	50.0	16.7	33.3	50.0	16.7	33.3	11.1	55.6	33.3
5	Is the IDP planning approach intended primarily to generate growth and not necessarily to shape the city?	40.0	50.0	10.0	50.0	16.7	33.3	20.0	40.0	40.0	33.3	33.3	33.3
6	Is the IDP planning approach specifically designed for planning at local level?	27.3	18.2	54.6	16.7	-	83.3	42.9	42.9	14.3	-	11.1	88.9
7	Does the IDP planning approach properly represent participatory planning process?	18.1	9.1	72.7	16.7	33.3	50.0	42.9	57.1	-	-	55.6	44.4
8	Would you refer to existing IDP plans (including their SDF, LED, ITP, EMF, and IIP components) as broad-based guideline plans?	20.0	30.0	50.0	33.3	-	66.7	-	28.6	71.4	11.1	-	88.9
9	Is the technical committee for IDP plan preparation under any obligation to take the decisions reached through stakeholders' participatory process?	45.5	18.2	36.4	16.7	16.7	66.7	28.6	28.6	42.9	22.2	22.2	55.6
10	Does the public participate in IDP plan preparation by taking initiatives independently of external institutional efforts to change the system of planning?	44.4	33.3	22.2	50.0	33.3	16.7	50.0	33.3	16.7	55.6	44.4	-
11	Do you think IDP plan preparation is essentially a technical activity?	27.3	18.2	54.6	16.7	16.7	66.7	28.6	42.9	28.6	33.3	33.3	33.3
12	Is IDP methodology succeeding in using participatory process to address the technical aspects of planning such as land use planning?	10.0	40.0	50.0	66.7	16.7	16.7	85.7	14.3	-	33.3	44.4	22.2
13	Does the IDP serve as instrument for the development of empty spaces and the renovation of degraded neighbourhoods within the urban environment?	36.4	36.4	27.3	66.7	-	33.3	33.3	33.3	33.3	22.2	44.4	33.3



14	Was adequate consideration given to the use of professional planning expertise for the preparation of the IDP?	45.5	18.2	36.4	66.7	16.7	16.7	40.0	60.0	-	33.3	55.6	11.1
15	Does the non-implementation of the provisions of the IDP plan indicate failure of the IDP planning approach?	36.4	18.2	45.5	-	16.7	83.3	42.9	57.1	-	22.2	33.3	44.4
16	Does the alteration of IDP plan provisions, whether such alterations are implemented or not, indicate the failure of the IDP planning approach?	50.0	30.0	20.0	16.7	16.7	66.7	42.9	57.1	-	66.7	22.2	11.1
17	Does IDP plan preparation consider regional plan classification (such as the urban region; functional region; planning region; physical formal region; economic formal region, etc.)?	18.2	36.4	45.5	16.7	16.7	66.7	14.3	28.6	57.1	11.1	55.6	33.3
18	Is the IDP an instrument for the implementation of the national development corridor strategy?	9.1	36.4	54.6	33.3	16.7	50.0	14.3	28.6	57.1	22.2	44.4	33.3
19	Does IDP preparation consider the connectivity responsible for the functional flow of activities within the urban region?	-	36.4	63.6	16.7	16.7	66.7	28.6	14.3	57.1	11.1	66.7	22.2
20	Do you really think that the IDP can effectively repackage the economic fundamentals of municipalities in South Africa?	-	18.2	81.8	16.7	16.7	66.7	-	71.4	28.6	33.3	55.6	11.1
21	Does the IDP follow any policy guideline for urban development?	9.1	27.3	63.6	16.7	16.7	66.7	-	25.0	75.0	22.2	22.2	55.6
22	Do IDP activities recognize and apply the spatial aspect of urban growth (such as qualitative, quantitative, structural growth, etc.)?	-	63.6	36.4	50.0	16.7	33.3	20.0	40.0	40.0	22.2	33.3	44.4
23	Is the IDP meant to provide support for the operation of survivalist informal sector activities?	9.1	36.4	54.6	50.0	16.7	33.3	16.7	50.0	33.3	33.3	22.2	44.4
24	Does the planning system consider environmental factors along with culture, value system, activity systems and their distribution in space as attributes of the urban environment?	-	50.0	50.0	66.7	16.7	16.7	-	-	100	-	33.3	66.7
25	Are broad guideline plans given adequate consideration in determining the direction of development in South Africa?	-	50.0	50.0	33.3	16.7	50.0	16.7	66.7	16.7	-	44.4	55.6
26	Does the use of planning standards prevail in South African planning system?	16.7	16.7	66.7	-	33.3	66.7	-	80.0	20.0	-	55.6	44.4
27	Are greenbelts or other management techniques such as urban service limits, urban growth boundaries (UGB), urban development boundaries (UDB) used to manage urban growth in South Africa?	-	40.0	60.0	-	50.0	50.0	-	40.0	60.0	-	11.1	88.9
28	Do long-term objectives drawn from a defined	16.7	16.7	66.7	16.7	33.3	50.0	-	66.7	33.3	-	55.6	44.4

	mind-set and outlook determine city planning and development in South Africa?												
29	Do economic fundamentals such as productivity and GDP issues influence planning in South Africa?	-	33.3	66.7	16.7	16.7	66.7	-	42.9	57.1	-	33.3	66.7
30	Is sanitation and urban quality integrated in South African planning system?	16.7	16.7	66.7	33.3	-	66.7	40.0	40.0	20.0	-	33.3	66.7
31	Does planning in South Africa adopt definite spatial measures or standards to shape the city?	-	50.0	50.0	16.7	16.7	66.7	50.0	33.3	16.7	11.1	44.4	44.4
32	Are planning decisions democratic in South Africa?	16.7	50.0	33.3	16.7	16.7	66.7	33.3	66.7	-	22.2	44.4	33.3
33	Do role-players in the participatory process demand gratification such as honoraria for their services?	33.3	50.0	16.7	50.0	50.0	-	40.0	60.0	-	44.4	44.4	11.1
34	Is South Africa inclined to design-oriented approach to planned development?	33.3	33.3	33.3	16.7	33.3	50.0	83.3	16.7	-	-	88.9	11.1
35	Do planning activities depend on opinion poll drawn from town-hall meetings?	50.0	16.7	33.3	50.0	16.7	33.3	66.7	33.3	-	44.4	44.4	11.1
36	Do civic identity and local ownership of plan matter in South Africa?	16.7	33.3	50.0	33.3	33.3	33.3	40.0	40.0	20.0	22.2	66.7	11.1

NOTE: The highest score highlighted in each row represent the preferred perception for each question. NOTE: +1 = Yes; 0 = Moderate; -1 = No

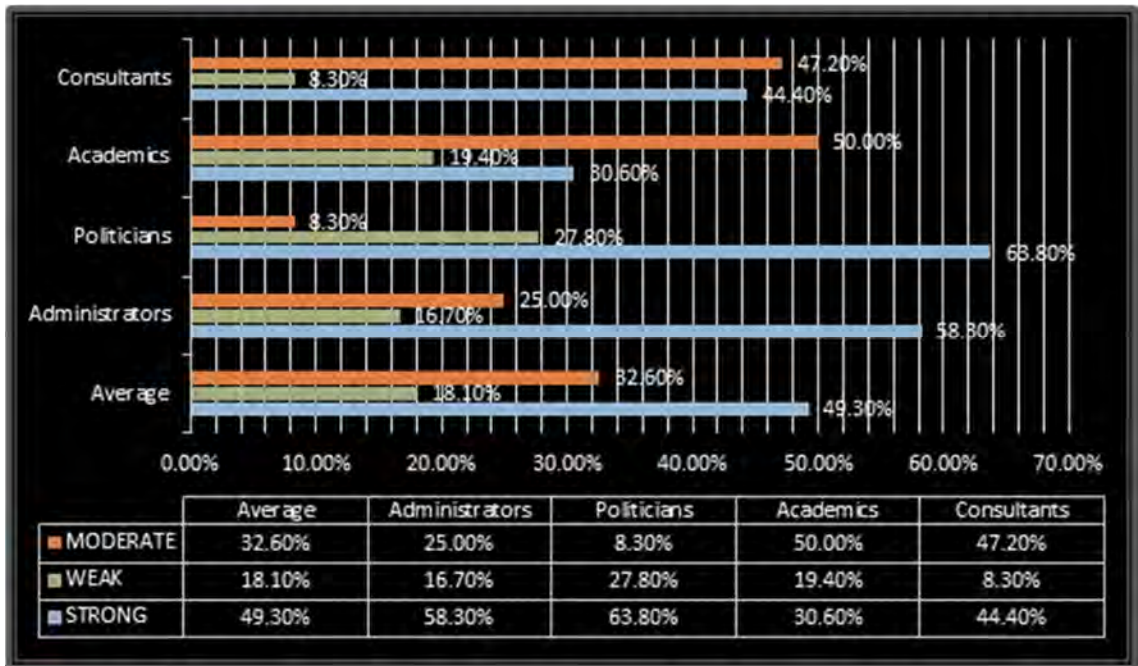
Source: Own construction in collaboration with Statistical Consultation Service, NWU (2013)

**Table 5.33: Frequency distribution of preferred perceptions based on row percentages of descriptive statistics**

matrix	AVERAGE		ADMINISTRATORS		POLITICIANS		ACADEMICS		CONSULTANTS	
	FREQUENCY	%	FREQUENCY	%	FREQUENCY	%	FREQUENCY	%	FREQUENCY	%
<b>Yes</b>	17.75	49.3	21	58.3	23	63.8	11	30.6	16	44.4
<b>Moderate</b>	11.75	32.6	9	25.0	3	8.3	18	50.0	17	47.2
<b>No</b>	6.5	18.1	6	16.7	10	27.8	7	19.4	3	8.3
<b>Total</b>	<b>36</b>	<b>100</b>	<b>36</b>	<b>100</b>	<b>36</b>	<b>100</b>	<b>36</b>	<b>100</b>	<b>36</b>	<b>100</b>

Source: Own construction in collaboration with Statistical Consultation Service, NWU (2013)

Here again, as shown in **Figure 5.20**, academics and consultants remain indeterminate while politicians join administrators to share emphatic optimism about IDP practice. The average position also indicates optimism with the compliance of IDP practice with principles.



**Figure 5.20: Bar chart of preferred perceptions based on row percentages of descriptive statistics**

Source: Own construction (2013)

Further analysis was conducted with the calculated “mean “from descriptive statistics for each question and for each category. The mean values represent average perceptions. They are distributed or arranged according to the weight attached to perceptions as indicated in **Table 5.34** below. The summation of the frequency of the mean values per question per category is indicated in **Table 5.35** below.

**Table 5.34: Matrix of mean values of descriptive statistics per category**

S/No	QUESTIONS	ANSWERS											
		ADMINISTRATORS			POLITICIANS			ACADEMICS			CONSULTANTS		
		-1	0	0.5	-1	0	0.5	-1	0	0.5	-1	0	0.5
1.	In the IDP planning approach is the urban environment regarded as the physical shape of the city?		0.00			0.17		-0.29					0.56
2	Does the IDP function more with land-use schemes than PGDS for instance?	-0.11				0.17		-0.50			-0.44		
3	Do market forces determine the use of space in IDP activities?		0.18			0.33		-0.17					0.78
4	Do the establishment and functioning of IDP agencies constitute planning activity?		0.36		-0.17			-0.17				0.23	
5	Is the IDP planning approach intended primarily to generate growth and not necessarily to shape the city?	-0.30			-0.17				0.20			0.00	
6	Is the IDP planning approach specifically designed for planning at local level?		0.29				0.67	-0.29					0.89
7	Does the IDP planning approach properly represent participatory planning process?			0.55		0.33		-0.43				0.44	
8	Would you refer to existing IDP plans (including their SDF, LED, ITP, EMF, and IIP components) as broad-based guideline plans?		0.30			0.33				0.71			0.78
9	Is the technical committee for IDP plan preparation under any obligation to take the decisions reached through stakeholders' participatory process?	-0.09					0.50		0.14			0.33	
10	Does the public participate in IDP plan preparation by taking initiatives independently of external institutional efforts to change the system of planning?	-0.22			-0.33			-0.33			-0.56		
11	Do you think IDP plan preparation is essentially a technical activity?		0.27				0.50		0.00			0.00	
12	Is the IDP methodology succeeding in using participatory processes to address the technical aspects of planning such as land use planning?		0.40		-0.50			-0.86			-0.11		
13	Does the IDP serve as instrument for the development of empty spaces and the renovation of degraded neighbourhoods within the urban environment?	-0.09			-0.33				0.00			0.11	
14	Was adequate consideration given to the use of professional planning expertise for the preparation of the IDP?	-0.09			-0.50			-0.40			-0.22		
15	Does the non-implementation of the provisions of the		0.09				0.83	-0.43				0.22	

	IDP plan indicate failure of the IDP planning approach?												
16	Does the alteration of IDP plan provisions, whether such alterations are implemented or not, indicate the failure of IDP planning approach?	-0.30					0.50	-0.43				-0.56	
17	Does IDP plan preparation consider regional plan classification (such as the urban region; functional region; planning region; physical formal region; economic formal region, etc.)?		0.77				0.50		0.43				0.22
18	Is the IDP an instrument for the implementation of the national development corridor strategy?		0.45			0.17			0.43				0.11
19	Does IDP preparation consider the connectivity responsible for the functional flow of activities within the urban region?			0.64			0.50		0.29				0.11
20	Do you really think that the IDP can effectively repackage the economic fundamentals of municipalities in South Africa?			0.82			0.50		0.29			-0.22	
21	Does the IDP follow any policy guidelines for urban development?			0.55			0.50			0.75			0.33
22	Do IDP activities recognize and apply the spatial aspect of urban growth (such as qualitative, quantitative, structural growth, etc.)?		0.36		-0.17				0.20				0.22
23	Is the IDP meant to provide support for the operation of survivalist informal sector activities?		0.45		-0.17				0.17				0.11
24	Does the planning system consider environmental factors along with culture, value system, activity systems and their distribution in space as attributes of the urban environment?			0.50	-0.50					1.00			0.67
25	Are broad guideline plans given adequate consideration in determining the direction of development in South Africa?			0.50		0.17			0.00				0.56
26	Does the use of planning standards prevail in South African planning system?			0.50			0.67		0.20				0.44
27	Are greenbelts or other management techniques such as urban service limits, urban growth boundaries (UGB), urban development boundaries (UDB) used to manage urban growth in South Africa?			0.60			0.50			0.60			0.89
28	Do long-term objectives drawn from a defined mind-set and outlook determine city planning and development in South Africa?			0.50		0.33			0.33				0.44
29	Do economic fundamentals such as productivity and GDP issues influence planning in South Africa?			0.67			0.50			0.57			0.67
30	Is sanitation and urban quality integrated in South African planning system?			0.50		0.33		-0.20					0.67

31	Does planning in South Africa adopt definite spatial measures or standards to shape the city?			0.50			0.50	-0.33				0.33	
32	Are planning decisions democratic in South Africa?		0.17				0.50	-0.33				0.11	
33	Do role-players in the participatory process demand gratification such as honorarium for their services?	-0.17				-0.50			-0.40			-0.33	
34	Is South Africa inclined to design-oriented approaches to planned development?		0.00				0.33		-0.83				0.11
35	Do planning activities depend on opinion polls drawn from town-hall meetings?	-0.17				-0.17			-0.67			-0.33	
36	Do civic identity and local ownership of plan matter in South Africa?		0.33				0.00		-0.20			-0.11	

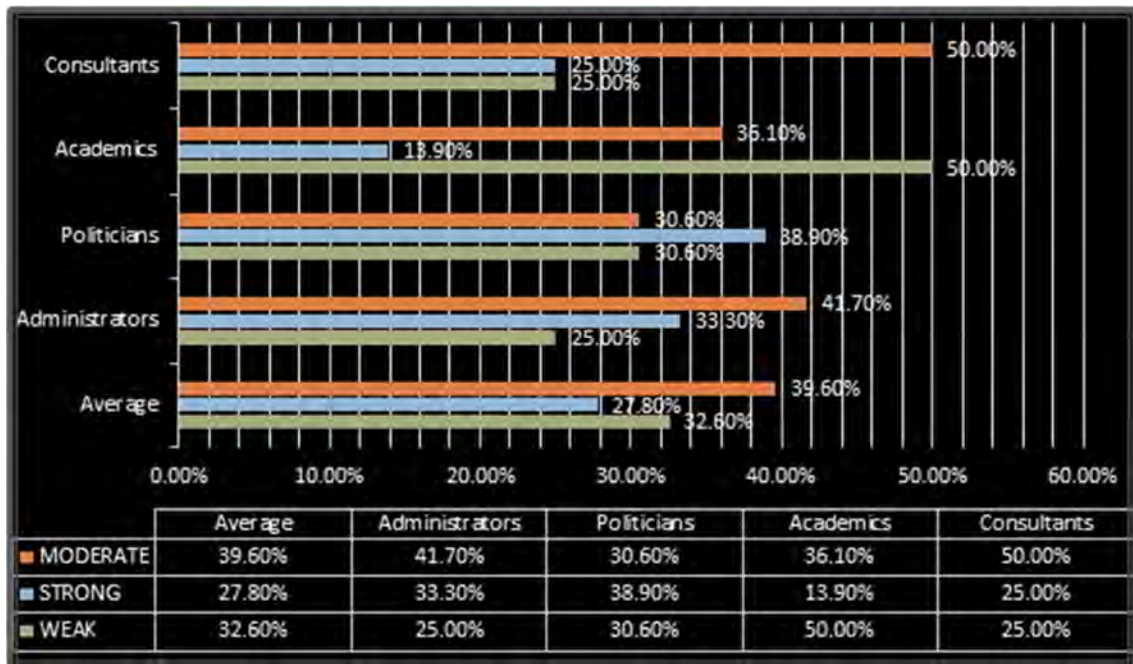
Source: Own construction in collaboration with Statistical Consultation Service, NWU (2013)

**Table 5.35: Analysis of frequency distribution of calculated “mean” per category**

MATRIX	AVERAGE		ADMINISTRATORS		POLITICIANS		ACADEMICS		CONSULTANTS	
	FREQUENCY	%	FREQUENCY	%	FREQUENCY	%	FREQUENCY	%	FREQUENCY	%
<b>Yes</b>	10	27.8	12	33.3	14	38.9	5	13.9	9	25.0
<b>Moderate</b>	14.25	39.6	15	41.7	11	30.6	13	36.1	18	50.0
<b>No</b>	11.75	32.6	9	25.0	11	30.6	18	50.0	9	25.0
<b>Total</b>	<b>36</b>	<b>100</b>	<b>36</b>	<b>100</b>	<b>36</b>	<b>100</b>	<b>36</b>	<b>100</b>	<b>36</b>	<b>100</b>

Source: Own construction in collaboration with Statistical Consultation Service, NWU (2013)

As indicated in **Figure 5.21** below, consultants remain consistently indeterminate while academics tend to be sceptics. Administrators degenerate from optimism to indeterminate positions and so does the average scenario. Only politicians manage to indicate optimism that is, however, below significant levels. This analysis upsets the pattern of perceptions and suggests doubts about the compliance of practice.



**Figure 5.21: Bar chart of frequency distribution of calculated “mean” per category**  
 Source: Own construction (2013)

The “effect size” determined during the questionnaire analysis was also engaged to gauge trends in perception. The “effect size” was distributed according to values. Referring to Cohen “d” the effect size standard measures the values below 0.2 to indicate small size; up to 0.5 will indicate medium size and above 0.8 large size. The dimension of “effect size” is distributed to correspond respectively with the weak, moderate and strong correlations of perception. Each combination of categories has a calculated “effect size”. **Table 5.36** below indicates the distribution of the various “effect sizes” according to the standard measures. The summation of frequency distribution per question and per category is captured in **Table 5.37** below.

**Table 5.36: Performance matrix of effect sizes for all six combinations of categories**

S/no	QUESTIONS	EFFECT SIZE																			
		d12			d32			d34			d14			d24			d13				
		S	M	L	S	M	L	S	M	L	S	M	L	S	M	L	S	M	L		
		0.2	0.5	0.8	0.2	0.5	0.8	0.2	0.5	0.8	0.2	0.5	0.8	0.2	0.5	0.8	0.2	0.5	0.8		
1.	In the IDP planning approach is the urban environment regarded as the physical shape of the city?	-0.17				0.46		-1.11								-0.68	-0.40			0.35	
2.	Does the IDP function more with land-use schemes than the PGDS, for instance?		-0.30				0.80	-0.07						0.36				0.81		0.42	
3.	Do market forces determine the use of space in IDP activities?	-0.15				0.48		-1.25								-0.79	-0.43			0.46	
4.	Do the establishment and functioning of IDP agencies constitute planning activity?		0.54		0.00				-0.40		0.21						-0.40			0.54	
5.	Is the IDP planning approach intended primarily to generate growth and not necessarily to shape the city?	-0.14				-0.37		0.23						-0.35			-0.17				-0.60
6.	Is the IDP planning approach specifically designed for planning at local level?		-0.44				1.17			-1.55					-0.68	-0.27					0.62
7.	Does the IDP planning approach properly represent participatory planning processes?	0.26					0.93			-1.63	0.12						-0.14				1.19
8.	Would you refer to existing IDP plans (including their SDF, LED, ITP, EMF, and IIP components) as broad-based guideline plans?	-0.03				-0.37		-0.10						-0.58			-0.43			-0.50	
9.	Is the technical committee for IDP plan preparation under any obligation to take the decisions reached through stakeholders' participatory process?			-0.63		0.40		-0.21						-0.45			0.19			-0.25	
10.	Does the public participate in IDP plan preparation by taking initiatives independently of external institutional effort to change the system of planning?	0.13			0.00			0.27						0.40			0.27			0.13	
11.	Do you think IDP plan preparation is essentially a technical activity?	-0.25					0.60	0.00						0.30			0.58			0.30	
12.	Is the IDP methodology succeeding in using participatory processes to address the technical aspects of planning such			1.08		0.43				-0.95					0.65		-0.46				1.80



	as land use planning?																	
13.	Does the IDP serve as instrument for the development of empty spaces and the renovation of degraded neighbourhoods in the urban environment?	0.23				-0.32												
14.	Was adequate consideration given to the use of professional planning expertise for the preparation of the IDP?		0.43			-0.12												0.33
15.	Does the non-implementation of the provisions of the IDP plan indicate failure of the IDP planning approach?					-0.79												0.55
16.	Does the alteration of IDP plan provisions, whether such alterations are implemented or not, indicate the failure of IDP planning approach?					-0.96												
17.	Does IDP plan preparation consider regional plan classification (such as the urban region; functional region; planning region; physical formal region; economic formal region, etc.)?	-0.27																
18.	Is the IDP an instrument for the implementation of the national development corridor strategy?	0.29				-0.27												
19.	Does IDP preparation consider the connectivity responsible for the functional flow of activities within the urban region?	0.16																0.37
20.	Do you really think that the IDP can effectively repackage the economic fundamentals of municipalities in South Africa?																	1.09
21.	Does the IDP follow any policy guideline for urban development?	0.05																-0.30
22.	Do IDP activities recognize and apply the spatial aspect of urban growth (such as qualitative, quantitative, structural growth, etc.)?																	
23.	Is the IDP meant to provide support for the operation of survivalist informal sector activities?																	0.38
24.	Does the planning system consider environmental factors along with culture, value system, activity systems and their distribution in space as attributes of the																	-0.91

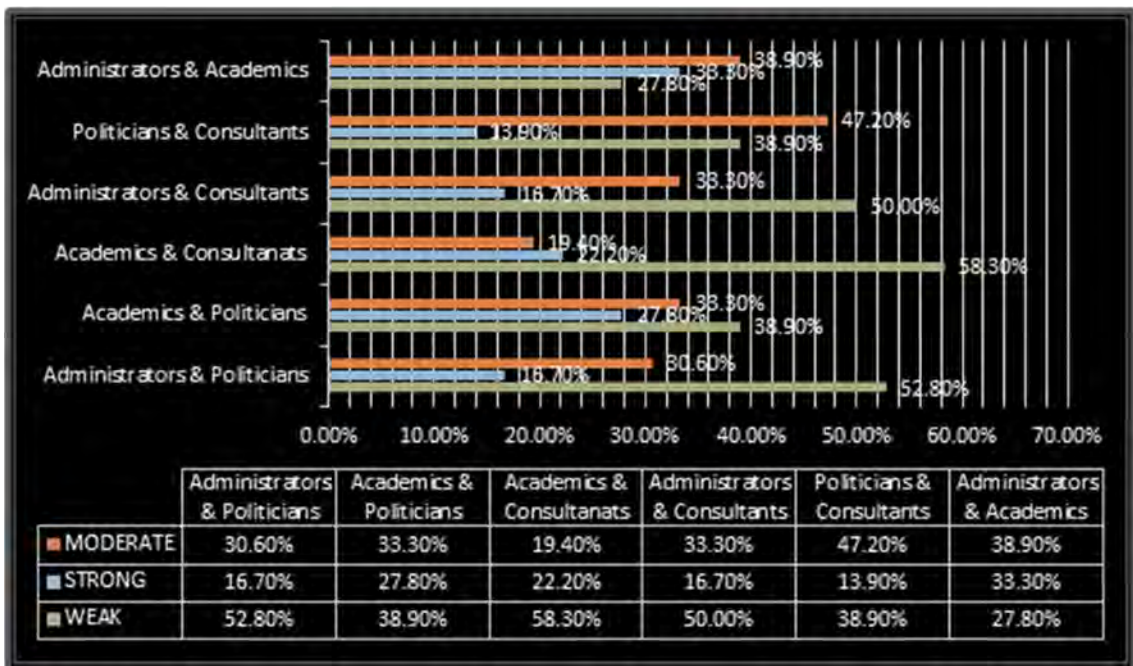


**Table 5.37: Frequency distribution of “effect size” for all six combinations of categories**

MATRIX	COMBINATIONS OF CATEGORIES											
	d1 vs. 2		d3 vs. 2		d3 vs. 4		d1 vs. 4		d2 vs. 4		d1 vs. 3	
	FREQ	%	FREQ	%	FREQ	%	FREQ	%	FREQ	%	FREQ	%
<b>Large</b>	6	16.7	10	27.8	8	22.2	6	16.7	5	13.9	12	33.3
<b>Medium</b>	11	30.6	12	33.3	7	19.4	12	33.3	17	47.2	14	38.9
<b>Small</b>	19	52.8	14	38.9	21	58.3	18	50.0	14	38.9	10	27.8
<b>TOTAL</b>	36	100	36	100	36	100	36	100	36	100	36	100

Source: Own construction in collaboration with the Statistical Consultation Services, NWU (2013)

**Figure 5.22** below indicates that weak correlations of perceptions for the different combinations of categories are generally high except perhaps for the combination of politicians and consultants as well as administrators and academics which indicate that the moderate correlation is high. Strong correlation of perceptions is relatively low.



**Figure 5.22: Bar chart of effect sizes for all six combinations of categories**  
Source: Own construction (2013)

The result of the analysis of planning questionnaire gleaned from the frequency tables indicates:

- i. IDP practice is generally perceived to reinforce the new spatial planning theoretical framework,
- ii. Administrators and politicians are discretionally more inclined than academics and consultants to perceive positive compliance of IDP practice with spatial planning principles,
- iii. Only administrators feel strong in their mutual perception about the positive compliance of IDP practice with spatial planning principles while politicians think otherwise and academics and consultant maintain a moderate position,

- iv. Mean average perceptions indicate that only politicians maintain a precarious support for the compliance of IDP practice to spatial planning principles while others, especially academics, are more pessimistic,
- v. There is no significant relationship between the perceptions of the different categories as measured by their 'effect size' calculated for planning criteria investigated, and
- vi. Overall, the perception of politicians is more sensitive, considering its fluctuation, while that of academics and perhaps consultants is more stable and consistently not positive about the compliance of IDP practice with spatial planning principles. The perception of administrators shares some measure of stability, however, in favour of positive compliance of IDP practice with spatial planning principles.

#### **5.10 MCA analysis of personal interviews**

The analysis of personal interviews is contained from **Tables 5.38** and **5.39** and the result illustrated in **Figure 5.23**. The assessment once more is based on the appraisal of collated views of respondents and impressions gathered during the interactive interview sessions.

**Table 5.38: MCA analysis of personal interviews**

Specific Questions	Categories of respondents											
	Academics			Consultants			Administrators			Politicians		
	+1	0	-1	+1	0	-1	+1	0	-1	+1	0	-1
Is the planning outlook of IDP initiative visionary (i.e. futuristic)?		x			x				x			x
Does the IDP address equity?			x			x			x		x	
As a strategic planning instrument does the IDP generate integrated development?			x			x			x			x
Is the IDP a spatial planning methodology?		x			x		x				x	
To what extent is the IDP concerned with modelling the urban form and by implication the space economy?			x			x		x				x
Is sectoral planning responsible for the incidence of 'silos' in the IDP planning dispensation?	x			x			x			x		

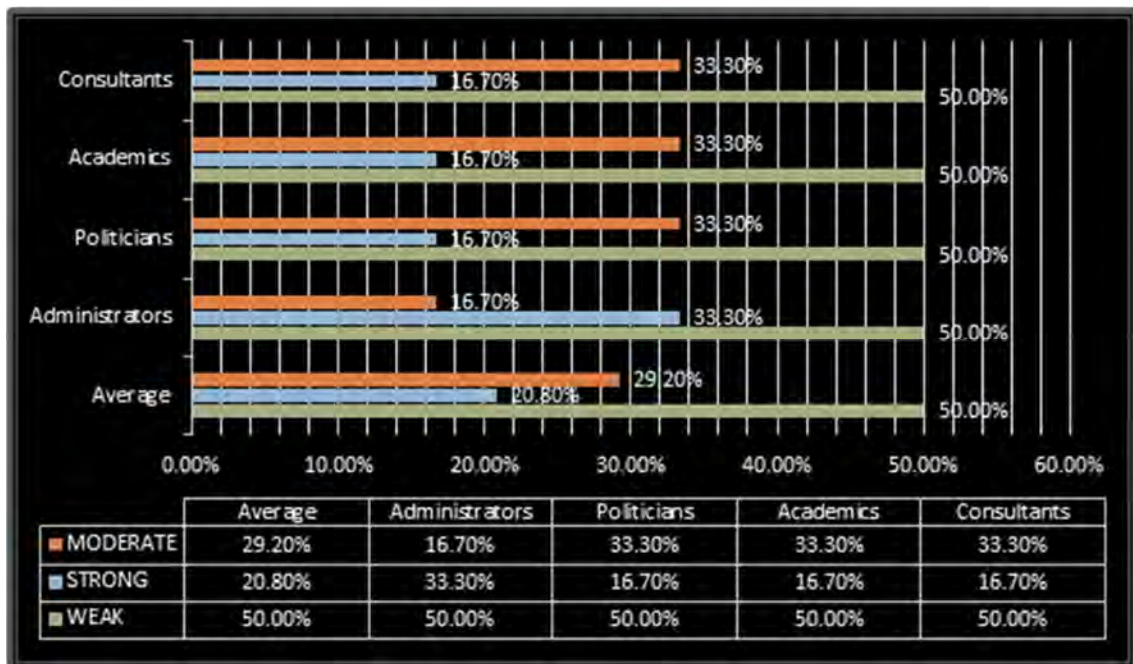
Source: Own construction (2013)

**Table 5.39: Frequency distribution of the perceptions of different categories of respondents interviewed**

Score	Average		Administrators		Politicians		Academics		Consultants	
	Freq	%	Frequency	%	Frequency	%	Frequency	%	Frequency	%
<b>Strong</b>	1.25	20.8	2	33.3	1	16.7	1	16.7	1	16.7
<b>Moderate</b>	1.75	29.2	1	16.7	2	33.3	2	33.3	2	33.3
<b>Weak</b>	3	50.0	3	50.0	3	50.0	3	50.0	3	50.0
<b>Total</b>	6	100	6	100	6	100	6	100	6	100

Source: Own construction (2013)

The result of the personal interview represented in **Figure 5.23** below is similar to the scenario of mean average perceptions identified in the questionnaire survey (see **Figure 5.21**). The difference is that optimism about compliance and functionality in this case is shared by administrators and not politicians. Perhaps the functionality element is responsible for the twist.



**Figure 5.23: Bar chart of performance of different categories of respondents interviewed**

Source: Own construction 2013

The result of the analysis of personal interviews indicates:

- i. Irrespective of compliance with the new theoretical framework there exists a consensus among all categories of respondents that the IDP initiative is potentially a weak planning instrument. In other words, it is not achieving its theoretical role, especially in terms of integration,
- ii. The views of academics, consultants, and politicians are symmetrical in collaborating about the weakness identified,
- iii. The views of administrators differ from the symmetry shared by the other categories of respondents and tended to be relatively optimistic perhaps due to their positive appraisal of the IDP as a spatial planning methodology with the potential to shape the city and subsequently the space economy,
- iv. The four categories of respondents are consistent in their views that the IDP at the moment indicates a negative slant in securing integration and indicates a positive slant as a remote causal factor of 'silo' development given its disposition towards sectoral planning, and

- v. Notably the politicians are more incisive (and somehow pessimistic) about the IDP thus signalling their role as potential content drivers in planning.

### **5.11 Conclusion**

The compendium of analysis so far indicates compliance with neo-liberal planning and the difficulty of planning initiatives to deliver integration. The need to deliver integration tends to draw attention to the resilience of the formal planning paradigm. The analysis of the database from the empirical study concludes the analytical process meant to verify trends in neo-liberal planning. In it the result of personal interview confirms the findings of the questionnaire survey, especially as it relates to the correlation of perceptions among the various categories of respondents. It is generally perceived that the practice of the IDP initiative does not indicate the same level of sophistication as its theoretical background. The appreciation of the IDP concept was found to vary depending on capacity and this reflects on the quality of initiatives. No correlation was found in the perception of the different categories of respondents in the questionnaire survey and this further highlights the enigma of the concept. But the general impression is that the IDP exhibits a weak capacity to deliver integration. Remarkably, respondents of the personal interview confirmed that integration was not being achieved. Across the six levels of analysis that was conducted, integration was at stake. It was difficult to find an interface between integration and process-planning initiatives. The challenge ahead is to find this interface - that is, if it is at all feasible. It is most likely that solace could be found in synthesizing equilibrium between political analysis and technical analysis in planning. This is found to be the practical problem with the IDP initiative in South Africa - apart from enhancing form-based planning orientation in reconsidering the initiative.

It is therefore clear that neo-liberal planning initiatives do not have the capacity to deliver integration in development processes. A disconnect between neo-liberal planning theory and spatial modelling of space economy is also clear. This is as a result of the relegation of formal planning principles and the disregard for urban growth management instruments in neo-liberal planning theory. Regardless of the over-arching influence of informality in the neo-liberal planning dispensation, there are clear indications of the resilience of formal planning principles. The next section presents the summary of research findings, the test of the null hypothesis, and it articulates strategic conclusions. Subsequently it also proposes recommendations.



## SECTION E: STRATEGIC CONCLUSIONS AND RECOMMENDATIONS

### Chapter 6 Findings and conclusions

In this chapter a summary of research findings is given and subsequently the resilience of formal planning will be examined. This is based on an empirical database generated from the perception analysis of the application of the IDP initiative. This exercise, in other words, tests the null hypothesis of the research.

#### 6.1 Introduction

Long before the incidence of neo-liberal participatory planning, a master planning paradigm had existed. Criticism against master planning came in phases and metamorphosed into attempts to reinvent planning, which neo-liberalism introduced. Developed countries, with integrated development plans, relied heavily on master planning principles currently transformed into urban design principles which complement planning which arguably has not moved significantly away in practice from formal planning. Otherwise, recent legislation in some developed countries such as The Netherlands that excludes poor people from certain sections of the city, contravenes inclusive planning driven by participatory planning in the current dispensation of neo-liberal planning theory. If countries that have integrated spatial systems still rely on formal planning principles it is difficult to understand its rejection in developing countries where integration is not yet manifest in their space economy.

#### 6.2 Summary of findings

Acting on the knowledge base from literature six sets of analyses were developed based directly or indirectly on the new platform. The findings of the analysis which employed different analytical tools particularly the MCA tool are presented in summary in **Table 6.1** above. Apart from the summary table under reference very useful deductions were made in the analysis of literature by time-frame as presented in **Table 5.1** and the analysis of literature by region as presented in **Table 5.2** (c.f. 5.4; c.f. 5.5). Also useful insights are contained in the deductions of qualitative and iterative analysis of secondary data on country profiles (see **Table 3.2**) linked with deductions on the state of art in the thematic areas studied in the selected African countries (see **Table 3.3**) (c.f. 3.7.1; c.f. 3.7.1.1). These findings are considered to be generic new knowledge, but more significantly they provide theoretical bases for answering the research questions and for determining the null hypothesis.

**Table 6.1: Summary of findings derived from perception analyses of planning initiatives in Africa**

S/no	MCA ANALYSIS	REFERENCE	FINDINGS
1.	Compliance with the new theoretical framework in Africa	c.f. 5.5.1	<ul style="list-style-type: none"> <li>• Multi-dimensional planning perspective exists in Africa.</li> <li>• Informal planning instrument is used for managing spatial development in Africa.</li> <li>• Planning outlook is diffused in Africa.</li> <li>• Spatial planning is not form-based in Africa.</li> <li>• There exists nearly a mean relationship between theoretical and analytical framework in spatial planning in Africa</li> </ul>
2	Compliance with the new theoretical framework in planning initiatives in selected African countries.	c.f. 5.5.2	<ul style="list-style-type: none"> <li>• The synthesis of data generated as contained in <b>Table 5.8</b> indicates that IDP initiative in South Africa is more compliant to neo-liberal planning theory as indicated in <b>Figure 5.2</b> above. <b>Figure 5.3</b> confirmed that the initiatives studied cumulatively indicate the dominance of strong compliance although <b>Figure 5.4</b> indicates that the compliance surface undulates.</li> <li>• Market forces are the dominant determinant factor for land-use management in Africa.</li> <li>• The participatory process is invariably consultative in Africa.</li> <li>• Project planning defines planning framework in Africa.</li> </ul>
3	Own assessment of planning initiatives in selected African countries using <b>4As</b> criteria	c.f. 5.6.1	<ul style="list-style-type: none"> <li>• The IDP initiative exhibits the best disposition towards compliance with the new spatial planning theoretical framework that has developed since the 1980s.</li> <li>• Planning initiatives in Africa are generally weak spatial planning instruments. They are all weak in spatial integration and somehow strong in resource mobilization.</li> <li>• Planning initiatives in selected African countries cumulatively indicate very low percentages of strong capacity to deliver spatial regional integration in the continent as indicated in <b>Figure 5.6</b></li> <li>• The compliance of planning initiative with neo-liberal planning is on a higher platform in South Africa and Egypt compared with the other initiatives that were studied.</li> </ul>
4.	Compliance with the new spatial planning theoretical framework	c.f. 5.7	<ul style="list-style-type: none"> <li>• The level of mean performance at roughly 2.5% is above the average threshold of 2.4% anticipated per variable for a total of 42 variables (options) considered. Thus the</li> </ul>

	in selected African countries.		<p>distribution of performance levels is healthy.</p> <ul style="list-style-type: none"> <li>• The bulk of issues beneath the mean average line are form-based issues and those above are mainly developmental economics, informal expertise and participatory issues.</li> <li>• The most compliant country to the new theoretical framework is South Africa and the least is DRC.</li> </ul>
5.	Desktop case studies of select IDPs in South Africa.	c.f. 5.8.3	<ul style="list-style-type: none"> <li>• The performances of IDP frameworks vary but they all maintain a positive level of compliance with the new theoretical framework,</li> <li>• The relationship between existing and desired practice is positive although it varies in relation with compliance with principles,</li> <li>• Strong positive relationship exist across board between principles and desired practice,</li> <li>• Weak relations are at a low ebb and more pronounced in the relationship between practice and desired practice,</li> <li>• The capacity of IDPs to achieve spatial regional integration is generally below average although comparative advantages exist between IDPs.</li> </ul>
6.	SWOT analysis of IDP/SDF in Tlokwe, Matlosana and Rustenburg municipalities	c.f. 5.8.4	<ul style="list-style-type: none"> <li>• The IDP is a neo-liberal planning instrument,</li> <li>• The IDP as instrument for spatial planning is contestable,</li> <li>• Not all IDP documents are visionary,</li> <li>• The IDP conceptually lacks an integrative element. There is need to mainstream integration,</li> <li>• The SDF is a misplaced strategy because the SDF is conceptually invalid under an IDP culture,</li> <li>• The IDP lacks authority in planning practice</li> </ul>
7.	Own assessment of IDPs using <b>4As</b> criteria	c.f. 5.8.5	<ul style="list-style-type: none"> <li>• The pattern and quality of IDP documents vary.</li> <li>• IDP planning is potentially weak and vulnerable as a spatial planning instrument.</li> <li>• IDP documents are fairly well-related to the IDP theoretical framework,</li> <li>• The IDP is more advanced in theory than in practice</li> <li>• Patterns of relationships between principles, practice and desired practice are not identical but fairly similar within and across the municipalities,</li> <li>• Levels of relationships between principles, practice and desired practice within and across municipalities are consistently positive,</li> </ul>

8.	Empirical data on IDP/SDF local municipalities in South Africa (Empirical case studies)	c.f. 5.9	<ul style="list-style-type: none"> <li>• IDP practice is generally perceived to reinforce the tenets of new spatial planning principles,</li> <li>• Administrators and politicians discretionally are more inclined than academics and consultants to perceive positive compliance of IDP practice with spatial planning principles,</li> <li>• Mutual perceptions indicate that only administrators feel strongly about the positive compliance of IDP practice with spatial planning principles while politicians think otherwise and academics and consultants maintain a moderate position,</li> <li>• Mean average perceptions leave the politicians to maintain a precarious support for the compliance of IDP practice to spatial planning principles while academics gets more pessimistic,</li> <li>• There is no significant relationship between the categories of perceptions as measured by the 'Effect size' calculated for planning criteria investigated, and</li> <li>• Overall the perception of politicians is more sensitive considering its fluctuation while that of academics and perhaps consultants is more stable and consistently not in favour of the compliance of IDP practice to spatial planning principles. The perception of administrators shares some measure of stability however in favour of positive compliance of IDP practice to spatial planning principles.</li> </ul>
9.	IDP/SDF interview summary	c.f. 5.10	<ul style="list-style-type: none"> <li>• Irrespective of compliance with the new theoretical framework there exists a consensus among all categories of respondents that the IDP initiative is potentially a weak planning instrument. In other words it is not achieving its theoretical role especially integration,</li> <li>• The views of academics, consultants, and politicians are symmetrical in collaborating the weakness identified,</li> <li>• The views of administrators differ from the symmetry shared by the other categories of respondents and tended to be relatively optimistic due to their positive appraisal of IDP as a spatial planning methodology with potentials to shape the city and subsequently the space economy,</li> <li>• The four categories of respondents are consistent in their views that the IDP at the moment exhibits a negative in securing integration and indicates a positive as to remote</li> </ul>

			<p>causal factors or 'silos' of development given its disposition towards sectoral planning, and</p> <ul style="list-style-type: none"> <li>• Notably the politicians are more incisive (and somehow pessimistic) about the IDP, thus signalling their role as potential content drivers in planning.</li> </ul>
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Source: Own construction (2013)

### 6.3 Basic scenario vis-à-vis research findings

The elucidation of the basic scenario is compelled to adopt a historical perspective for purposes of putting current trends in planning in their proper context and in the process exposing its real meaning and implications, rather than enrolling in the evaluation of spatial planning in Africa, based on compliance with new perspective of planning established with neo-liberalism serving as intellectual instrument. The institutional school of thought postulates that current new perspectives in planning are primarily focused on enhancing planning implementation through participatory planning processes. This trend of thought has the effect of reducing the forces that influence paradigm change to local conditions hence in the rhetoric of paradigm change, global influences are seldom mentioned. But it goes without saying that for an overarching hegemonic phenomenon such as neo-liberal planning to manifest global influence is inevitable.

Neo-liberalism emanates from capitalism. The African continent encountered capitalism after a long sojourn with imperialism in the mid-19<sup>th</sup> century following contact with western civilization. This experience had implications on African space economy which are characterized by the emergence of colonial towns. The geography of the African economy was rewritten from what it was in the mercantilist period when the African continent controlled its destiny through local institutions and authority. Then around the 15<sup>th</sup> century African empires and kingdoms grew and were expressed in the culture of cities. Imperialism halted this trend first by reworking the mind-set from nation-building to private sector development and the instrument for planning started its gradual transition from rational thinking which informed the then popular design tradition in planning. At the inception of the professional design tradition in the late 20<sup>th</sup> century, a master-planning instrument was introduced and proved to be a very effective instrument to control the use of space. Its use was, however, tuned to deliver an imperial space economy under colonial authority.

After the independence decade (1950 – 1960) in Africa, nationalist governments inherited the master-planning instrument but the challenge of capitalism, which included the influence of market forces in land-use management, proved difficult to disregard. The consideration of culture, value system and environmental factors in planning gradually morphed into considerations of funding mechanisms. Funding is an instrument of control in the neo-colonial dispensation. Most African economies have issues with funding and this compelled them to cooperate with external development partners apart from having visionary leadership problems. By the 1970s market-force considerations out-played master planning on the heels of structural economic adjustment programmes occasioned by global economic recessions. Incipient project development syndromes sustained planning vacuums and informality gained a foothold as the common good lost impetus.

Market force is an instrument for managing global economy and the world system is insistent in making it an instrument for managing land use rather than planning rationality. Meanwhile African countries among other developing economies are in a disadvantaged position to engage in the competition market force encourages and they have little defence against the impact it exerts on their space economy. If nothing else, it erodes their control of the space economy. The dilemma of African countries in managing their space economy deepened as neo-liberal economic policies emerged in the 1980s to initiate the era of neo-liberalism, a concept that provides tacit support for market force consolidation. Neo-liberalism arrived with new planning perspectives referred to as neo-liberal planning and interpreted loosely as a participatory planning perspective. The new theoretical framework for spatial planning that issued from the neo-liberal background sought two imperatives that are tangential to enhance the stakes of market force and they are: eliminating form-based planning and encouraging a broad-based guideline framework as planning instrument. Hence compliance with these standards should be seen for what they represent – instruments in the hands of neo-liberals to usurp the authority of national governments to manage the development of their space economies. In other words, compliance in the circumstances that compromises the imperatives mentioned earlier cannot be seen as a virtue.

It was found that spatial integration eluded most planning initiatives in Africa in spite of positive compliance found across the board between principles and practice, yet the so-called plan implementation that informed the experimentation with neo-liberal planning

was at best marginally achieved. The inability to secure integration implies in practical terms that infrastructure provision is no longer subject to planning control, thus disproving the notion that form-based planning is not necessary for managing spatial (urban and regional) integration. This is why South Africa needs to be more tactful in pursuing a compliance that has the effect of installing market forces in urban planning because it is not a strategic approach to redress spatial distortions. The lessons of apartheid planning lie not in removing planning control but in redressing its racial content and realizing that master planning is a feasible and practical instrument to achieve common good or public interest. Compliance with paradigm shifts in neo-liberal terms is a threat that removes the poor and weak at individual and even at country and continental levels from the purview of planning. The extent to which this threat is realized in conceiving planning initiatives is not clear; however, the weak disposition of planning initiatives is worrisome and appears to be directly related to compliance, which makes it vulnerable in the context of the syndrome of the market metaphor, and the need to comply is most likely factored on remaining relevant in the world system rather than acceptance as the resilience of local planning practice indicates. However, it is consoling to note that the rhetoric of planning is changing faster than practice, as measured by the perceived resilience of formal planning. This leads to the proposition that master planning, however controversial, has not outlived its usefulness and relevance in urban planning in Africa.

The challenge ahead of a new contribution is to suggest a development paradigm that can achieve integration without compromising participation in planning. The practical problem with this challenge is the integration of economic and spatial planning to achieve growth and shape the city simultaneously. This requires the resolution of the interface between political and spatial analysis in development planning. The rider in this mission is to manage the role of informality and determine the place of the market metaphor fronted by neo-liberalism. The best approach, perhaps, is to engage the market metaphor in the use of space in spatial planning initiatives. The role that formal planning principles play in this regard is critical and elicits the test of a research hypothesis which seeks to establish the status of the resilience of formal planning principles and practice.

## **6.4 Testing of hypothesis**

### **6.4.1 Qualitative research**

Following the inception of neo-liberal theory, the literature review established the theoretical framework for planning since the 1980s. The new theoretical framework emphasized process-planning which compromised formal planning rationality and tended to promote informality in planning (c.f.5.5.2). The compliance of country profiles in Africa with the theoretical framework was analysed. The result established compliance between the analytical framework of planning and the new theoretical framework in principle and not necessarily in practice (c.f. 5.7). South Africa topped the list of ten countries sampled (c.f. 5.7). The compliance perceived in the African country context was further examined by relating the theoretical framework to planning initiatives in selected African countries (c.f.5.7). Compliance was further established, however at varying degrees but generally above average (c.f. 5.7). The South African IDP initiative was found to be more compliant (c.f. 5.7). Form-based elements performed below average. In the very unfavourable circumstance it maintained a precarious presence thus signalling resilience (c.f. 5.7).

On the other hand, the matrix of literature by time-frame illuminates the resilience of statutory planning underpinned in cyclical trends identified in the evolution of planning principles and practice (c.f. 2.6.3 and c.f. 5.3). The resilience connects with the effect of postmodernism in planning (c.f. 5.3). The status of planning is identified as being relatively unstable (c.f. 5.3). The matrix of literature by region indicates the dominance of statutory planning in planning practice in Africa contrary to the scenario in Europe (c.f. 5.3). Also identified is the peculiar relationship between participatory planning, statutory planning and broad guideline statutory planning (c.f. 3.2). The inverse relationships identified indicate formal planning as a resilient player in the neo-liberal environment of participatory planning. Furthermore, the review of secondary data on country profile indicates that the side-lining of formal planning is more or less active in principle and not in practice (c.f. 5.3). Overall literature indicates multi-dimensional perception of planning perspective (c.f. 5.5.1) shared between participatory and master planning perspectives. Most participatory perspectives are intended for project planning, especially for renewal projects. In effect the perception of planning perspectives in Africa is diffuse, thus signalling the resilience of a form-based (statutory) outlook which is consciously being subordinated (c.f. 7.2).



#### 6.4.2 Quantitative research

The IDP initiative was subjected to an empirical investigation in the context of planning in South Africa. Compliance with neo-liberal attributes was confirmed; however, not without attendant issues that border on functionality of planning initiatives as spatial integration instrument and the status of planning rationality. The perception of the IDP as a spatial planning instrument varied, with administrators maintaining consistent positive appraisals and remarkably followed by politicians (c.f. 5.9). Mixed perception suggests resilience of issues outside the mainstream of neo-liberal planning. This is confirmed in the impressions garnered from the personal interviews in which the administrators were favourably disposed to recognizing the spatial planning principles that drive IDP practice (c.f. 5.9).

Further analysis to determine the resilience noticed was conducted with the database on the perception of IDP practice (c.f. 6.4.2). The database drew from a total of thirty-six questions that examined formal (form-based) and pragmatic (non-form-based) planning themes. The questions were evenly spread for probing the two categories of planning and those for formal (form-based) planning are isolated in **Table 6.2** below. The analytical approach sought to determine the performance of each category of planning in the percentages of holistic perception identified earlier (c.f. 4.3). Consideration in this analysis is given primarily to the ratio of percentages of the positive (that is “Yes”) perceptions. Ratios above zero indicate resilience.

**Table 6.2: Matrix of descriptive statistics of related themes considered for measuring formal (form-based) planning**

S/No	QUESTIONS (THEMES)	PERCEPTIONS			
		+1	0	-1	M
		%	%	%	%
1.	In an IDP planning approach is the urban environment regarded as the physical shape of the city?	39.4	30.3	27.2	3.0
2	Does the IDP function more with Land-use schemes than PGDS, for instance?	21.2	27.3	42.4	9.1
3	Do you think IDP plan preparation is essentially a technical activity?	45.5	27.3	27.3	-
4	Does the IDP serve as an instrument for the development of empty spaces and the renovation of degraded neighbourhoods within the urban environment?	30.3	30.3	36.4	3.0
5	Was adequate consideration given to the use of professional planning expertise for the preparation of the IDP?	18.2	33.3	42.4	6.1
6	Does IDP plan preparation consider regional plan classification (such as the urban region; functional region; planning region; physical formal region; economic formal region, etc.)?	48.5	36.4	15.2	-
7	Is the IDP an instrument for the implementation of the national development corridor strategy?	48.5	33.3	18.2	-
8	Does IDP preparation consider the connectivity responsible for the functional flow of activities within the urban region?	51.5	36.4	12.1	-
9	Do you really think that the IDP can effectively repackage the economic fundamentals of municipalities in South Africa?	48.5	39.4	12.1	-
10	Does the IDP follow any policy guideline for urban development?	57.6	21.2	12.1	9.1
11	Do IDP activities recognize and apply the spatial aspect of urban growth (such as qualitative, quantitative, structural growth, etc.)?	36.4	39.4	18,2	6.1
12	Does the planning system consider environmental factors along with culture, value systems, activity systems and their distribution in space as attributes of the urban environment?	42.4	21.2	12.1	24.2
13	Does the use of planning standards prevail in South African planning system?	39.4	36.4	3.0	21.2
14	Are greenbelts or other management techniques such as urban service limits, urban growth boundaries (UGB), urban development boundaries (UDB) used to manage urban growth in South Africa?	51.5	24.2	-	24.2
15	Do long-term objectives drawn from a defined mind-set and outlook determine city planning and development in South Africa?	39.4	36.4	6.1	18.2
16	Are sanitation and urban quality integrated in South African planning system?	45.5	18.2	15.2	21.2
17	Does planning in South Africa adopt definite spatial measures or standards to shape the city?	36.4	30.3	15.2	18.2
18	Is South Africa inclined to design-oriented approach to planned development?	18.2	39.4	24.2	18.2

NOTE: The highest score highlighted in each row represent the preferred perception for each question.

NOTE: +1 = Yes; 0 = Moderate; -1 = No

Source: Own construction in collaboration with Statistical Consultation Service, NWU 2013

The calculated ratio of **1.4** deduced from the split percentages of “Yes” perceptions represented in **Table 6.3** below confirms the existence of a very strong resilience of formal (form-based) planning attributes in the perceptions of analytical frameworks of IDP planning initiatives.

**Table 6.3: Split-cell frequency distribution of preferred perception of planning practice**

Perception	Frequency	%	Category	Frequency	%	Ratio
<b>Yes</b>	22	61.1	Formal	13	36.1	1.4
			Pragmatic	9	25.0	
<b>Moderate</b>	6	16.7	Formal	2	5.6	0.5
			Pragmatic	4	11.1	
<b>No</b>	8	22.2	Formal	3	8.3	0.6
			Pragmatic	5	13.9	
<b>Total</b>	36	100		36	100	

Source: Own construction in collaboration with Statistical Consultation Service, NWU 2013

On the other hand the distribution of the disposition of the four categories of respondents derived from the database contained in **Tables (6.4 to 6.6)** below is determined from the matrix of calculated ratios in **Table 6.7** below. It is deduced from the ratios that the perceptions of administrators, politicians and academics clearly and consistently identify with the existence of a very strong resilience of formal (form-based) planning attributes in the analytical framework of the IDP planning initiative. The perception of consultants, judging from calculated ratios is confirmed as being strong and almost very strong. Overall, the resilience of formal (form-based) attributes in IDP planning initiative is roundly confirmed. However, this fact pales into insignificance and fails to make an impression given the overwhelming popularity of neo-liberal participatory attributes of IDP initiatives.

Therefore from the foregoing it can deduced that this research disproves the null hypothesis and establishes that form-based planning attributes are significantly resilient in the perception of planning initiatives within spatial systems in Africa. What this implies is that form-based planning is a character trait that identifies spatial planning. It is an exercise in futility to ignore it as neo-liberal planning attempts to do. The sooner this fact of planning is recognized and reconsidered in the conception of planning theory, the sooner spatial planning will be back on track to achieve spatial integration.

**Table 6.4: Split-cell frequency distribution of preferred perceptions based on column percentages of descriptive statistics on planning practice**

MATRIX	ADMINISTRATORS					POLITICIANS					ACADEMICS					CONSULTANTS				
	FREQ	%	C	FREQ	%	FREQ	%	C	FREQ	%	FREQ	%	C	FREQ	%	FREQ	%	C	FREQ	%
Yes	17	47.2	F	8	22.2	16	44.4	F	7	19.4	9	25.0	F	6	16.7	12	33.3	F	4	11.1
			P	9	25.0			P	9	25.0			P	3	8.3			P	8	22.2
Moderate	11	30.5	F	6	16.7	2	5.5	F	2	5.6	15	41.7	F	6	16.7	18	50.0	F	10	27.8
			P	5	13.5			P	-	-			P	9	25.0			P	8	22.2
No	8	22.2	F	4	11.1	18	50.0	F	9	25.0	12	33.3	F	6	16.7	6	16.7	F	4	11.1
			P	4	11.1			P	9	25.0			P	6	16.7			P	2	5.6
<b>Total</b>	<b>36</b>	<b>100</b>		<b>36</b>	<b>100</b>	<b>36</b>	<b>100</b>		<b>36</b>	<b>100</b>	<b>36</b>	<b>100</b>		<b>36</b>	<b>100</b>	<b>36</b>	<b>100</b>		<b>36</b>	<b>100</b>

NOTE: F= Formal (form-based) planning; P= Pragmatic (non-form-based) planning; C= Category  
 Source: Own construction in collaboration with Statistical Consultation Service, NWU 2013

**Table 6.5: Split-cell frequency distribution of preferred perceptions based on row percentages of descriptive statistics on planning practice**

MATRIX	ADMINISTRATORS					POLITICIANS					ACADEMICS					CONSULTANTS				
	FREQ	%	C	FREQ	%	FREQ	%	C	FREQ	%	FREQ	%	C	FREQ	%	FREQ	%	C	FREQ	%
Yes	21	58.3	F	12	33.3	23	63.8	F	13	36.1	11	30.6	F	7	19.4	16	44.4	F	7	19.4
			P	9	25.0			P	10	27.8			P	4	11.1			P	9	25.0
Moderate	9	25.0	F	4	11.1	3	8.3	F	1	2.8	18	50.0	F	8	22.2	17	47.2	F	10	27.8
			P	5	13.9			P	2	5.6			P	10	27.8			P	7	19.4
No	6	16.7	F	2	5.6	10	27.8	F	4	11.1	7	19.4	F	3	8.3	3	8.3	F	1	2.8
			P	4	11.1			P	6	16.7			P	4	11.1			P	2	5.6
<b>Total</b>	<b>36</b>	<b>100</b>		<b>36</b>	<b>100</b>	<b>36</b>	<b>100</b>		<b>36</b>	<b>100</b>	<b>36</b>	<b>100</b>		<b>36</b>	<b>100</b>	<b>36</b>	<b>100</b>		<b>36</b>	<b>100</b>

NOTE: F= Formal (form-based) planning; P= Pragmatic (non-form-based) planning; C= Category  
 Source: Own construction in collaboration with Statistical Consultation Service, NWU 2013

**Table 6.6: Split-cell frequency distribution of preferred perceptions based on mean values of descriptive statistics on planning practice per category of respondents**

MATRIX	ADMINISTRATORS					POLITICIANS					ACADEMICS					CONSULTANTS				
	FREQ	%	C	FREQ	%	FREQ	%	C	FREQ	%	FREQ	%	C	FREQ	%	FREQ	%	C	FREQ	%
Yes	12	33.3	F	9	25.0	14	38.9	F	8	22.2	5	13.9	F	3	8.3	9	25.0	F	4	11.1
			P	3	8.3			P	6	16.7			P	2	5.6			P	5	13.9
Moderate	15	41.7	F	6	16.7	11	30.6	F	6	16.7	13	36.1	F	9	25.0	18	50.0	F	11	30.6
			P	9	25.0			P	5	13.9			P	4	11.1			P	7	19.4
No	9	25.0	F	4	11.1	11	30.6	F	4	11.1	18	50.0	F	6	16.7	9	25.0	F	3	8.3
			P	5	13.9			P	7	19.4			P	12	33.3			P	6	16.7
<b>Total</b>	<b>36</b>	<b>100</b>		<b>36</b>	<b>100</b>	<b>36</b>	<b>100</b>		<b>36</b>	<b>100</b>	<b>36</b>	<b>100</b>		<b>36</b>	<b>100</b>	<b>36</b>	<b>100</b>		<b>36</b>	<b>100</b>

NOTE: F= Formal (form-based) planning; P= Pragmatic (non-form-based) planning; C= Category  
 Source: Own construction in collaboration with Statistical Consultation Service, NWU 2013

**Table 6.7: Matrix of ratios of positive perceptions per category of respondent**

MATRIX	ADMINISTRATORS				POLITICIANS				ACADEMICS				CONSULTANTS			
	VSR	SR	WR	N	VSR	SR	WR	N	VSR	SR	WR	N	VSR	SR	WR	N
	≥ 1.0	≥ 0.5	≥ 0.0	≤ 0.0	≥ 1.0	≥ 0.5	≥ 0.0	≤ 0.0	≥ 1.0	≥ 0.5	≥ 0.0	≤ 0.0	≥ 1.0	≥ 0.5	≥ 0.0	≤ 0.0
<b>Column percentages</b>		0.9				0.8			2.0					0.5		
<b>Row percentages</b>	1.3				1.3				1.7					0.8		
<b>Mean values</b>	3.0				1.3				1.5					0.8		

NOTE: VSR= Very strong resilience; SR= Strong resilience; WR= Weak resilience; N= Negative  
 Source: Own construction in collaboration with Statistical Consultation Service, NWU 2013

## 6.5 Strategic conclusions

Thus far, neo-liberal ideologies prevail as thinking instruments for paradigm shifts in planning neo-liberal planning, that is, planning without a plan, with a market metaphor in development processes providing a suitable operational environment. Consequently the relevance of spatial planning as a rational instrument to manage the distribution of activities in space diminishes in practice. At the moment informality is the path of growth of planning practice; however, the resilience of formal (form-based) planning is revealed. Neo-liberal planning is real but formal planning still preoccupies the minds of planners. Ironically, both realities are not mutually compatible; therefore a synthesis is not immediately feasible. The option available is to encourage either of the two realities and discourage the scenario where planning initiatives are perceived in part as formal planning instruments but function in reality as neo-liberal instruments. This research concludes that this mix-up probably works against the capacity of planning initiatives to achieve integrated regional development.

However, the choice of interventions in planning for Africa inevitably draws on the need to rework the space economy through integrated regional development. This serves as an entry point towards the delivery of Africa from dependent economy. Therefore it leaves informal planning out of the options for consideration. For informality in planning to be effectively redressed, ideological change in economic development approach is implied and on the basis of this planning initiatives shall be determined. Driven with the mind-set of spatial regional integration as expounded in NEPAD initiative for African renaissance - put literally the rebirth of Africa with introverted space economy - the planning initiative should pursue the rational control of the space economy. This research therefore concludes that detailed frameworks are in the planning agenda contrary to a current focus on broad-based frameworks which have failed to secure integration after more than three decades of experimentation.

Given that Africa is allegedly marked by weak states among other local conditions, the challenges ahead start with securing political will for change. Political analysis in planning demands attention since the crisis of governance is at the heart of worsening working conditions. The use of informal expert knowledge where rational input is impaired is commonplace at the moment. It is found that this practice revolves around favouring funding mechanisms determined by market forces. This research concludes

that current planning practice does not support balanced trade-offs with private profitability where sustainable management is the priority.

The resilience of formal planning which was tested with qualitative and quantitative data in this section debunked the null hypothesis, thus establishing that the resilience of formal planning principles and practice is real and ought not to be ignored. Given this knowledge base, the review of neo-liberal planning is imperative. The way forward should respond to the mind-set for the African renaissance that engages the territorial planning outlook. Therefore an alternative intellectual instrument for planning, that leans towards strong interventions and ruled by the principles of equity and sustainable development, is also imperative. The next chapter responds to the outstanding imperatives to articulate a general theory for integrated regional development in developing countries and particularly in the African context.

## **Chapter 7 Recommendation**

In this chapter the process of generating the criteria to rework planning paradigms is undertaken. The theoretical framework for planning is reviewed and an alternative ideological perspective is considered. Thereafter, the research postulates a general planning theory for application in the African context particularly.

### **7.1 Introduction**

The generation of new knowledge starts with the integration of the findings reached in an innovative manner after a theoretical, empirical and personal assessment of trends. To this end the findings are regrouped under different typologies, thereafter lines of interventions (action plans) are generated and corresponding criteria (priority tasks) identified. The new attributes of the theoretical framework which informs the neo-African spatial development paradigm draws from this set of criteria and the criteria in turn draw confidently from form-based planning principles.

### **7.2 Typology of findings**

There are thirteen typologies of input in determining the theoretical framework for spatial planning used in this research. The set of analysis that was conducted identified priority areas for further investigations; hence research findings were made under eight typologies as shown in **Table 7.1** below. Most of the findings gravitated under the rubric of planning methodology, followed by planning instruments and then the nature of planning. This distribution of findings was to be expected because activities in those areas of planning as expressed in literature are highly contentious.

The lines of intervention identified were done under controls determined by a neo-African mind-set that anticipates emancipation from dependent capitalism through spatial regional integration. The lines of action were chosen tactically to create a favourable environment for territorial planning that is incisive and proactive and thus visionary. Repositioning to engage capitalism and unlock resistance to growth visions is the ultimate goal. The major strategy is to highlight traits in planning hitherto subordinated based on new rationale vivid in the annals of African experience with new perspectives of development since the 15<sup>th</sup> century. The new perspective in planning which neo-liberalism suggests is not likely to help Africa achieve in spatial terms her vision of integration enunciated in NEPAD reforms. What this means is that the history of



Africa's urban predicaments epitomized in low productivity which started mid-19<sup>th</sup> century with early imperialism is not only continuing but anticipates consolidating with neo-liberal planning. If neo-liberal planning does not present this threat in developed economies it should not do so either in developing economies. Mechanisms to act against such threats should be activated in developing economies as is perhaps currently the case in developed economies.

A renewed mind-set mindful of global influence is required to reverse the current trend. There is no gainsaying the need for visionary leadership to activate the reversal. Leadership shown by African leaders of earlier epoch is required the types of Shaka Zulu of the Zulu Kingdom, Idris Aloma of Kanem Bornu Empire, Sonni Ali of Mali Empire, Othman dan Fodio of Fulani states, Osei Tutu of the Asante Empire, and so on who were selfless statesmen concerned with nation-building. However, the new line of intervention basically highlights the adoption of alternative thinking instruments for determining planning paradigm for Africa and activating visionary and form-based planning instruments.

**Table 7.1: Typology of findings and recommendations**

	<b>OBJECTIVES (TYPOLOGIES)</b>	<b>FINDINGS</b>	<b>RECOMMENDATIONS</b>
<b>THEORETICAL FRAMEWORK</b>			
	<b>The concept of urban environment</b>		
	<b>Statutory Planning</b>	<ul style="list-style-type: none"> <li>• The performance of IDP frameworks vary but they all maintain positive compliance with the new theoretical framework,</li> <li>• SDF is a misplaced strategy because SDF is conceptually invalid under IDP culture,</li> <li>• The pattern and quality of IDP documents vary.</li> <li>• IDP documents are fairly well related to IDP theoretical framework,</li> </ul>	<ul style="list-style-type: none"> <li>• To improve the place and function of spatial development planning in statutory planning provisions.</li> <li>• Standardize the content of planning instruments</li> </ul>
	<b>Spatial Planning</b>	<ul style="list-style-type: none"> <li>• Spatial planning is not form-based in Africa</li> <li>• There exists nearly a mean relationship between theoretical and analytical relationship in spatial planning in Africa</li> <li>• Market force is the dominant determinant factor for land use management in Africa.</li> </ul>	<ul style="list-style-type: none"> <li>• To adopt spatial planning as a form-based concept for managing land use development.</li> </ul>
	<b>Nature of Planning</b>	<ul style="list-style-type: none"> <li>• Planning outlook is diffused in Africa.</li> <li>• The synthesis of data generated as contained in <b>Table 5.8</b> indicate that IDP initiative in South Africa is more compliant to neo-liberal planning theory as indicated in <b>Figure 5.2</b> above. <b>Figure 5.3</b> confirmed that the initiatives studied cumulatively indicate the dominance of strong compliance although <b>Figure 5.4</b> indicates that compliance surface undulates.</li> <li>• Project planning defines planning framework in Africa.</li> <li>• The level of mean performance at roughly 2.5% is above the average threshold of 2.4% anticipated per variable for a total of 42 variables (options) considered. Thus the distribution of performance levels is healthy,</li> <li>• The bulk of issues beneath the mean average line are form-based issues and those above are mainly developmental economics, informal expertise and participatory issues.</li> <li>• The most compliant country to the new theoretical framework is South Africa and the least is the DRC.</li> </ul>	<ul style="list-style-type: none"> <li>• Revision of the visionary planning outlook and the adoption of territorial planning theory that brings form-based planning to bear in development planning systems</li> </ul>

		<ul style="list-style-type: none"> <li>• Not all IDP documents are visionary,</li> </ul>	
	<b>Purpose of Planning</b>		
	<b>Planning instruments</b>	<ul style="list-style-type: none"> <li>• Multi-dimensional planning perspectives exist in Africa.</li> <li>• Informal planning instrument is used for managing spatial development in Africa.</li> <li>• IDP initiative exhibits the best disposition towards compliance with the new spatial planning theoretical framework that has developed since 1980s.</li> <li>• Planning initiatives in Africa are generally weak spatial planning instruments. They are all weak in spatial integration and somehow strong in resource mobilization.</li> <li>• Planning initiatives in select African countries cumulatively indicate very low percentage of strong capacity to deliver spatial regional integration in the continent as indicated in <b>Figure 5.6</b></li> <li>• The compliance of planning initiative to neo-liberal planning is on a higher platform compared with the other initiatives from select African countries that were studied</li> <li>• IDP is a neo-liberal planning instrument,</li> <li>• IDP as instrument for spatial planning is contestable,</li> <li>• IDP planning is potentially weak and vulnerable.</li> <li>• There exists a consensus amongst all categories of respondents that the IDP initiative is potentially a weak planning instrument,</li> <li>• The views of academics, consultants, and politicians are symmetrical in collaborating the weakness identified,</li> </ul>	<ul style="list-style-type: none"> <li>• To adopt a thinking instrument for developing planning paradigm,</li> <li>• Model an overarching neo-African spatial planning initiative as instrument for trans-national, national and local levels of territorial planning,</li> <li>• Subject public sector infrastructure development to territorial planning approval.</li> </ul>
	<b>Participatory process</b>	<ul style="list-style-type: none"> <li>• The participatory process is invariably consultative in Africa.</li> </ul>	<ul style="list-style-type: none"> <li>• Retain participation at consultative level but limited to project planning and monitoring which will now come after and not before the integration phase in planning initiatives,</li> </ul>

	<p><b>Planning methodology</b></p>	<ul style="list-style-type: none"> <li>• The relationship between existing and desired practice is positive although it varies in relation with compliance with principles,</li> <li>• Strong positive relationship exist across board between principles and desired practice,</li> <li>• Weak relations are at low ebb however more pronounced in the relationship between practice and desired practice,</li> <li>• IDP is more advanced in theory than in practice</li> <li>• Patterns of relationships between principles, practice and desired practice is not identical but fairly similar within and across the municipalities,</li> <li>• Levels of relationships between principles, practice and desired practice within and across municipalities is consistently positive,</li> <li>• IDP practice is generally perceived to reinforce the tenets of new spatial planning principles,</li> <li>• Administrators and politicians discretionally are more inclined than academics and consultants to perceive positive compliance of IDP practice to spatial planning principles,</li> <li>• Mutual perception indicates that only administrators feel strong about the positive compliance of IDP practice to spatial planning principles while politicians think otherwise and academics and consultant maintain a moderate position,</li> <li>• Mean average perception leaves the politicians to maintain a precarious support for the compliance of IDP practice to spatial planning principles while academics gets more pessimistic,</li> <li>• There is no significant relationship between the categories of perceptions as measured by the 'Effect size' calculated for planning criteria investigated, and</li> <li>• Overall the perception of politicians is more sensitive considering its fluctuation while that of academics and perhaps consultants is more stable and consistently not in favour of the compliance of IDP practice to spatial planning principles. The perception of administrators shares some measure of stability however in favour of positive compliance of IDP practice to spatial planning principles.</li> <li>• The views of administrators differ from the symmetry shared by the other categories of respondents and tended to be relatively optimistic due to their positive appraisal of IDP as a spatial planning methodology with potentials to shape the city and subsequently the space economy,</li> </ul>	<ul style="list-style-type: none"> <li>• Standardize and establish statutory spatial planning methodology,</li> <li>• Institute mechanisms for regular accreditation of public sector planning departments by professional registration councils,</li> <li>• Establish interactive forum for researchers, consultants and policy makers to serve as quality control mechanism for planning consultancy services.</li> </ul>
	<p><b>Urbanism</b></p>		

<b>Planning knowledge</b>		
<b>Plan evaluation technique</b>		
<b>Regional integration</b>	<ul style="list-style-type: none"> <li>• The capacity of IDPs to achieve spatial regional integration is generally below average although comparative advantage exists between IDPs.</li> <li>• IDP conceptually lacks integrative element. There is need to mainstream integration,</li> <li>• The four categories of respondents are consistent in their views that IDP at the moment indicates negative in securing integration and indicates positive as remote causal factor of 'silos' development given its disposition towards sectoral planning,</li> </ul>	<ul style="list-style-type: none"> <li>• To make a structure plan a precondition for budgeting,</li> <li>• To develop a visioning process of three mutually integrated stages: growth vision – spatial model – road maps,</li> <li>• Institute vertical planning.</li> </ul>
<b>Cross-cutting issues</b>	<ul style="list-style-type: none"> <li>• IDP lacks authority in planning practice</li> <li>• Notably the politicians are more incisive and pessimistic about IDP thus signalling their role as potential content drivers in planning.</li> </ul>	<ul style="list-style-type: none"> <li>• Unlock resistance to planning through engagement,</li> <li>• Adopt visual presentation in planning toolkit.</li> </ul>

Source: Own construction (2013)

### **7.3 Synthesis of theoretical framework**

The information in **Table 7.2** consists of options and corresponding criteria to be used to update the new theoretical framework for spatial planning which was identified earlier and that has developed since the 1980s. The merger of the provisions validates the new theoretical framework as a working instrument for spatial planning in Africa. Where there is conflict(s) especially in the case of participatory planning provisions, this submission supersedes.

### **7.4 Neo-African spatial development theory**

Neo-African spatial development theory and its subsidiary components make an original contribution in this research to spatial development theories. As a prelude to the articulation of neo-African spatial development theory, there are three issues to be considered: cognate terminologies, assumptions and major arguments. Starting with terminologies the operative meaning of the term “management” is taken from the position of the management guru Peter Drucker (1909-2005) who relates management to the task of innovation and marketing. Innovation, as Friedmann (1972:87) explained it in his general theory, is taken as a process that characterizes growth-dependent development. The terms “growth” and “development” as defined in the glossary apply as well as their inherent relationship.

The theory is built on a few assumptions. The reorientation of development ideology from neo-liberalism to neo-mercantilism is presumed. A recurring phenomenon in the history of African civilization is the development of market towns. Mercantile towns cradled African civilization, followed by market towns (termed colonial towns) and then new towns that serve as administrative-cum-commercial hubs such as Abuja in Nigeria, Dodoma in Tanzania, etc. Most African cities remain largely commercial centres for trading in survivalist informal sector. The economy of most African countries maintain close relations with resource trading either agro-based as in most east African countries or petro-chemicals as in Nigeria, or mining as in Angola, and so on. Therefore the ideological change is strategic on the grounds of relevance, adaptability, comparative advantage in operationalization, and patriotism. The change provides realistic platform for building an independent economy.

**Table 7.2: Matrix of provisions for theoretical framework of spatial and statutory planning in Africa**

<b>OBJECTIVES</b>	<b>OPTIONS</b>	<b>CRITERIA</b>
<b>The concept of urban environment</b>		
<b>Statutory Planning</b>	<ul style="list-style-type: none"> <li>To improve the place and function of spatial development planning in statutory planning provisions.</li> <li>Standardize the content of planning instruments</li> </ul>	<ul style="list-style-type: none"> <li>Neo-African development ideology</li> <li>Urban development strategy</li> <li>Spatial design models</li> <li>Urbanization ideology</li> <li>Growth visions</li> <li>Policy interpretation</li> </ul>
<b>Spatial Planning</b>	<ul style="list-style-type: none"> <li>To adopt spatial planning as a form-based concept for managing land use development.</li> </ul>	<ul style="list-style-type: none"> <li>Spatial determinism</li> <li>Spatial equilibrium</li> <li>Urban growth management</li> <li>Land use systems</li> <li>3 – dimensional planning</li> <li>Functional flow analysis in space</li> <li>Urban design standards</li> </ul>
<b>Nature of Planning</b>	<ul style="list-style-type: none"> <li>Revision to visionary planning outlook and the adoption of territorial planning theory that brings form-based planning to bear in development planning systems</li> </ul>	<ul style="list-style-type: none"> <li>Long term structure plans</li> <li>Detailed plans</li> <li>Planned Unit Developments (PUDs)</li> <li>Assets utility planning</li> </ul>
<b>Purpose of Planning</b>		
<b>Planning instruments</b>	<ul style="list-style-type: none"> <li>To adopt a thinking instrument for developing planning paradigm,</li> <li>Model an overarching neo-African spatial planning initiative as instrument for trans-national, national and local levels of territorial planning,</li> <li>Subject public sector infrastructure development to territorial planning approval.</li> </ul>	<ul style="list-style-type: none"> <li>Neo-mercantilism</li> <li>Neo-African planning paradigm</li> <li>Spatial Equilibrium Approach (SEA)</li> <li>Merchant cities model</li> </ul>
<b>Participatory process</b>	<ul style="list-style-type: none"> <li>Retain participation at consultative level.</li> </ul>	<ul style="list-style-type: none"> <li>Mainstreaming monitoring</li> <li>Participatory development</li> <li>Feedback mechanisms</li> <li>Intensive participation.</li> </ul>
<b>Planning methodology</b>	<ul style="list-style-type: none"> <li>Standardize and establish statutory spatial planning methodology,</li> <li>Institute mechanisms for regular accreditation of public sector planning departments by professional registration councils,</li> <li>Establish interactive forum for researchers, consultants and policy makers to serve as quality control mechanism for planning consultancy services.</li> </ul>	<ul style="list-style-type: none"> <li>Spatio-metric planning model</li> <li>Asset-based analysis</li> <li>Multi-functional space analysis (Time budget)</li> </ul>
<b>Urbanism</b>		<ul style="list-style-type: none"> <li>Urban design theory</li> </ul>

<b>Planning knowledge</b>		<ul style="list-style-type: none"> <li>• Laws of informality</li> </ul>
<b>Plan evaluation technique</b>		
<b>Regional integration</b>	<ul style="list-style-type: none"> <li>• To adopt structural plans as a precondition for budgeting,</li> <li>• To develop a visioning process</li> <li>• Institute vertical planning.</li> </ul>	<ul style="list-style-type: none"> <li>• Urban market regions</li> <li>• Resource Management Plans</li> <li>• Growth vision – spatial model – road maps,</li> <li>• Borderless worldwide cities concept</li> <li>• Intervention plan</li> </ul>
<b>Cross-cutting issues</b>	<ul style="list-style-type: none"> <li>• Unlock resistance to planning through engagement,</li> <li>• Adopt visual presentation in the planning toolkit.</li> </ul>	<ul style="list-style-type: none"> <li>• Cooperative governance</li> <li>• Spatial design concepts</li> </ul>

Source: Own construction (2013)

The neo-mercantile ideology is built on the assumption of the status of Africa as a source region in the global economy. Africa is reputed to be the global reservoir of natural resources, both renewable and non-renewable, and some are projected to last for centuries, for example the natural gas reserve in Nigeria, etc. However, the source region paradigm is conceptually not limited to the source of natural resources. ‘Source region’ is used here in a dynamic sense. The status of the region irrespective of spatial differences is expected to transit as described in Rostow (1977) five-stage development of spatial systems: traditional society, transitional stage, “take-off” stage, drive to maturity, and high mass consumption. At the moment Africa is classified as being in the lower half of the transitional stage.

Thirdly, spatial systems are assumed to be hierarchical market regions. The neo-liberal planning paradigm worked with this presumption in its computations for planning approaches in Africa. Rather than urban economic regions for productivity, urban market regions are seen in Africa as a space for the distribution of foreign goods, hence the proliferation of the informal sector. In line with neo-mercantile ideological change, this research accepts that robust marketing makes a city, given the history of African cities. This is why African spatial systems can retain their market region outlook but not in the sense of neo-liberal permutations for purposes of extending the market space economy of external economies. On the contrary the market region legacy will revert to its mercantile period of significance in Africa, for purposes of nation building.

A combination of two factors compels African countries to remain resource marketers. First, the technology to harness these resources is not readily available, and second the



global capitalist system reinforced through neo-liberal economic policies is posited to retain Africa in a peripheral economy as a source region. Hence trade liberalization policies with mechanisms such as African Growth and Opportunity Act 2000 (AGOA) are implemented to encourage participation of African countries in the down-stream activities of global economy.

The spatial systems are assumed to be territorial units with three concentric zones used to define the urban environment. The zones comprise the core area, inner ring area, and outer ring area as expressed in Von Thunen (1826) Regional Land use model.

#### **7.4.1 Neo-mercantilism as development ideology for Africa**

Originally, neo-mercantilism emerged as a trade strategy applied at the global space. It represented the major plank of Euro-American mercantilism at the turn of the century. Euro-American trade relations are built on this premise courtesy of trade liberalization of neo-liberal globalization. So the African sub-region *ab initio* is exposed to neo-mercantilism but from the receiving end as a consumer economy. This experience is blurred further with the incidence of neo-liberalism as global economic orthodoxy. Indeed neo-liberalism was accepted as development ideology for the delivery of globalization. This justified neo-liberal planning theory and participatory planning as planning orthodoxy. The prime purpose of this maneuver presumably is to facilitate the expansionist program of neo-liberalist economies many of which function within Euro-American mercantilism in Africa. Apparently, the African market is up for grabs and the structures to deliver it are in place vis-à-vis neo-liberalism and free trade.

Africa as a resource receptacle is a critical sub-region in global economy therefore Africa is strategically positioned to engage neo-mercantilism proactively. To achieve this, the sub-region must be prepared to shed the shackles of neo-liberalism as development ideology and rework the planning theory it entrenched. The use of this theory is known to debase Africa's space economy and sustain dependence. Engaging neo-mercantilism is required to determine relations with Euro-American mercantilism. The engagement envisaged is such that neo-mercantilism will be conceptualized as a development ideology of the African region. It is difficult to pretend that the attributes of protectionism in neo-mercantilism is not a major attraction to opt for it as development ideology for Africa. This option is held mindful of free trade philosophy contained in neo-liberalism, which derailed the hegemony of Britain in mid-20<sup>th</sup> century. The neo-mercantilism model

of development ideology in Africa is herewith summarily presented, its integration with traditional worldviews of African societies, precisely *ujamaa* and *ubuntu*, as well as its links and relationships with neo-liberalism.

To engage neo-mercantilism as development ideology for Africa requires the clarification of relevant terminological framework, involving the terms 'ideology' and 'development'. The term 'ideology' is held to be a comprehensive normative vision, a way of looking at things, as argued in several philosophical tendencies (e.g. political ideologies). An alternative acceptable perception is that 'ideology' is a coherent system of ideas, relying upon a few basic assumptions about reality that may or may not have any factual basis. Ideas become an ideology (that is, become coherent, repeated patterns) through the subjective ongoing choices that people make, serving as the seed around which further thought grows. The other term 'development' is commonly associated with economic growth and modernization. Economists are generally linked with this perception. Their perception, which builds on the definition given in the glossary, is permissible but graphically and more importantly 'development' is about the spread of social justice, and the essence of social justice is not wealth but fairness. Given this position, industrialization, electoral democracy, and economic expansion are not things to be valued in themselves but means (or, in some cases, obstacles) to deeper ends of social justice (Takoma, 2013). Accepting this insight the amalgamation of the terms 'development' and 'ideology' that is 'development ideology' is preferably perceived as a compendium of rationalized policies and aspirations conceived in the context of competing doctrines.

Neo-mercantilism as a development ideology draws from the conceptual meaning of mercantilism, which was discussed earlier. Its adaptation as a development ideology requires a theoretical foundation. Viewed from planning perspective, the developmentalism theory provides this foundation however subject to some points of departure. Within limits of planning requirement, this theory is accepted in so far as it postulates that the best way for Third World countries to develop is through fostering a strong and varied internal market and perhaps to impose high tariffs on imported goods. The economics of this postulation is not as central to planning as to the direction it provides to contextualize regional spatial integration for Africa.

The points of departure in the proposed theoretical framework presupposes that developmentalism sheds its approach of codifying ways in which development is discussed vis-à-vis Eurocentric viewpoint of development, a viewpoint that often goes hand in hand with the implication that non-European societies are underdeveloped. It also has to shed its Universalist approach to development, which is not time and space specific. Its use of classic western standards, theories, and models including all appearances of imperialism and tendencies of neo-colonialism noticed in international financial mechanisms will have to discontinue. The discontinuation requires a rethink of financial mechanisms for project development and the moderation of the expansionist program of external economies. This will be addressed with (re)working the space economy in Africa.

The concept of neo-mercantilism as a development ideology correlates with developmentalism theory. The development ideology is theoretically defined with pseudo-capitalism (i.e. fettered capitalism) that accepts social responsibility. It adopts government and entrepreneurial synergy to maximize regional interest as a means of advancement in the international economy. Therefore the ideology anticipates optimal state intervention to support entrepreneurship, both formal and informal. But it holds informality as an exception and not a norm. Thereof market force is interspersed with planning rationality to manage growth expressed in the context of regional spatial integration. Spatial factors will therefore inform neo-mercantilist ideology as policy instrument for African regionalism in space. The regionalism intended is framed on distributive justice sought with territorial planning principles.

There are three elements in the conceptualization of neo-mercantile development ideology. They are: strategic intuition, socio-economic policy orientation and the neo-mercantile planning theory, which defines neo-mercantile planning protocol. In the first instance, strategic intuition signifies that the ideology requires a positive mindset and a visionary outlook. The requisite mindset takes bearing from the tenets of *negritude*. *Negritude* is a cultural movement that portrays the rich heritage of African ancestry, which was rediscovered by intellectual explorers to rescue a main section of humanity from unhappy misunderstanding. The mindset built on the threshold of negritude redresses first and foremost the colonial mentality associated with the use of developmentalism theory and sets the pace for visioning. The visioning process is predisposed to deliver African renaissance within the 21<sup>st</sup> century. In other words, the

development ideology is a strategic model for application in the 21<sup>st</sup> century. Beyond this time frame the neo-mercantile development ideology is subject to (re)modeling and then hopefully Africa will probably be properly positioned to engage neo-liberalism. Therefore it dissociates and tactically do not encourage the expansionist orientation of neo-liberal Euro-America mercantilism.

In its present disposition, the outlook of neo-mercantile development ideology contemplates a worldwide cities concept for greater Africa. The 'worldwide cities' concept is a pathfinder African perspective of global cities. It basically seeks synergy between Africans in Diaspora and Africans in the homeland. Therefore the worldwide cities concept will associate with the 'hyperspace' syndrome that downplays spatiality and upholds social equity across ethnic (racial) boundaries. Lessons from the worldwide conception of cities that sustain ecclesiastical states of Christian and Islamic kingdoms such as the Vatican City and the cities of Mecca and Medina illustrate the space less limits of these cities that immortalize civilizations. Thus, it will realign the forces of Diaspora and the economy of greater Africa, which includes the contributions of Africans in Diaspora, to bear on the world system. These cities will be propelled through the instrumentality of human culture that sub-ordinates all other development factors in science and technology. The conceptual city will become operational with the slogan 'The African city is here' meaning that the individual African is an embodiment of his homeland city where-so-ever he finds himself, anytime.

The primary economic policy of neo-mercantilism as a development ideology rests on resource marketing and agro-business. Both policy provisions implicate rigorous land system and land management reforms. For purposes of resource marketing, neo-mercantile trade policy and trade relations are built on the principle of fair trade. This is to say that the volume of trade transactions will depend on the resource base of each African country. Countries with limited resources will moderate and down-size their trade transactions accordingly. This is to be expected anyway but the hard truth is that this scenario carries along with it the lowering of standard of living in such countries. This will justify affected countries, after a peer review evaluation, to engage in explicit protectionism regardless globalization. Elevation from lower standard of living will be determined internally pending the resourcefulness of such countries to grow their economy, using their human and land resource inventories. In the circumstance, agro-business provides an entry point for a sustainable solution but intended ultimately to

address food sufficiency in Africa. The focus on agriculture, which has eluded Africa in spite of the avalanche of interventions over the years, will be approached with the strategy of mass mobilization to rework the value system and the space economy. To this end, the neo-mercantile ideology supports the review of primary and tertiary educational curriculum for social sciences and makes them compatible with the new values based on *ujamaa* and *ubuntu* ideologies. These traditional ideologies will be used to define neo-mercantile development ideology as a socialization process. Socialization into these values will be encouraged at homes and religious institutions and high fidelity compliance is expected given the religious nature of traditional and contemporary African societies. .

The new values will anticipate the African civilization based on the culture of eco-cities nurtured with the principles of eco-centrism in modern environmentalism, which preaches the values of reverence, humility, responsibility and care. The ethos of transcendentalism draws from these values as a transformative mechanism to encourage back-to-land measures but not in the traditional sense of subsistence. A sense of starting all over is in the bargain and conveyed to stabilize the point of impact at affordable reach and thereby down-size the swag of international financial mechanisms in the development of the economic system.

The philosophy of neo-mercantile development ideology holds that a disorganized physical structure cannot generate an integrated economy. Therefore the ideology accepts the principle of form and function to source growth by means of (re)modelling the space economy. This informs the status of neo-mercantile development ideology as a planning methodology. As a planning methodology it deviates marginally in principle from the design status quo of pre-neoliberal planning theory. In essence, it favours formal planning, which was discredited with questionable plan evaluation approaches and the contextualization of planning to deliver neo-liberal values. Neo-mercantile development disagrees with this trend, which is found to encourage the expansionist program of external economies. Therefore neo-mercantile development ideology fosters a neo-African planning theory technically termed neo-mercantile planning theory. This theory is based on design principles but functions on cultural renaissance and self-realization to rethink the space economy. The neo-mercantile planning protocol relies on the African workforce to reed itself of colonial mentality and come to terms with engaging her environment resourcefully.

The major points of departure between neo-mercantilism and neo-liberalism as development ideologies are in their planning methodology, their philosophy, their motivation, and their determinant factors particularly liberal market force and financial mechanisms. Neo-mercantilism and neo-liberalism as development ideologies share discretely the ethos of international trade, privatization, social stratification and globalization. All of these are interpreted with participatory process. Participation is common to both ideologies, although consultative participation is marked for neo-mercantile planning. However the participatory process is preferably mainstreamed and instilled in neo-mercantile context rather than taught as it is the case in neo-liberalism.

The bone of contention between the two ideologies lay in the antithetical posture of neo-liberalism towards African renaissance and its vulnerability to neo-colonial tendencies. The issue of informality that characterizes neo-liberalism and neo-liberal planning theory, its instrumentality for the expansionist program of external economies and the presumed perceptions of Africa as consumer economy are matters of critical concern. The same concern is expressed for the extension of market-space economy through free trade in neo-liberal context in which weak states are at the receiving end. Above all, neo-mercantilist ideology rejects neo-liberal reforms such as tax cuts for corporations and the wealthy, the abandonment of capital controls, the removal of democratic controls over central banks and monetary policy and the deregulation of financial industries, etc. These reforms do not fall within its pseudo-capitalist orientation.

The challenges before neo-mercantile development ideology are mainly issues in the domain of epistemological ideologies. These ideologies are contained in the repressive attitude towards formal planning vis-à-vis master planning, the in-formalization process vis-à-vis informality in planning, the free-trade syndrome, and the repressive attitude towards protectionism. Neo-mercantilism is framed with a scale of space and time that is to say it is meant for Africa in the 21<sup>st</sup> century. Therefore, it is not answerable to the epistemologies identified. The greatest threat is funding although neo-mercantile development ideology is conceived with some measure of socialist principles to encourage minimalist funding and exploit reliance on human capital (given urbanization indicators) for agrarian agriculture en-route agro-business.

There are impressions in literature that neo-liberalism is conceptually synonymous with neo-mercantilism because both concepts support protectionism in different forms. To

establish this critical observation, the link between mercantilism and capitalism is recalled. For mercantilism, state action was an essential feature, used to bolster the ruling elite by pursuing policies which increased their power on the market. In neo-mercantilism, the scenario is not markedly different except for outlook issues which tilt towards pursuing regional rather than national growth interest in the global economy. On the other hand, the policy of limited state action in neo-liberalism has the effect of maintaining and protecting capitalist property rights and skewing the labour market in favour of the bourgeoisie. The central strategy in both concepts is protectionist and in favour of the elites. The difference between the two concepts comes alive with contextualizing them as development ideologies. This being the case, it is most likely that different tactic will evolve to retain protectionism not as a matter of convention but in pursuit of substantive values (objectives), which in the case of neo-mercantilism transcends private profitability. The defining moment of divergence is in determining the requisite planning theory for the delivery of the different development ideologies.

In practical terms, the relationship between neo-liberalism and neo-mercantilism as development ideologies elicits concern for mutual respect otherwise systemic undermining may result with Africa at the receiving end. This scenario should be avoided although the Chinese communist Cultural Revolution stood up successfully against capitalism. The hegemonic outlook of neo-liberalism has to respect the right of Africa to chart her destiny with neo-mercantile development ideology and be prepared to co-operate with neo-mercantilism at their points of interface. Therefore, the interface epitomized in protectionism will determine bilateral relations for Africa in the global economy. An interactive forum of regional stakeholders will continually rework the ground rules for interactions however in such a way that guarantees the local control of African market for the 21<sup>st</sup> century global mercantilism.

The next sub-section will elaborate the attributes of neo-African planning theory that will deliver neo-mercantile development ideology. The neo-African planning theory without prejudice to environmental determinism is committed to handling humanistic interventions responsible for urban change given the projected population growth and urbanization and urban growth phenomenon anticipated in the African region in the new millennium. This is because human-induced land use changes are considered the prime agents of global environmental changes (Ramachandra et al., 2012). Hence neo-African planning theory derives from spatial metrics environment to address spatial equilibrium

in tandem with spatial determinism in economics. This research indicates that the challenge ahead of spatial integration in Africa lies in the difficulty of combining economic and spatial planning (see Parker et al. cited in Herold et al., 2005:375).

#### **7.4.2 Major arguments of neo-African planning theory**

This theory argues for the introduction of time factor in land use planning for economic growth. Time factor is the time required to reach inter or intra-trade locations in an urban region. This argument draws from the experiences that are contingent on the annals of Kingdom and Empire building in Africa especially during the mercantile period (10<sup>th</sup> – 15<sup>th</sup> century). Again it draws from existing regional development theories although these theories have contributed little from spatio-physical perspective. This partly explains the reliance on historical experience that is scarcely theorized in which the time factor played a significant role in the resolution of trade relations. It also draws from the concept of urban distribution mentioned earlier, whereby people seek to improve their roles in the urban system by reducing the cost and time of overcoming distance (see Lozano, 1990:38).

The time factor is therefore considered necessary for the synthesis of economic and spatial planning in contemporary spatial systems. It is an inevitable interface for creating utility from economic and spatial planning perspectives. Basic economic principles indicate that goods and services acquire utility when they are available at a particular place and at a particular time. On the other hand, land use planning of popular design tradition in southern towns of forest zones in western Sudan distributes trade locations in space and time in a manner that prevents overlap. The time-related principles in economic and planning are still valid.

Mercantilism implies that trade as well as time is a factor of trade. Movement of goods, services and people for trading activities has always been time-specific. The history of African experience in this regard indicates that trading posts locate at neutral spots where it is time-efficient for neighbouring native settlements to attend, transact business and retire to their home base. Weber's (1929) location theory skipped the mechanism that determines the location of sub-centres or markets in his explanation of the functional flow of market operations in spatial systems. But he recognizes that these sub-centres exist for trade relations. The sub-centres that occupy the neutral spots earlier mentioned evolve as explained in Rostow's (1977) stages of growth theory into commercial



settlements. However they are traditionally differentiated from native home base settlements on grounds of civic identity and the exercise of authority over resource management. The elites in home base locations exercise such authority as explained in Friedmann's (1972) general theory.

Time-efficient access to trade locations in urban regions determines the productivity of trading posts as measured by turn-over in the volume of trading transactions. The phrase "Time-efficient" is coined to define the quantum of time required to access goods and services in space. Face-to-face contact is implied irrespective of advances in communication systems (see Lozano, 1990). Structuralist theorists are yet to examine the effect of transaction turn-over in regional development notwithstanding the transaction cost introduced in new institutional economics in the 1970s to the 1990s periods. Suffice it to say that the system of commercial nodes and their distribution in space is a function of time-efficient decision-making for demand-side trade transactions. Charles Tiebout and Douglass North (cited in Dawkins, 2003:138) export base theory touched on this in their explanation of economic growth although their effort had little to do with the use of space.

Walter Christaller (1933, 1966) places theory at the starting point, and explained the spatial segregation of manufacturing and service functions and later used marketing principles to establish central place patterns. It is not clear how his marketing principles relate to demand-side marketing. Nevertheless, the demand-side marketing cannot be denied its influence in the management of outlets for service functions which are more or less trade functions. The impact of the influence particularly sought the distribution of sales outlets in space. It is presumed that these outlets have comparative advantages which are traceable to their time-efficient properties. The time-efficient properties include location, proximity to population concentration, size of catchment area, intervening opportunity provision, accessibility, management (trade transaction) services, etc. From these properties time-efficient coefficient (which measures "Time-efficient effect") for trading outlets can be determined. The coefficient measures the strategic position of a city to facilitate trade. It links with the opportunity cost of using spatial systems for trade relations. Polarizing behaviour could be factored on these coefficients to determine the hierarchy of settlements, their links and relationships and the attendant distributive networks. And time-efficient networks are presumed to attract more goods and services resulting in development corridors and growth triangles.

From these submissions the neo-African planning theory is hypothesized as a general theory for regional integration within spatial systems in Africa. It addresses the spatial bases of integration, unlike existing regional development theories which address the social and economic bases of integration. The neo-African planning theory pioneers neo-mercantile theories, a new set of theories next to neoclassical theories for regional development. Although through the consideration of geographic space and concern for the spatial dimension of regional growth and trade it links with neoclassical theories. Within neo-mercantile theories it belongs to the spatio-physical growth theories typology developed along the convergence hypothesis model. It shares the principles of endogenous growth theories of neoclassical theories because it accepts that the growth of the region is internal. In the subsequent section the attributes of neo-mercantile planning theory is shared. It will be seen that its spatio-physical perspective is reflected in its conceptualization, approaches and frameworks. The relationships of the framework instruments and their spatial organization are modelled in a theoretically compelling manner.

#### **7.4.3 The Neo-mercantile planning concept**

The proposed neo-African planning concept for delivering spatial planning activities is dependent on the political will to declare neo-mercantilism as a development ideology in Africa. The declaration which literarily confirms the current status quo in national economies is used to theorize development for Africa. The proposed planning concept is technically termed neo-mercantile planning. The term neo-mercantile planning derives from combining neo-mercantilism and spatial planning. The resultant phrase literarily means planning in spatial systems where the development ideology is determined by neo-mercantilism. In other words, it infers planning within spatial systems where mercantile economy prevails. In neo-mercantile planning neo-mercantilism serve as thinking instrument as such neo-mercantile planning has three attributes that informs it as a planning concept. These attributes are: spatio-metric investigation, comprehensiveness, and substantive orientation. Neo-mercantile planning concept is a scientific process of articulating the use of space to achieve growth visions and shape the city in Africa. Its rationale rests on the knowledge that pragmatic, short-term,

process-oriented planning has consistently failed to source integration in the past three decades in Africa.

Spatio-metric investigation approach associated with neo-mercantile planning is an innovative technical methodology of studying urban growth. Spatial metrics was introduced in the mid-80s in the literature of ecology and by late 90s it was adopted in geography and landscape architecture for describing and comparing the structure and form of the various cities (see Poulicos et al., 2012:263). The use of spatial metric concepts for the analysis of urban environments is starting to grow (see Herold et al., 2005:375). Typical applications include an estimation of metrics to describe an urban environment with particular emphasis on the urban versus non-urban dichotomy and the computation of metrics for the same city or region for different time periods to assess the dynamics of change (see Poulicos et al., 2012:263).

Spatial metrics is defined as measurements derived from the digital analysis of thematic-categorical maps exhibiting spatial heterogeneity at a specific scale and resolution (see Herold et al., 2005). Spatial metrics is used generally to analyse the spatial and temporal dynamics of urban growth. The metrics quantify the temporal and spatial properties of urban development, and show definitively the impacts of growth constraints imposed on expansion by topography and by local planning efforts (Herold et al., 2003). As a geospatial tool it has great potential for long-term monitoring and assessment of urban growth and its associated problems in surrounding land cover. Spatial metrics are found to provide the most important information for differentiating urban land uses and Herold et al. (2003) argue that the combined application of remote sensing and spatial metrics can provide more spatially consistent and detailed information on urban structure and change than either of these approaches used independently.

The comprehensive planning attribute of neo-mercantile planning draws from the new orientation of comprehensive planning concept which is marked by a transition to policy analysis and emphasis on procedural change. It looks at the spatial dimension of all strategic policies and aims at integrating and coordinating all space-consuming activities in a geographic territory. It brings together and integrates policies for the development and use of land with other policies and programmes which influence the nature of places and how they function. The inherent procedural/methodological renaissance and scoping define the point of departure for the design of spatial frameworks in which the evolution

of society and economy could be accommodated (Albers, 1986:22). This elicits increased attention in understanding local contexts and formulating guiding frameworks that inform land development and management (Landman, 2004:163). This slant of comprehensive planning is encouraged, mindful of the threat the transition to policy analysis poses to planning interventions in geographic spaces.

Neo-mercantile planning is a substantive planning concept. It is a planning methodology and a development ideology as it is found within the IDP initiative in South Africa. In other words, it is a planning instrument intended to address an approach to development. As found with the IDP concept, it is a hybrid concept, the objectives of planning make it a development ideology and the sequence of activities makes it a methodology. Its central objective is to secure productive urban forms. It perceives the urban form as an ecosystem with functional parts – land use systems, distribution and patterns - that interact continually within spatial systems. As ecosystems are hierarchical and site-specific, so is neo-mercantile planning in its disposition towards regional integration. Hence it applies at the territorial levels of the urban core (local level), the urban economic region (municipal level), and the urban market regions up to trans-national levels. All the levels are unified in sourcing economic growth and productivity through spatial regional integration.

A neo-mercantile planning concept makes humanistic interventions in the environment the focal point of planning interventions. The human systems expressed in the distribution of population and activities in space and time is critical for neo-mercantile concept. The planning methodology retains people as principal elements of planning but not as instruments in the planning process. The methodology adopts a mixed approach to participation. Participation is consultative until the plan implementation stage when it transits to interactive participation.

Neo-mercantile planning offers a centralized system of managing decentralized planning. This study found that central control, either through directives or guidelines, is inevitable in so far as planning remains a public sector activity. It is even more so where the planning instrument is meant to serve as integrative instrument at continental level. Otherwise the integration sought will be defeated logically.

Neo-mercantile planning methodology comprises six stages of activities, namely; mobilization, population studies, existing condition studies, plan generation, integration

(spatial design), and implementation techniques. Succinctly, mobilization deals with mind-set and growth vision issues, population studies deal with assets analysis, existing studies deal with urban (settlement) form, plan generation deals with infrastructure projections, integration deals with design concept, and implementation deals with project planning, funding and monitoring.

In principle neo-mercantile planning is not committed to urban structure theories. Rather it identifies with the structure offered in the definition of the urban environment using the systems or spatial organization approach. The concept is also not committed to the core-periphery theory - rather it stands with the export-base theory and draws its arguments inevitably from Marxist theory. Hence, neo-mercantile planning shares visionary and territorial outlooks and to some extent a techno-centric outlook. Neo-mercantile planning implies long-range restructuring and reintegration of the spatial structure of urban regions in Africa, involving long-term planning; however, phased in periods of short duration. Its territorial outlook informs its status as a form-based concept that studies and simulates relationships between land use systems, distributions and patterns in 3-dimensional space. It adopts form and function as overarching principle to address spatial integration in urban regions and ultimately impact the spatial structure of space economy. Therefore the distribution of activities in space and in time-efficient manner pre-occupies neo-mercantile planning.

As a techno-centric concept it is concerned with proper kinds of means. To this end it perceives the natural environment as natural matter from which man can profitably shape his destiny. Therefore, it accepts population pressure and economic growth as inevitable forces that can and must be accommodated by proper multiple purpose management and the application of sensitive planning checks and balances.

Neo-mercantile planning can be defined as assets utility planning, used to manage the use of space in cities and city regions. It seeks to deliver substantive spatial integration intended to secure productivity in the cities and urban regions and within limits of modern environmentalism. To that extent it is eco-centric and subject to environmental laws in deciding space-activity relationships. Hence it is concerned with ends that seek to achieve sustainable urban form which respects the integrity of the natural ecosystem and the cultural habitat. Alternatively, it can be defined as long-term visionary activity requiring multi-professional skills that act principally on health, culture and informal

sector, transportation, and trade issues and regarding them as influences that determine the form of spatial systems.

The planning paradigms required to execute planning concepts are found to have problems with resolving issues of participation, the synthesis between the use of formal and informal expert knowledge, the interface between political and technical analysis, funding mechanisms, and bridging the gap between principles and practice. How these issues will be handled in neo-mercantile planning is highlighted in the next sub-section.

#### **7.4.4 The neo-mercantile planning paradigm**

Neo-mercantile planning theory postulates an integration planning paradigm. This approach is concerned with the methodology of integration. Not all methods are acceptable. It was found in the study of the IDP initiative in South Africa that integration planning was corrupted - in which integration by stapling was engaged. The proposed integration planning paradigm combines the qualities of product and process-oriented planning to provide form-based planning for the development of spatial systems. In this way it establishes frameworks for the spatial organization of activity systems by establishing and assigning functions to activity-belts for service, manufacturing and primary activities. Activity-belts relate to zoning principles but not rigidly, because permissible levels of heterogeneous land-use patterns are allowed. Recourse to zoning principles is justified to sanitize the bizarre land-use patterns which developed under neo-liberal planning dispensation, partly leading to the in-formalization of African cities. Bibangambah (cited in Simone, 1998:47) described it as the progressive 'ruralization' of urban areas in Africa. The activity-belts principle is used to achieve a spread-effect in spatio-physical terms for project development activities and this has implications for urban form. This principle will be supported with urban growth management instruments such as urban growth boundaries, urban development boundaries, urban edge, etc.

The integrated planning paradigm upholds form and function principles. This principle is established in planning to support economic growth and productivity. It correlates with the time-efficient argument for trade relations and activity-belt principle of functional flow relationships. Form at the urban level relates to urbanity and at the regional level to spatial organization.

The integration planning paradigm adopts renewed product-planning principles which are characterized by a shared vision and long-term objectives that inform a draft plan. This incorporates participatory principles which apply as fortuitous circumstance permits in the planning process. What this implies is that participation is not universal and not always interactive. The creative process is therefore secured from quackery and charlatanism and even usurpation. The draft plan which is being protected provides the spatial guidelines for infrastructural and land use development. The transition of draft plans into space which proceeds in line with participatory planning principles requires of the planning system to retire and serve as quality guides, more of refereeing job than participatory. This should not be likened to the current development control procedure because an integrated system of public, organized civil society and judiciary monitors will be engaged to manage development control. In other words the authority to control development will be subject to participatory principles. The monitoring system is authorized to stop spurious development permits being issued by the planning apparatus.

The integration planning paradigm seeks dynamic equilibrium in the synthesis of political and technical analysis in planning. For the creative aspect of integrated planning technical analysis prevails and *vice versa* for intervention procedures; however, within the limits of decisions reached in the creative segment. Overall formal expertise knowledge coordinates planning inputs in consultation with informal expertise knowledge inputs which are channelled through organized civil society. Intensive consultation is intended. Politicians will have to be engaged extensively in the creative process because it is found that politicians and not technocrats control decisions in budgetary allocations and it is politicians who exercise authority in managing development in the kind of weak states found in Africa. This approach, as is found in this study and stated earlier, has potentials to unlock resistance not antagonistically in terms of the actors that planning has to engage.

Integration planning integrates funding mechanisms in its operations and prospects to serve as referral input with some measure of authority in national economic development planning. In essence economic planning, budgeting and spatial planning are horizontally integrated at all administrative levels. Segregated decision-making is discouraged. Hitherto spatial planning has occupied the rear position in segregated decision-making systems and this is found to adversely impact the authority of spatial planning in

governance. Therefore integrated planning provides the platform for budgeting and project development. It functions as an overarching planning instrument with sectorial and project planning sub-sets within it. The activity belts will serve as control to manage the location of sectorial projects in space. In this way the location of projects in space is allowed some measure of flexibility required for the involvement of external development partners.

The theoretical framework for the integration planning paradigm is discussed in the next section. Provisions in the framework are made to ensure that strategies employed to overcome identified problems of existing paradigms are effective. The theoretical framework flows with current trends in planning; however, this is done discreetly and provisions are in place to ensure that visionary and form-based planning structures are secured.

#### **7.4.5 A neo-mercantile planning theoretical framework**

The reality of development processes varies amongst nations, thus requiring variations in the instruments for planning interventions. In this research attention is focused on scenarios with abundant natural and human resources that reveal predicaments in the form of declining urban productivity linked with inadequate development of the space economy. Such scenarios exhibit spatial distortions in the development of the urban regions that are left unresolved in pursuit of market economy in neo-liberal terms. The resultant extroverted economy prevails in the context of disconnect between the urban and rural economies and the proliferation of a survivalist informal sector economy. This scenario is common with the so-called source regions in global economy and their revision, wherever it is found, especially in the African context, provides the rationale for the neo-mercantile planning paradigm.

The application of a neo-mercantile planning paradigm requires a mind-set and an outlook with the objective of spatial regional integration. The mind-set that can mobilize political will is required and this can most effectively be informed through world systems analysis of trends in global development ideologies. Given the depth of structures that sustain the status quo the outlook of interventions must be visionary and this has implications for requisite thinking instrument(s). The consideration given to neo-mercantilist ideology to serve as thinking instrument is based on the fact that neo-mercantilism complements neo-liberalism in proffering globalization but the concern of



neo-mercantilist ideology is directed ultimately at the welfare of the nation and not of the market, thus signalling protectionism. Hence it fits very well as a platform to design instruments for the delivery of spatial regional integration which eluded neo-liberal planning instruments. Although in the participatory process suggested in neo-liberal planning there was no theoretical bases for spatial integration.

The theoretical framework for neo-mercantile paradigm upholds a visionary planning outlook with the capacity to redress spatial distortions in the urban regions. This implies the use of planning rationales to address land use management in a sustainable manner. Hence the framework supports the principles of form and function in planning delivered with formal expertise knowledge. Participation in the planning process will be limited in line with research findings. The framework facilitates form-based planning, hence its use of provisional planning instruments. These characteristic traits are found to be subjugated in favour of politically motivated broad-based guidelines and the use of market forces to facilitate project planning. This created room for organizational planning and informal planning as well as manipulative participation in the planning process. These provisions were down-sized in the review of the status quo in theoretical frameworks for the integration planning paradigm.

The theoretical framework for neo-mercantile planning as contained in **Table 7.3** below is made compliant to form-based planning as the research finding suggests, and especially for purposes of achieving spatial regional integration. The framework provides immunity for functional planning instruments and respects participatory process in plan implementation without compromising formal planning procedures. Unfortunately the liberalization of planning decision is not considered to be part of the working conditions of the neo-mercantile paradigm notwithstanding the inputs craved from politicians.

The theoretical framework posits supporting the planning instrument for territorial planning. It is potentially renewed, considering the process-oriented outlook of its parent stock. It practically exhumes some of the fading planning principles on the grounds of expedience. The new instruments are doubly faced with the weakness identified for existing instruments which is not disconnected with funding mechanisms and participatory problems. This underlines the need for government commitment, enhanced legal status of the instruments and stakeholders to enable them monitor funding and plan implementation through interactive participation.

**Table 7.3: Matrix of theoretical framework for spatial and statutory planning in Africa**

	<b>OBJECTIVES</b>	<b>OPTIONS</b>	<b>CRITERIA</b>
<b>THEORETICAL FRAMEWORK</b>			
	<b>The concept of urban environment</b>	Systems approach	Study of System of base, Deep structure, superficial structure.
		Spatial approach	Delineation of urban core, urban outer ring (fringe area), urban outer ring (hinterland area).
		Urban structure approach	Concentric zone theory; sector theory; multi-sector theory.
	<b>Statutory Planning</b>	Provisional documents	Master plans; design concepts
		Operational documents	Planning schemes; Layout schemes; Action plans
		Regulatory documents	Normative space standards
		Statutory provisions.	Neo-African development ideology Urban development strategy Spatial design models
		Standardization	Policy interpretation Growth visions
	<b>Spatial Planning</b>	Urban form	Land use densities, patterns, functions,
		Urban growth management	UGB, UDB, Greenbelt, Urban service limit, urban edge.
		Use of space (Land use control)	Planning rationality; Market force
		Form-based planning concept	Spatial determinism; Spatial equilibrium; Urban growth management ; Land use systems; 3 – dimensional planning  Functional flow analysis in space; Multi-functional space analysis (Time budget); Asset-based analysis; Urban design

		standards
<b>Nature of Planning</b>	Developmental	Project (facility) plans; Economic plans; Assets utility plans
	Visionary	Long term objectives; city vision statement; mind set; outlook issues.
	Territorial	Long term structure plans; Detailed plans; Planned Unit Developments (PUDs);
<b>Purpose of Planning</b>	Economic	GDP, Productivity; Employment; Use of resources; infrastructure planning, etc.
	Cultural	Conservation of heritage issues; cityscape concerns; civic identity concerns, etc.
	Health	Urban sanitation measures; urban quality control, etc.
	Form	Urbanity standards, etc.
<b>Planning instruments</b>	Planning initiative	Urban planning and local planning approach, etc.
	Planning perspective	Spatial Equilibrium Approach (SEA)
	Planning framework	Design concepts
	Thinking instrument	Neo-mercantilism; Neo-African planning paradigm
	Urban Modelling	Merchant cities models
	Infrastructure development approval.	Validation workshops (Technical)
<b>Participatory process</b>	Consultative	Professionals are under no obligation to take on board people's views.
	Interactive	Groups take control over local decisions and determine how available resources are used.
	Functional	Participation is seen by external agencies as a means to achieve project goals, especially reduced costs.
	Passive	People participate by being told what has been decided or has already happened.

	Self-mobilization	People participate by taking initiatives independently of external institutions to change systems.
	Participation for Material incentives	People participate by contributing resources, for example labour, in return for material incentives.
	Logistics (Pragmatic)	Mainstreaming monitoring; Participatory development; Feedback mechanisms; Intensive participation.
<b>Planning methodology</b>	Classic	Survey-analysis-design approach
	Rational	Participatory approach (for project planning)
	Neo-classic	New-master planning approach
	Standardized (normative)	Spatio-Metric planning approach
	Logistics (accreditation and technical forums)	Standard public sector planning departments; Researchers – consultants – policy makers forum
<b>Urbanism</b>	New urbanism	Smart growth
	Sustainable urbanism	Design-oriented approach to planned development: relative density
	Creative urbanism	Culture-based Urban design
<b>Planning knowledge</b>	Formal expertise	Professional practice; scientific database; use of planning theories & concepts, Urban design theory; etc.
	Informal expertise	Stakeholders forum; town-hall meetings, opinion poll, etc.
<b>Plan evaluation technique</b>	Planning as control of the future	Non-implementation of plan.
	Process of decision making	Decision making methodology; monitoring activities
	Intermediate technique	Plan alteration irrespective of implementation.
<b>Regional integration</b>	Spatial integration	Planning based on regional classifications: urban region, functional region, physical formal region, economic formal region,

			planning region, regional master plans, etc.
		Space economy	National urban development strategies (NUDS)
		Regional connectivity	Regional road network; functional flow-chart;
		Economic integration	Economic reforms; political reforms, etc.
		Regional plans/budgeting	Urban market regions; Resource Management Plans Borderless worldwide cities concept
		Visioning process	Growth visions – spatial model – road maps,
		Vertical planning	Intervention plan
	<b>Cross-cutting issues</b>	Heritage of city development in Africa	Civic identity
		Urbanization	Urbanization ideology; Urban policy
		Urban growth	Spatial growth issues: qualitative, quantitative, structural growth, urban change, etc.
		Informal sector	Modern informal sector model
		Unlock resistance to planning through engagement,	Cooperative governance
		Planning toolkit.	Visual (Graphic) presentation; Spatial design concepts

Source: Own construction (2013)

#### 7.4.6 Elements of neo-mercantile planning theory

Neo-mercantile planning adopts integrated planning approach to address spatial planning at all administrative levels and to produce different framework instruments. It works in principle with a spatial model that defines activity-belts and applies cumulatively across administrative boundaries to facilitate infrastructural and land use development for spatial regional integration. In this sub-section the levels of integrated planning, the structure of integrated planning and its instruments will be discussed. An integrated planning urban model and the alignment of integrated planning networks in a national grid will be proposed.

#### **7.4.6.1 Neo-mercantile planning initiatives**

A neo-mercantile planning initiative is an integrated territorial planning concept. *Territorial* refers to *geographic space* defined by environmental conditions or political delineations or statutory provisions or any authentic regionalization. Integrated planning applies to these space delineations according to spatial coverage descending from the apex thus: Trans-national, national, provincial and municipal, city, and village level. These levels of integrated planning are guided by a singular continental mind-set and outlook that is interpreted at all levels of spatial integration. Integrated planning provides for funding mechanisms and intervention plans which make them a structural part of economic development planning and budgeting at different levels of administration.

Integrated territorial planning is a form-based planning operation aimed at achieving time-efficient cities. The form-based element of the planning concept is considered at two levels: first within the urban core where it addresses urbanity through the interplay of land use systems, distribution and patterns in space, and second at the urban regional level where it identifies activity-belts based on the spatial definition of urban environment. Normal land use planning processes reapplied on this spatial framework of integrated planning procedures to design time-efficient cities. Time-efficient cities underpin productivity which is initially factored on trade functions. This borders on a market space economy which could be introverted or extroverted, and either way is subject to innovations in the activity-belts and the stages of development of the cities.

The integrated planning concept anticipates cities that undergo six stages of development in spatio-physical terms. Support for the stages of development draws from the antecedence of city development in Africa. Hence the stages include: unbuilt-up transient trade locations, built-up transient trade locations, maturity of trade nodes, suburban industrialization, development of industrial satellites, and development of polycentric urban regions. Each stage confirms persistent positive appraisals of time-efficiency in business transactions, irrespective of the productivity base as argued in export-base theory. Time-efficiency relates to functioning without waste of time. Otherwise dissemination sets in as it had been the case with many traditional cities in the colonial period when the economic geography was rewritten. From stage three – maturity of trade node – they start to attract industrial and administrative functions.

The urbanity of core areas of cities is modelled according to the compact city concept in integrated planning initiatives. Because cities have to maximize the use of time they are modelled with the principles of compaction and the multifunctional use of space. The use of growth management instruments is inevitable and further identifies the planning initiative.

An integrated planning initiative is a political instrument. It precedes every political administration and provides political manifestos spatial model and road map for implementation. The roll-out model guides the post-roll-out models. Except for the roll-out initiative which defines the shared vision and long term objective spanning thirty years, the post roll-out initiatives will last for the life span of the administration that initiates it. The preparation of integrated planning frameworks is provided as a central element of a transition programme for installing a new political administration. New administrations will remain provisional until the frameworks have been prepared and approved. The approval procedure will be interactively approved by a committee comprising executive members of the new administration, representatives of allied professional bodies and registration councils, organized civil societies, judiciary, and invited resource persons. The committee will be chaired by a registered town planner appointed by the chief executive-elect and renowned for his contribution in integrated planning procedures.

The procedures for integrated planning require legal reforms directed at enhancing the powers and authority of the initiative. The reforms will deal with issues related to: mandatory measures regarding integrated planning, procedure of approval and use of prepared frameworks, time-frames for approvals, constitution of the committee, role of the planning machinery, organized civil society, power distribution in relation to economic development planning and budgeting, reviews, monitoring, etc. Of utmost importance is authority, because existing initiatives are found to lack authority. Therefore the provisions on the use of integrated planning frameworks are expected to be ruggedly binding, including provisions to legally challenge defined forms of side-lining. These reforms will be contained in a bill prepared by a committee of allied professional bodies and registration councils in the building industry led by a town planning registration council or professional body.

There are four categories of integrated planning initiatives, of which the first three are on the regional scale while the last is on the urban scale. The three integrated planning initiatives on the regional scale are: national, provincial, municipal and integrated regional planning, and the fourth category for cities is the integrated urban planning typology. The application of these integrated planning options requires two operations: first regionalization that is sub-divisions into market regions and the second grouping of cities happens in terms of size and function in the regional network. There are four categories of cities by function and they are: trans-national or ICT cities that coordinate information production functions for international trade relations, national cities or growth centres that coordinate service functions for internal trade relations and networking, provincial cities or agropolitan cities that coordinate manufacturing functions for economic growth and productivity, and municipal cities or agrovilles, that coordinate hamlets' primary functions for land resource management. The division of functions is not discrete but directional.

The different classes of integrated planning are aligned with three instruments, viz. the delineation of activity-belts, infrastructure grids, and city networks. Details of this alignment are discussed under framework instruments, which incidentally correlate with the dimensions of integrated planning initiatives. The dimensions of integrated planning are a visioning process of three stages of activities: visioning, spatial modelling, and road-map construction. Spatial modelling has the components of urban space plan (core area), activity-belt plan (urban environment), and concept plan (urban region). The road-map construction components include sectoral master plans (projects) and land-use master plans (land resources). The structure of each plan is customized but they all adopt a management approach, which is discussed in the next section.

#### **7.4.6.2 Neo-mercantile planning perspectives**

The innovative drive of neo-mercantile planning favours a management approach which is encapsulated in a Spatial Integration Planning Approach (SIPA). The mission ahead of SIPA is to provide the spatial bases for resource management in space for neo-mercantile activities. To this end SIPA is committed at the outset to support trading in natural resources for economic growth, thus it combines economic and spatial planning to model time-efficient cities which will serve as crucibles for growth. In other words, SIPA essentially engages in assets utility planning in space to enhance distributive



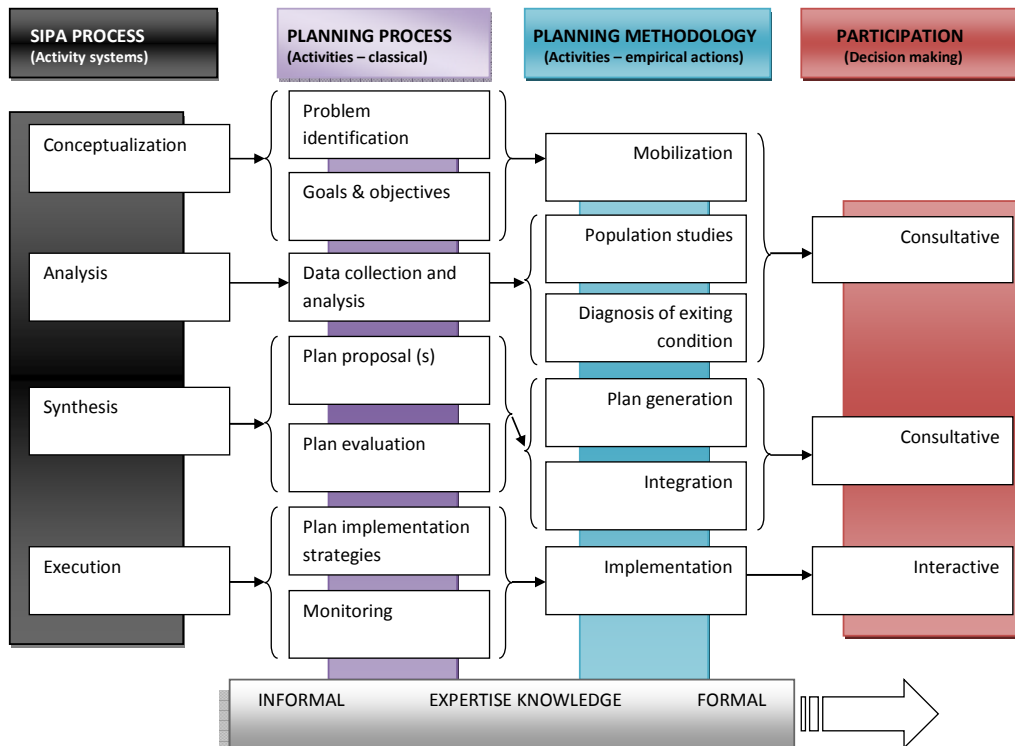
networks. It introduces time-budgets in spatial planning to address the demand-side and supply-side approach to regional growth as discussed under export base theory and the basic strategy is to reduce the time traders (sellers and consumers) spend locating goods and services.

As a management tool SIPA functionally primarily engages in planning, but it does other functions, including coordinating, organizing, and controlling. The overarching planning function is contained in the SIPA process which comprises a four-stage system of activities represented in **Table 7.4** below. The SIPA process, classic planning process, neo-mercantile planning methodology, and levels of participation in planning activities are related in **Figure 7.1** below. The purpose is to identify the relative positions of activities in the many scenarios encountered in the process of delivering neo-mercantile planning initiatives. A characteristic feature of activity relationships is the positioning of sectoral (project) planning below the plan integration stage. Hitherto, in existing perspectives, sectoral (project) planning precedes integration. This was found to be responsible for the poor performance of integration processes.

**Table 7.4: Activity system of the SIPA process**

STAGES	PRIMARY ACTIVITIES
<b>Conceptualization</b>	<ul style="list-style-type: none"> <li>• Mind-set and outlook issues</li> <li>• Growth vision</li> <li>• Long term objectives</li> </ul>
<b>Analysis</b>	<ul style="list-style-type: none"> <li>• Spatial metric analysis</li> <li>• Remote sensing</li> <li>• Land use analysis</li> <li>• Environmental condition analysis</li> <li>• Asset-based analysis</li> </ul>
<b>Synthesis (Integration)</b>	<ul style="list-style-type: none"> <li>• Infrastructural planning</li> <li>• Spatial modelling</li> <li>• Planned Unit Development models</li> </ul>
<b>Implementation</b>	<ul style="list-style-type: none"> <li>• Facility (project) planning</li> <li>• Funding &amp; budgeting</li> <li>• Interactive forum</li> <li>• Monitoring</li> </ul>

Source: Own construction (2013)



**Figure 7.1: Conceptualization of the SIPA process**

Source: Own construction (2013)

The elements of participation in SIPA process are elaborated in **Table 7.5** below. Who should be involved in the participatory process is conceived to include first, ‘targets of change’, that is the people at whom the intervention is aimed or whom it is intended to benefit; in some instances they are categorized as ‘insiders’; and second, ‘agents of change’, referring to the people who make or influence policy or public opinion, also categorized as ‘outsiders’, and this includes external development partners. Participation is considered to be foremost at the point of visioning, modelling and funding initiatives and the methodology anticipates participation during the mobilization, planning studies, and design and implementation stages of planning. The provisions made for participation are meant to complement the high-tech planning perspective which relies on but is not limited to remote sensing, Landsat and GIS data on land cover and spatial metric data

processing. Caution was exercised to ensure that the creative input is protected and not traded off with political analysis that goes with project planning and funding mechanisms as it was found to be the case with existing planning instruments - rather participation is programmed to provide effective vanguard services against misappropriation of project funds.

In the next section integration planning working instruments will be discussed. As mentioned earlier the instruments are used for the visioning process for different scales of spatial systems and administrative boundaries. All instruments are concerned with creative spatial proposals in space either broad-based or detailed.

**Table 7.5: Matrix of participation in SIPA process**

Elements of participation in SIPA									
Who (Space, Actors & Knowledge <sup>*</sup> )		Where (Space/Planning initiative)			When (Planning process/methodology)				
Categories	Stakeholders	Planning initiative	Participation in planning (Motivations & Determinants)			1	2	3	4
			Visioning	Creativity (Modelling)	Funding	Mobilization	Planning studies	Design	Implementation
Targets of change (Insiders)	<ul style="list-style-type: none"> <li>• Primary stakeholders                             <ul style="list-style-type: none"> <li>- Upper class (elites)</li> <li>- Upper-middle class (professionals)</li> <li>- Lower-middle class</li> <li>- Low class</li> <li>- Proletariats (absolutely poor)</li> </ul> </li> </ul>	Territorial	Formal ≥ informal expertise knowledge	Formal ≥ informal expertise knowledge	Informal expertise knowledge	Interactive	Consultative	Consultative	Interactive
		National	Formal ≥ informal expertise knowledge	Formal ≥ informal expertise knowledge	Informal expertise knowledge	Interactive	Consultative	Consultative	Interactive
		Province	Formal ≥ informal expertise knowledge	Formal > informal expertise knowledge	Formal ≤ Informal expertise knowledge	Functional	Consultative	Consultative	Interactive
		Municipal	Formal > informal expertise knowledge	Formal expertise knowledge	Formal < informal expertise knowledge	Consultative	Consultative	Consultative	Interactive
Agents of change (Outsiders)	<ul style="list-style-type: none"> <li>• Secondary stakeholders                             <ul style="list-style-type: none"> <li>- Union leaders (informal sector)</li> <li>- Professional bodies</li> <li>- Public sector administrators</li> <li>- Private sector</li> <li>- Freelance activists (opinion leaders)</li> </ul> </li> <li>• Consultants (indigenous &amp; foreign)<sup>*</sup></li> <li>• Motivators (Politicians &amp; opinion leaders)</li> <li>• External development agents</li> </ul>	City	Formal = informal expertise knowledge	Formal expertise knowledge	Informal expertise knowledge inclusively	Consultative	Consultative	Consultative	Interactive

Source: Own construction (2013)

### 7.4.6.3 Neo-mercantile planning frameworks

The foremost neo-mercantile planning frameworks are contained in spatial integration plans (SIPs). The SIPs are supported with a wide range of thematic integration plans (TIPs). While the SIPs are broad-based plans, the TIPs are detailed plans and they relate complementarily. They summarily provide codes of conduct loosely referred to as guidelines for the use of space. The frameworks are managed through consultancy services or in-house professional expertise or both. There are four SIPs as represented in **Table 7.6** below.

**Table 7.6: Categories of SIPs instruments**

<b>Administrative Level</b>	<b>Context (Region)</b>	<b>Activity overview</b>	<b>Major line agencies</b>
<b>National</b>	National spatial development plans	Focuses on the national grid for infrastructural development. Provides guidelines for the development of the trans-national and national market regions. Distribute national development projects in different categories of activity belts. Accounts for development plan of the core area of ICT cities.	National Planning Commissions, Federal Ministries, etc.
	Spatial development plans for Trans-national market regions	Focuses on shared vision, policy development and trade relations interpretation to guide planning activities. Coordinates communication network and distributes trans-national projects in the core areas of ICT cities.	AU and other regional organizations egg, SADC, ECOWAS, etc.
	Spatial development plans for national market regions	Focuses on political manifestos (visions), trade and economic development and policy interpretation. Accounts for the development plan of the core area and urban environment of Growth centres (national cities).	National Planning Commissions, Federal Ministries, etc.
<b>Provincial</b>	Spatial development plans for provincial market regions	Focuses on the provision of provincial grid for infrastructural development. Provision of integrated plan for modelling the urban regions via, facilities distribution and regional connectivity. Provision of guidelines for development priorities in activity belts. Accounts for the development plan of the core area and the urban environment of Agropolitan cities (provincial cities).	Provincial departments of planning and sectoral departments
<b>Municipal</b>	Spatial development plans for municipal market regions.	Focuses on functional flow and land use budget in the activity-belts as well as the provision of development plan of core areas of Agrovilles (municipal cities) within the guideline of the provincial plans.	Local Planning Authorities, etc.

Source: Own construction (2013)

The SIPs take precedence in descending order as presented in **Table 7.6** above. The next set of framework instruments are the TIPs. These categories of instruments and their major activity focus are summarized in **Table 7.7** below.

**Table 7.7: Categories of TIPs instruments**

<b>Thematic Instruments</b>	<b>Spatial system</b>	<b>Activity overview</b>	<b>Major line agencies</b>
<b>Urban-core plans</b>	Core area	Urban design. Focuses on growth boundaries, urban form. Time-budget principles for land use planning and transportation networks. Urbanity. Village design.	City development authorities, Town unions.
<b>Activity-belt plans</b>	Urban environment	Modelling of the urban form through the spatial distribution of activities in the core area, inner ring, and outer ring of the urban environment. Industrial sites.	Municipalities, City development authorities.
<b>Concept plans</b>	Urban region	Structure plan for urban region integration.	Municipalities.
<b>Land-use master plans</b>	Land resources	Land resource planning in the outer ring for agriculture, mining, conservation, etc.	Municipalities.
<b>Sectoral master plans</b>	Projects	Project planning	Specialized agencies

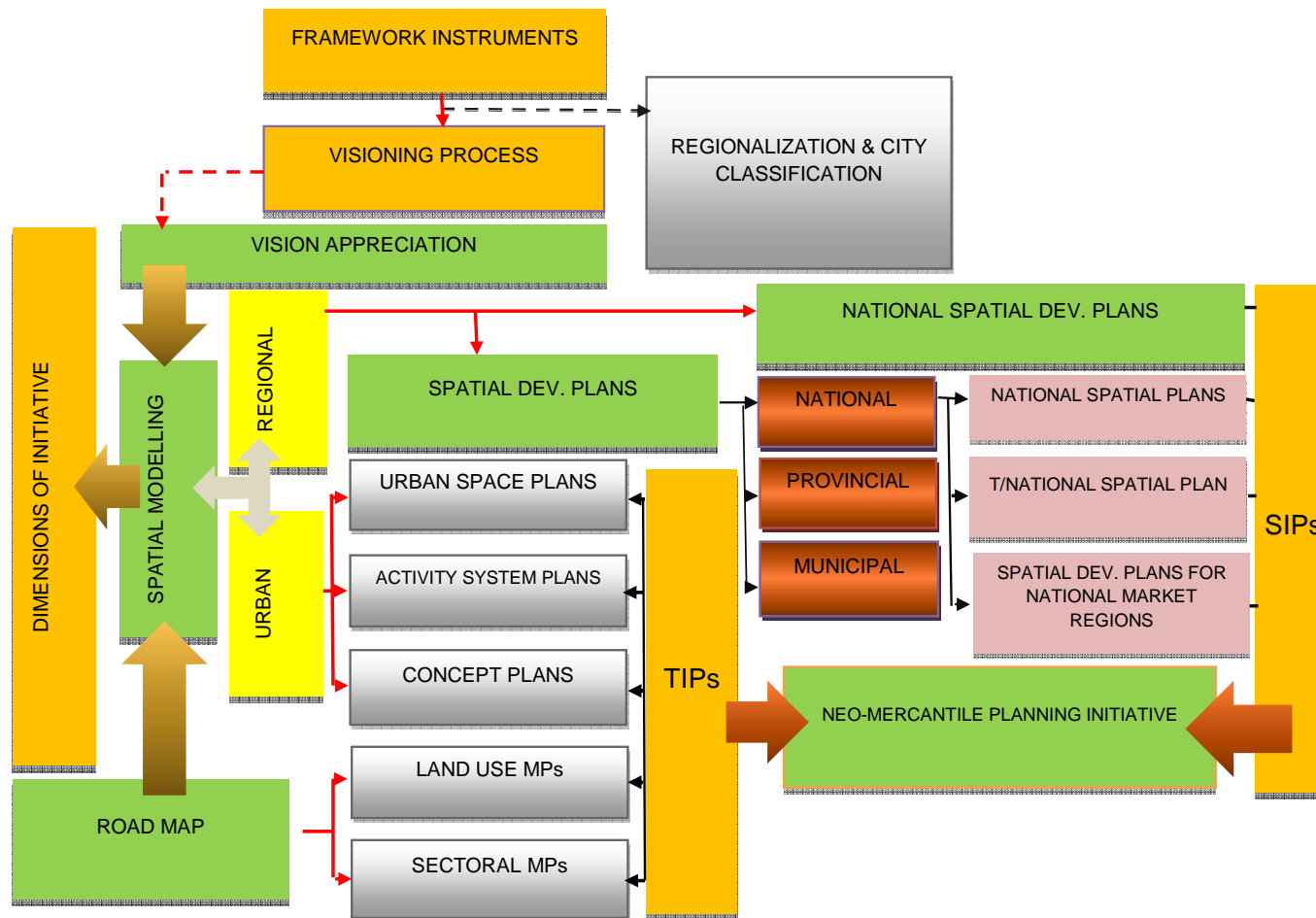
Source: Own construction (2013)

SIP is the central planning instrument at all levels of administration. It combines economic and spatial planning and incorporates an investment plan. All other forms of development planning including budgeting at all levels of administration will be done in the context of SIP guidelines and provisions. In other words SIP is the visioning instrument. The flow-chart of the instruments is represented in **Figure 7.2** below.

The SIP is contained in two reports – Diagnostic and Integration reports. The diagnostic report establishes the status quo vis-à-vis the system of base, activity space relationships, and the superficial structure of the subject under investigation. In this way environmental factors including cultural and value systems, spatial determinism and spatial equilibrium are determined using a spatial metrics tactic of remote sensing and GIS data-collection methodologies. The data collected is used for resource analysis as well as form-based analysis of built-up areas. Resource analysis is stratified into natural (renewable and non-renewable) and human resources (personal and community assets

and capacities) while form-based analysis focuses on urban growth management issues related to land use and population distribution, densities, patterns and dynamics, growth management instrument and connectivity. The expected output which the report contributes to SIPA process is the identification of priority problems, the establishment of long-term spatial integration objectives and the simulation of growth visions with measurable indicators.

The SIP integration report performs four functions: first, it generates action plans, secondly it identifies tasks for the action plans, thirdly it configures a spatial model for distributing the tasks, and fourthly, it proposes an investment plan. Each of the four functions is a composite set of activity performed through participatory processes, controlled, however, by formal expertise knowledge in spatial planning. The action plan takes care of centrally considered sectoral planning activities.



**Figure 7.2: Flow-chart of neo-mercantile planning framework**  
 Source: Own construction (2013)



The modelling is for the adjustment of the basic scenario and alternative proposals will be evaluated using investment criteria. The proposals will be in the categories of heavy investment, light investment and heavy/light investment proposals. The evaluation will be done with a predetermined template and the chosen concept further elaborated, leading up to strategic planning for funding and implementation. To this end costing and institutional frameworks are determined and an investment plan proposed.

The frameworks have multiple relationships and alignments as the space they act on overlap and so do the spatial systems vary in categories. The resultant spatial network is captured in the next section by way of grid diagrams.

### 7.5 Spatial integration network

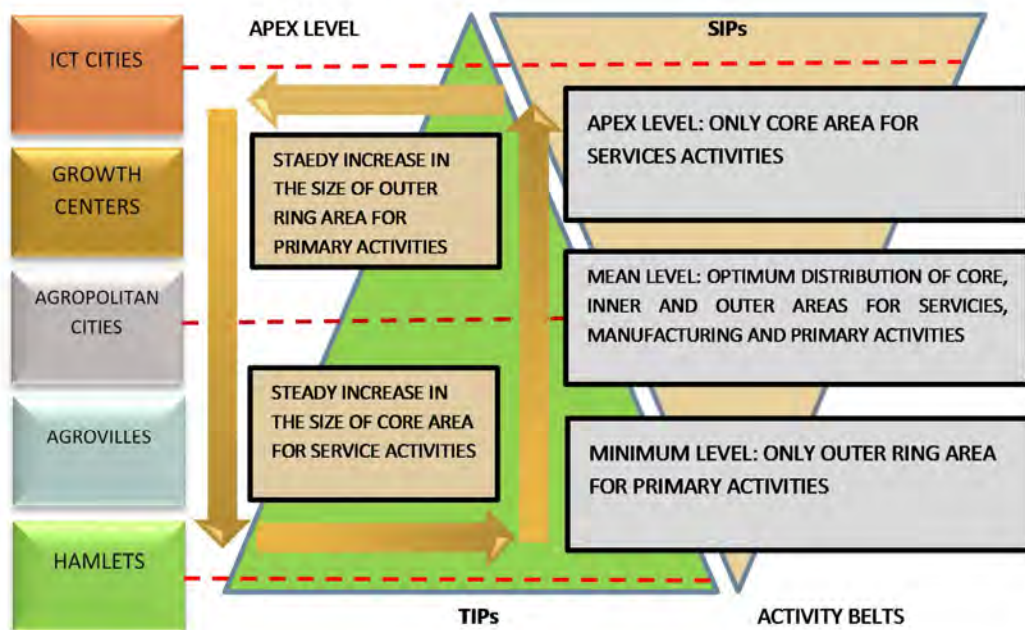
The SIPs and TIPs act on five levels of the administrative framework, six categories of spatial systems, and two conceptions of three activity belts. The taxonomy of cities identifies four categories of cities, excluding rural communities and hamlets, and each class of cities is responsible to a level of government as mentioned earlier and represented in **Table 7.8** below.

**Table 7.8: Categories of spatial systems**

ADMINISTRATIVE LEVEL	SPATIAL SYSTEMS
<b>National</b>	ITC cities
	Growth centres
<b>Provinces</b>	Agropolitan cities
<b>Municipals</b>	Agrovilles
	Rural communities
	Hamlets

Source: Own construction (2013)

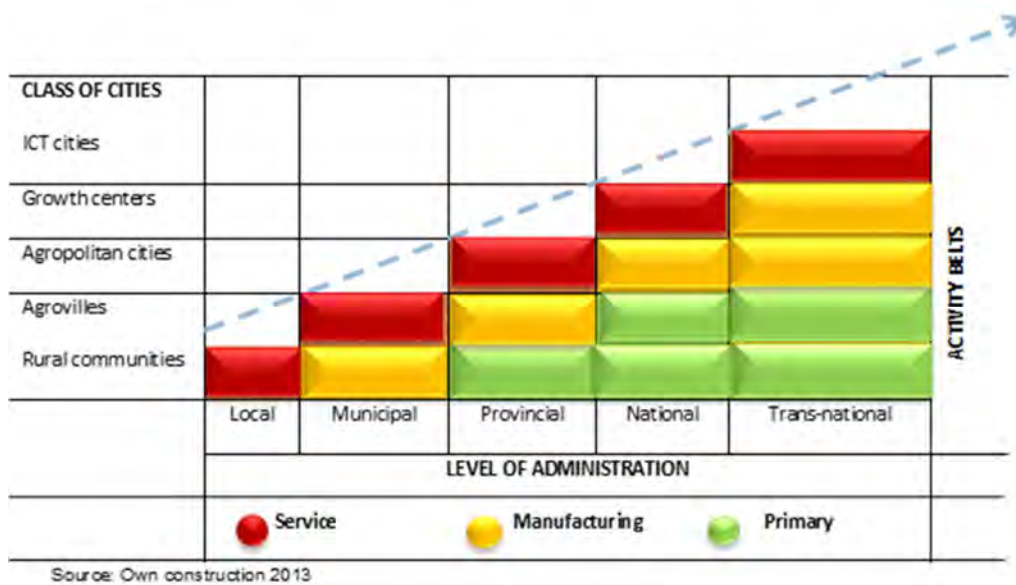
Each spatial unit has activity belts in micro- and macro-dimensions. The micro-dimension relates to its structure as a spatial system with a core area, inner ring area, and outer ring area, although the spatio-physical extent of the three spatial space varies depending on the spatial unit as illustrated in **Figure 7.3** below.



**Figure 7.3: Pyramids of framework instruments related to the categories of cities**  
 Source: Own construction (2013)

Agropolitan cities represent the optimal situation where the spatial spaces even out, while at the lowest grade of spatial unit, that is, hamlets, the outer ring area dominates and at the top, that is ICT cities, the service area dominates conceptually. There is a continuum in the dynamics of the spatial space for each spatial unit. The spatial spaces are referred to as activity belts as they are assigned service, manufacturing and primary functions respectively. The SIPs and TIPs act inversely on the micro-activity belts. While TIPs are maximally used at the lowest level and diminish towards the apex, SIPs are maximally used at the apex and diminish towards the lowest level.

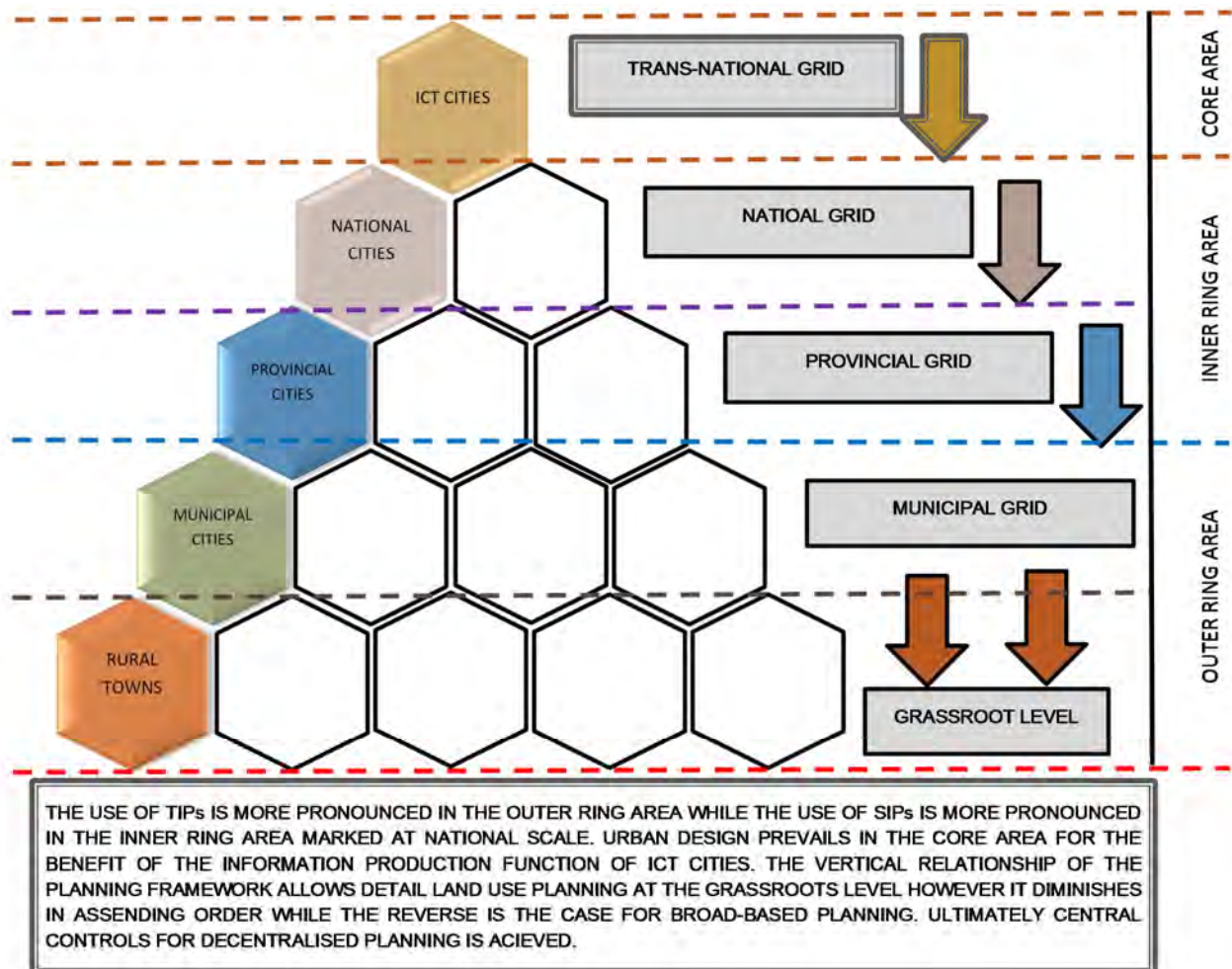
The macro-activity belt is conceived in the context of regional spatial integration to determine the catchment area of the different classes of spatial systems and by implication administrative levels. This is illustrated in **Figure 7.4** below.



**Figure 7.4: Composition of the work environment of SIPs and TIPs.**

For instance, the catchment area of ICT cities comprises the Growth centres and Agropolitan cities located within the service belt and the Agrovilles and rural communities located within the primary belt. Note that rural communities and hamlets do not have catchment areas. The activities of national government in the catchment area of ITC cities are guided by the activity belt sub-division. For example, if the national government wants to locate a national abattoir, an ITC city is identified for that purpose, using mainly political analysis and within the manufacturing belt of the identified ITC city's catchment area a suitable site is identified using political, economic and spatial analysis in ascending order.

The relationship between the spatial systems is hierarchical. Hence there are five vertical surfaces; each identifies a grid of connectivity (transport and communication routes) that networks a class of spatial systems as shown in **Figure 7.5** below. The dominance of use of TIPs and SIPs for planning activities as in the micro-classification of activity belts alternates within the macro-activity belts.

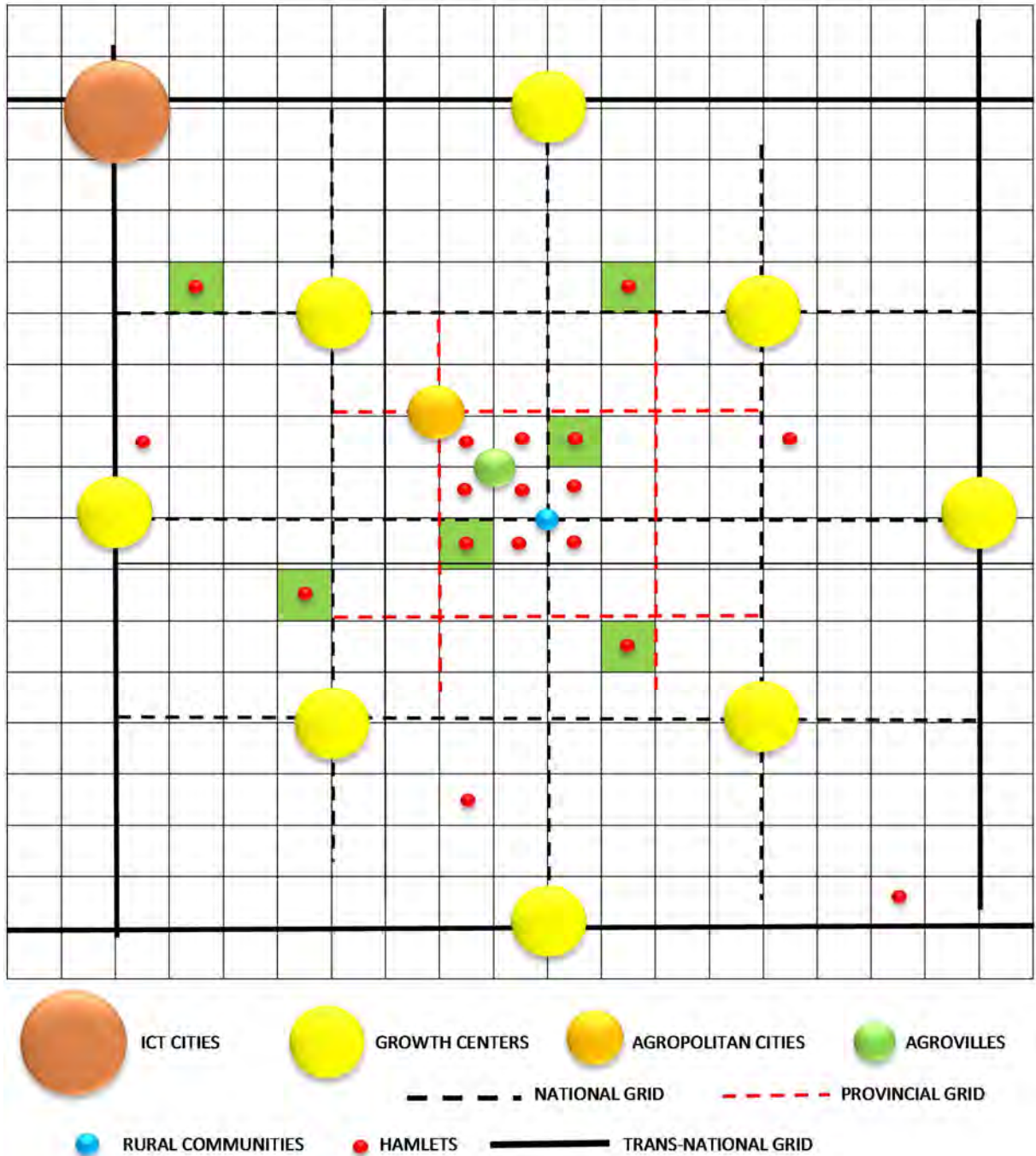


**Figure 7.5: Vertical relationships in spatial integration network**

Source: Own construction (2013)

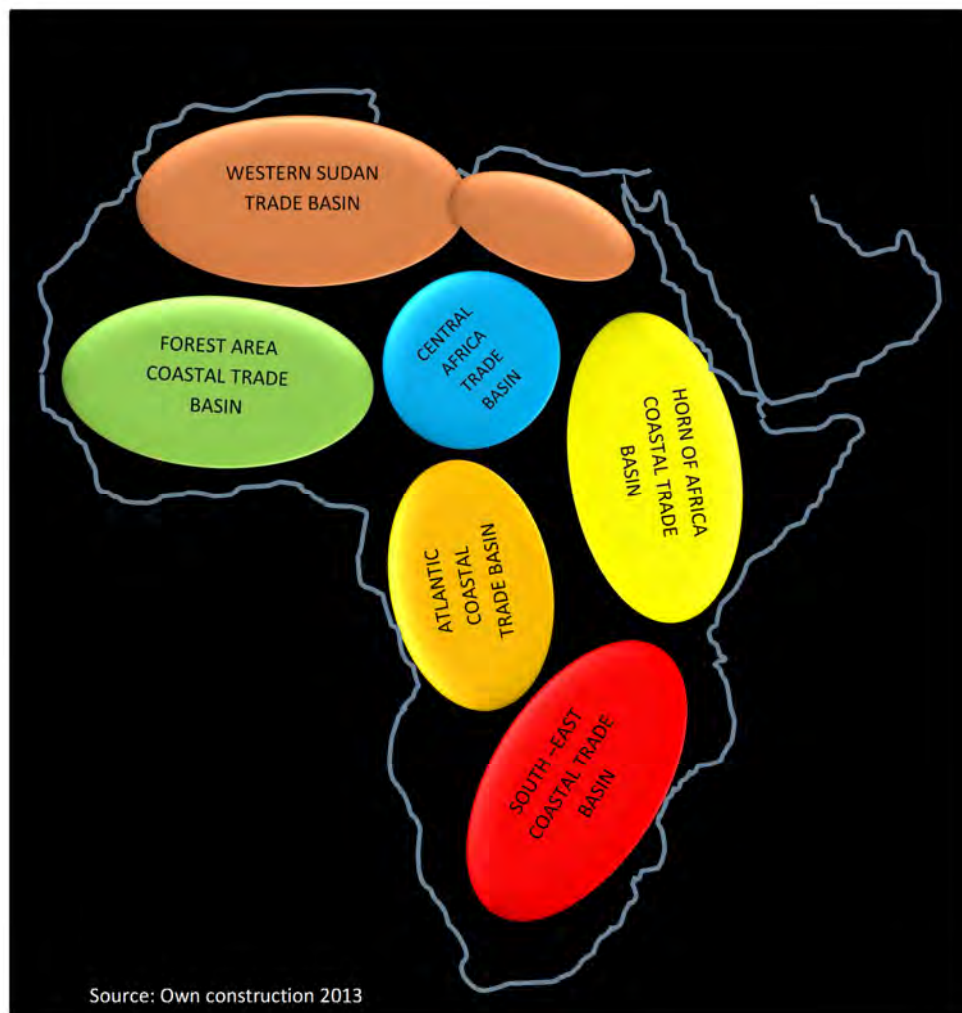
The relationship between the five grids is pronounced when they are collapsed into a single surface. This represents the horizontal relationships represented in **Figure 7.6** below. The higher the class of spatial unit the more the spatial systems in lower class it has to download in the management of economic growth. Several of each class of spatial unit is usually identified and they compete and cooperate among themselves interactively and complementarily in infrastructural development and business ventures. The spatial systems serve as intervening opportunities factored on time-efficiency principles and of course other productivity imperatives. The functional relationships facilitate the identification of development corridors, growth triangles and ultimately the delineation of market regions. The market region matrix will inform economic development plans at all administrative levels. For administrative convenience, market

regions and administrative boundaries may not overlap to the effect that a combination of provinces could make-up a market region. The market regions will be networked at the trans-national level into “trade-basins”, spatio-physically expressed in trans-megapolitan development.



**Figure 7.6: Horizontal relationships in spatial integration network**  
 Source: Own construction (2013)

As illustrated in **Figure 7.7** below, six trade-basins are discerned, based on regional cooperation, particularly prior colonization and current regionalization tendencies. The forest area coastal trade-basin, covering ECOWAS countries plus Cameroon, Gabon, Equatorial Guinea; the Western Sudan trade-basin covering Mauritania, Mali, Niger, Chad; the Central Africa trade-basin covering the Central African Republic, Congo, Zambia, Zimbabwe, Zaire, Rwanda, Malawi, Uganda, Burundi; the South-east Coastal trade-basin covering South Africa, Mozambique, Tanzania, Kenya, Swaziland, Lesotho; the Atlantic Coastal trade-basin covering Angola, Namibia, Botswana; and the Horn of Africa Coastal trade-basin covering Sudan, Ethiopia, Somalia and Djibouti. Except for the Central African trade-basin, the rest are all potential trade destinations for international trade.



**Figure 7.7: Map of Africa showing proposed trade basins**  
Source: Own construction (2013)

The four coastal trade-basins will be deployed to service Euro-American trade relations while the Western Sudan trade-basin will address trade with the Arabs in the middle-east via North Africa. The Central African trade-basin will co-ordinate internal trade among the six trade-basins. Given this framework, countries with potentials to produce mega-cities that will serve as principal trade nodes are Nigeria, Zaire, South Africa, Kenya, Sudan, Angola and Niger. For spatial reasons, Senegal will be encouraged to serve as principal international trade node country, although Senegal and Niger in terms of population do not have the potential to generate mega-cities. Overall, the proposal views trade relations from a spatio-physical perspective and in the process provide a platform for considering spatial regional integration for Africa.

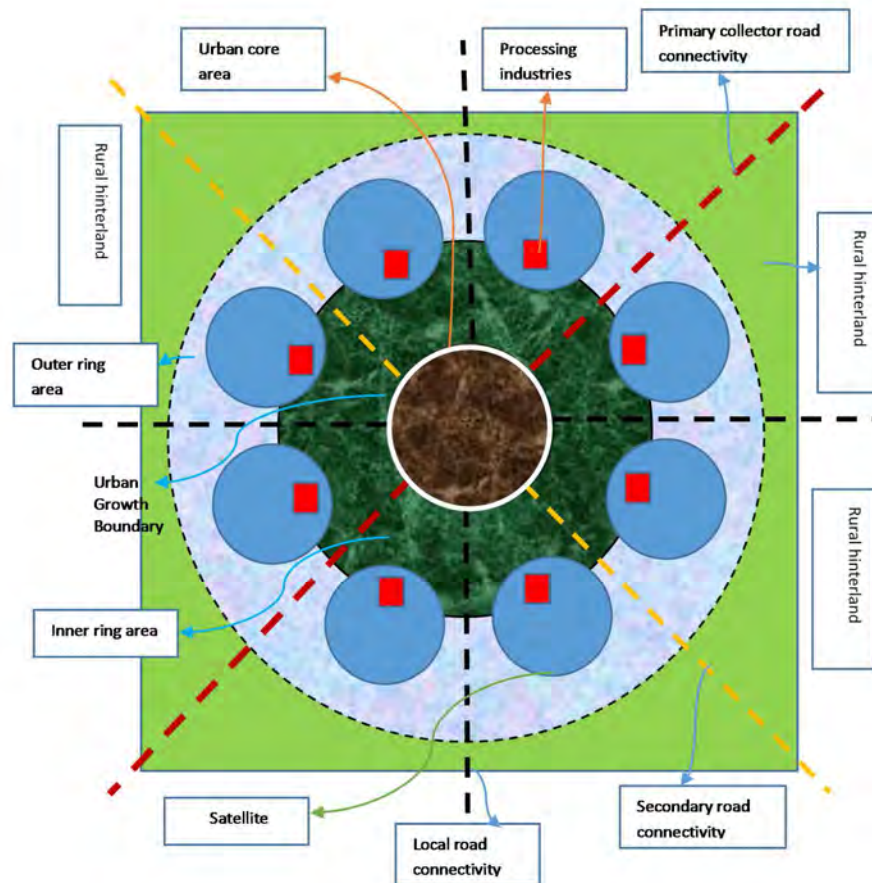
The next sub-section builds on the argument of form and function to generate a design model for urban region development. The design is aligned with the spatial growth processes of polycentricism in space economy. Therefore the design adopts activity belt strategies to aid spatial growth processes. This is strategic for the integration of vertical and horizontal relationships in the market regions with extended metropolitan regional and growth triangle models.

## **7.6 Urban spatial model**

The basic outline of the urban spatial model is illustrated in **Figure 7.8** below. The design approach is based for the spatial definition of the urban environment. The three sections of the urban environment are regarded as activity belts. The core area is allocated service (marketing) functions (showrooms and shopping malls), the inner ring area performs manufacturing (extraction and processing) functions (minerals and agro-based industries), and the outer ring area, including the rural hinterland, performs primary economic functions (farm plantations and mining sites). The core area is hemmed-in and its growth managed with an urban growth boundary, which implies time budgeting in land-use planning in the urban region. In other words, the spatial relationship between Brownfield and Greenfield development is timorously managed.

The design determines the urban economy space to extend beyond the core area of the urban environment and extends into the countryside. The approach to use the spatial space is strategic, to encourage polycentric urban form. The polycentric urban form is built on functional flow principles for the urbanizing city. It encourages the distribution of land use that facilitates functionality and region-based urbanization. With the distribution

of processing industries, provision is made for the development of new satellites in the growth process. The satellites are linked with regional road networks and inter-connectivity pronounces the extended metropolitan model.



**Figure 7.8: Neo-mercantile spatial model for urban region development**  
Source: Own construction (2013)

The spatial spread encourages time-efficiency in the use of space, especially with regards to managing local resources. Entrepreneurship develops spatial connectivity that matures into growth corridors, mostly between cognate activity belts, especially the service belt. The service belts are in turn networked with manufacturing belts which feed the growth corridors. The spatial growth of the satellite hubs is managed through urban design and in line with the compact city concept as is the case with the parent stock service hubs. Finally, the urban spatial model directs activities in the playing ground of



spatial regional integration. It does more of a referee job, to moderate the application of innovations. It provides the ground rule for engagement in the use of space.

## **7.7 Measure of Time-Efficient Coefficient for the classification of settlements**

In early 20<sup>th</sup> century functional classification models using dominant functions became commonplace. Some of these models, which were based essentially on changes in socio-economic indicators, included “Harris’s Functional Urban Classification” (Harris, 1943); “Nelson’s Multifunctional Classification” (Nelson, 1955); “Alexanderson’s Method” (Alexanderson, 1956); “Webb’s Analysis of Minnesota Towns” (Webb, 1959); “The Duncan and Reiss Classification” (Duncan & Reiss, 1956); and Forstall’s Classification of American Cities” (Forstall, 1970). In a different representation, Bechtel (1973) summarized new contributions thus:

Duncan (1960) represents the functional or economic viewpoint from which to classify cities. Cox and Zannaras (1970) represent an attempt to classify cities by popular views of the geographical region to which they belong. Maloney (1967) represents a purely factorial approach and has two classifications if one counts those cities loading both high and low on his factors. Forstall (1970) represents the City Manager’s Yearbook method of classification and actually has three methods of classification. Nelson (1955) classifies cities according to a service criterion.

Using factor analysis and later cluster analysis, studies were conducted with these models in the late 20<sup>th</sup> century, especially Nelson’s model. Since the turn of the century the inclusion of spatial indicators has identified the latest contributions, although this trend is still in the preliminary stages and results are tentative, requiring further analysis. Drewes and Van Aswegen (2011:15-25) contributed a related study on the vitality of urban centres in which spatial indicators were used to classify urban centres in Northern Cape Province, South Africa. Drewes and Van Aswegen’s study, however, was primarily based on the industrial theory that explains the spatial incidence of urban areas.

Under neo-mercantile planning the ranking of cities or settlements within different categories of spatial systems will be done by calculating the time-efficient coefficient of the settlements. Two approaches can be used to determine the coefficient (herein after referred to as TE-coefficient) – statistical and theoretical approaches. Expert opinion from the Mathematics Department and the Statistics Consultancy Service Unit at the NWU indicates that the theoretical approach is a complicated process requiring further

research. The statistical approach is basically the objective determination of weighted means calculated from variables that are put on a standard scale and then weighted by means of a statistical process.

The variables as indicated earlier for measuring time-efficiency of spatial systems are potentially on different scales. Time-efficiency is dependent on pull-factors or the attractiveness of spatial systems as business location. The pull-factors have three dimensions, namely social, economic, and spatial. The social dimension of the variables includes innovation, standard of living, age, sex, occupation, administrative functions, etc. The variables for economic dimension include entrepreneurship, transport costs, modal splits, traffic delays, opportunity costs, induced demand, trade relations, etc. For the spatial dimension the variables include location, size of catchment area, accessibility, proximity, Weigh-bill transfers, trip assignment, urban form, functional flow, etc.

The statistical approach of calculating time-efficient coefficient is in three phases, identified thus:

Phase one – identification of k independent variables:  $X_1, X_2, X_3, X_4, \dots, X_k$ .

Phase two – put the variables in standard scale using the formula:

$$Y_i = \frac{X_i - \bar{X}_i}{S_i}$$

Where:

$Y_i$  = the i th standardized variable,  $i = 1, \dots, k$

$X_{i1}$  = the i th variable,  $i = 1, \dots, k$

$\bar{X}_{i1}$  = Mean value of  $X_i$

$S_i$  = Standard deviation of  $X_i$

Phase three – a principal component analysis on the  $Y_i'$ s, from which the first component score can be obtained and is mathematically represented as:

$$T_E = w_1y_1 + w_2y_2 + w_3y_3 + w_4y_4 + \dots W_k y_k,$$

where:

$T_E$  = TE-coefficient (weighted mean of the standardized variables), and  
 $w_1, w_2, \dots, w_k$   
 are the weights such that  $w_1 + w_2 + \dots + w_k = 100\%$ .

Such a coefficient will only make sense if the first principal component explains a substantial percentage of the total variance of the standardized variables.

## 7.8 Conclusions

The neo-liberal theoretical framework for planning was reviewed based on the findings of the research. A set of new criteria was injected into the substantive framework under the following objectives: statutory planning, spatial planning, nature of planning, planning instruments, regional integration, participatory process, planning methodology, and cross-cutting issues. The research proposed neo-mercantilism as an alternative ideological perspective.

Neo-mercantilism shares the ethos of neo-liberalism and globalization but differs in terms of its concern with nation-building rather than individual profitability. This quality, linked with its antecedents in African civilization, informed its favourable appraisal as alternative thinking instrument for planning in Africa. On account of this change, neo-mercantile planning is theorized. Neo-mercantile planning is built on five canons; first the innovation of the time element in planning, second upholding humanistic intervention as principal determinant of urban change, third merging economic and spatial planning, fourth adopting a form-based outlook, and fifth positioning transportation as a central element in spatial planning. Mind-set and outlook issues are mainstreamed in the process.

Neo-mercantile planning strategically elevates spatial planning from its very low pedestal to an apex position where it exerts an overarching influence over all other forms of development planning. Within its process, sectoral and project planning processes

relocate to merge with plan implementation procedures which are subject to the provisions of integration mechanisms. Budgeting is also strategically subsumed into the planning system with an investment plan and funding strategies which forms part of the neo-mercantile planning framework.

A major contribution of neo-mercantile planning is its spatial model for urban region development. The model facilitates activity-belt strategies which redistribute activities within the urban landscape. This has the potential to translate growth visions of urban Africa into space. The instruments for securing the model are grouped under spatial integration planning (SIPs) and thematic integration planning (TIPs) instruments. Three levels of planning and six categories of spatial systems will be integrated in line with the standards of extended metropolitan regional and growth triangle models for isolated market regions. Hence the new planning paradigm is thought to provide spatio-physical bases for integration. It demonstrates that planning rationality can still prevail in a market force context.

The new planning paradigm is mindful of the sentiments of participation in the planning process. Therefore provision is made not because the sentiments as expressed are considered correct in the context of neo-mercantile planning but because it is better thought of as a missing aspect of plan implementation. To this end, participatory provision in the new paradigm empowers monitoring of plan implementation procedures. It advocates a consultative outlook during creative processes which requires formal expertise knowledge although politicians will be engaged.

Neo-mercantile planning is linked with politics. It provides political manifestoes the spatial model and road map for their translation into space. This is why it is mainstreamed in the inception of a new political administration through its framework instruments. Therefore its adoption requires very strong political will acceded to by the committee of nations in the **AU**. Although the next section articulates the contribution made in terms of new knowledge, it is largely concerned with the domestication of the proposed planning theory in the African context. A domestication programme is subsequently proposed.

## **SECTION F: CONTRIBUTION TO NEW KNOWLEDGE, APPLICATION AND APPROACHES**

### **Chapter 8: New knowledge base**

This chapter provides the requisite strategies for domesticating neo-mercantile planning theory in the African context. The chapter therefore articulates the research résumé and its verification followed by the identification of gaps in knowledge which were addressed. Also new research areas in planning were identified prior to the presentation of the visioning process for domesticating the theory in Africa.

#### **8.1 Introduction**

The process-planning paradigm, which is the neo-liberal ideological perspective introduced, has been found to be inadequate to deliver integration in Africa. This provides the rationale for ideological changes to neo-mercantilism and its planning instrument. The neo-mercantile planning instrument conceptualized in the preceding section awaits domestication to test its adequacy as new knowledge.

#### **8.2 Research résumé and verification**

The major arguments of the research rejected informality, the neo-liberal concept which received tacit support from the new perspective of planning contained in the process-planning paradigm (c.f. 1.4.1). Instead the research has upheld the form and function principles as bases for economic growth and spatial integration as seen from the formal planning perspective (c.f. 1.4.1). The resilience of formal (form-based) planning pre-occupied the research and developing matching planning paradigms represented the core research problem (c.f. 1.5). On account of this the core research question sought to know how a formal planning tradition could make a contribution to the development of a planning paradigm in the context of neo-liberalism. The core research question elicited ten subsidiary questions, bordering on the participatory process, new perspectives in planning, political versus technical analysis in planning, compliance of planning initiatives with neo-liberal planning theory, theoretical frameworks for planning, etc. (c.f. 1.6).

The research anticipated making a case for active recognition of the resilience of formal planning in the development of a planning paradigm for Africa (c.f. 1.7). This informed the global aim of articulating an appropriate spatial development theory which had four objectives involving the evaluation of theoretical framework for planning and desktop

studies of country profiles and empirical studies of planning initiatives (c.f. 1.8). The empirical studies informed the specific aim of conceptualizing a formal spatial planning theory for Africa (c.f. 1.9). Eight objectives were adopted to facilitate the case study of a planning initiative vis-à-vis its principles and practice (c.f. 1.9.1). The case study adopted an MCA and a SWOT analysis as well as an own assessment. The findings provided the theoretical base to simulate new knowledge underpinned by a proposed formal planning theory for Africa. The studies were conducted with a mind-set that protected spatial regional integration in Africa, a territorial planning outlook for Africa, and the African renaissance.

The research determined the prevailing theoretical framework (c.f. 5.5.1). The country profiles of ten African countries were examined and analysed severally (c.f. 5.7). The findings indicate that neo-liberal planning has made some inroads in the structure of some of the African countries studied (c.f. 5.7). The South African experience is most impressive (c.f.5.7). The study of planning initiatives was done in two parts. First was the review of planning initiatives in four African countries, including Mali, Egypt, South Africa and Tanzania (c.f.5.5.2). MCA and SWOT analyses were conducted for the planning initiatives in these countries (c.f. 5.5.2 and 5.6). An own assessment was also conducted using a **4As** template (c.f. 5.6.1). The initiatives were found to comply with the neo-liberal tradition; however, they were found not to have a strong capacity to deliver spatial regional integration principally because of the subjugation of a formal planning tradition (c.f. 5.6.1).

The IDP initiatives of local municipalities in South Africa, including those of Tlokwe, Matlosana, and Rustenburg (c.f.5.8) were subjected to empirical studies. Against the backdrop of the new theoretical framework the performance matrix of the initiatives was established for the relationship between principles, practice, and desired practice (c.f. 5.8.1; 5.8.2; and 5.8.3). The findings indicate positive compliance in the relationships examined as outlined in the objectives of the study (c.f. 5.8.3). A SWOT analysis (c.f.5.8.4) and own assessment (c.f.5.8.5) was conducted and the findings are as stated in the summary table (c.f. 6.2).

The empirical studies conducted with a planning questionnaire generated a database of descriptive statistics (c.f. 5.9), mean values and "Effect sizes" which were used to conduct an MCA analysis of perceptions. The frequency distribution of preferred perceptions was established (c.f. 5.9) and presented graphically. The findings of the

questionnaire survey are contained in the summary table (c.f.6.2). In the same vein the personal interviews were summarized thematically and subjected to MCA analysis (c.f. 5.10). The findings are also contained in the summary table (c.f. 6.2).

The null hypothesis was disproved, thus establishing the resilience of formal planning (c.f. 6.3).

The summary of findings supported two operations: the proposed update of the theoretical framework for planning and the proposed change of development ideology from neo-liberalism to a related concept termed neo-mercantilism. Perceived gaps in the theoretical framework for planning in the form of subjugation of form-based elements were addressed (c.f.7.3). The updated theoretical framework linked with neo-mercantilism serving as the new thinking instrument provides to the research the foundation to postulate a neo-African spatial development theory which answers the global aim of the research (c.f.1.8). Within the context of the development theory as the specific aim of the research a neo-mercantile planning theory was proposed for Africa (c.f. 7.4.6).

The new planning theory introduces time-efficiency of cities in the development of planning theory (c.f. 7.4.6.1). Time-efficiency is meant to serve as criterion to evaluate the functional capacity of spatial systems as trade nodes. This evaluation is intended to be done with a time-efficient coefficient. The coefficient will aid the classification of cities for purposes of functional flow analysis in territorial planning. Therefore it draws most of its variables from land use and transportation planning elements such as transport cost, modal split, trip assignment, traffic delays, route networks, settlement patterns and hierarchy, etc. It also has other spatial, social and economic variables, including standard of living, value systems, cultures, resource distribution, nodal location, urban form, urbanity, etc.

### **8.3 Matrix of a contribution to new knowledge**

What constitutes gaps in knowledge is relative, depending on the school of thought that is considering reality. For content drivers that follow the institutionalist school, gaps in knowledge exist in integrating informality in planning theory. The contrary perhaps is the case for the reformist or Marxist schools of thought that apply world systems analytical approaches to view reality. The slant of world systems analytical approach applied in this

research redirects attention to global influence as determinant of paradigm shift in planning. The research problem and research questions draw from this concern.

The research determined some trends or assumptions in contemporary spatial planning that are sometimes contentious. It disproved its hypothetical statement and established the resilience of formal (form-based) planning. With this knowledge base, coupled with the fact that neo-liberalism is anti-planning in orientation (c.f. 2.7), and its concept of neo-liberal planning is paradoxical (c.f. 2.6.1), the research responds negatively to the core research question. The research upholds the notion that it will be difficult for formal (form-based) planning to make a reasonable contribution to the conception of planning paradigms for regional integration in a neo-liberal dispensation. This position draws from the impressions or deductions arising from the subsidiary research questions. These deductions and the gaps in knowledge implicated are indicated in **Table 8.1** below.



**Table 8.1: Deductions and gaps in knowledge arising from subsidiary research questions**

Subsidiary research questions	Deductions	Gap(s) in knowledge
Why should Africa consider an alternative development ideology besides neo-liberalism?	<ul style="list-style-type: none"> <li>▪ The general ethical precept of neo-liberalism supports private profitability which constrains integration required for African renaissance (2.6.1).</li> <li>▪ Its neo-liberal planning theory works at variance with form-based planning (c.f. 2.6.1).</li> <li>▪ Neo-liberalism is linked with imperialism (c.f. 6.3; c.f. 2.6.2).</li> </ul>	<ul style="list-style-type: none"> <li>▪ African-specific ideological perspective</li> </ul>
Why is neo-liberalism not a preferred thinking instrument for theorizing planning paradigms in Africa?	<ul style="list-style-type: none"> <li>▪ It supports the principles of imperial space economy (c.f. 3.6.3).</li> <li>▪ It is aligned with the principles of dependency theory (c.f. 2.7).</li> <li>▪ It is committed to seek economic bases of integration.</li> </ul>	<ul style="list-style-type: none"> <li>▪ Alternative platform for theorizing planning paradigms in Africa.</li> </ul>
How can new facts or new perspectives determine spatial planning paradigm?	<ul style="list-style-type: none"> <li>▪ New facts can determine spatial planning paradigms based on either environmental determinism or humanistic interventionist activities or urban growth processes (see c.f. 5.3; c.f. 1.4.1). These attributes correlate with form-based planning paradigms</li> <li>▪ New perspective in planning is driven by changes in development ideology and tends towards reinventing planning (c.f. 2.7; c.f. 5.5).</li> </ul>	<ul style="list-style-type: none"> <li>▪ Time element in regional development theories.</li> <li>▪ Market regions in planning</li> </ul>
To what extent does the theoretical framework for planning contain form-based elements?	<ul style="list-style-type: none"> <li>• Quantitative research on IDP planning initiative in South Africa indicates high perception of form-based planning elements in the new theoretical framework for planning (c.f.4.6.2).</li> <li>• The new theoretical framework for planning contains form-based elements however not to a reasonable extent (c.f. 5.5).</li> <li>• Available form-based elements are endangered through subjugation (c.f. 5.6.1; c.f. 5.8.4).</li> </ul>	<ul style="list-style-type: none"> <li>• Theoretical framework for planning in Africa</li> </ul>
How can planning initiatives in Africa be compliant exclusively with neo-liberal planning principles?	<ul style="list-style-type: none"> <li>• Financial mechanisms controlled by external development partners (c.f. 6.3).</li> <li>• Bandwagon submission to following trends in paradigm shifts in planning.</li> <li>• Persistence of current neo-liberal mind-set and outlook in planning.</li> <li>• Marginalization of planning rationality and the institution of market metaphor in development processes.</li> <li>• Disregard for integration or continued search for economic bases of integration.</li> <li>• Through the retention of neo-liberal planning theory.</li> </ul>	<ul style="list-style-type: none"> <li>• Substantive planning theory</li> </ul>

	<b>NOTE:</b> The foregoing are trends that cause planning initiatives in Africa to tend towards exclusive compliant to neo-liberal planning principles. The revision of these trends was addressed in chapter 7	
To what extent are country profiles in Africa disposed to neo-liberal planning paradigm?	<ul style="list-style-type: none"> <li>Country profiles of selected African countries studied are averagely disposed to neo-liberal participatory planning.</li> <li>The disposition of these countries to neo-liberal planning is precarious due in part to the resilience of form-based planning.</li> <li>Neo-liberal planning is not yet the spatial planning orthodoxy.</li> </ul>	<ul style="list-style-type: none"> <li>Territorial planning in Africa</li> </ul>
Why does form-based spatial planning tend to be resilient in Africa?	<ul style="list-style-type: none"> <li>The need for integration in the development of spatial systems (c.f. 3.9.1).</li> <li>The influence of new facts contained in environmental determinism and human interventionist activities (c.f. 6.3).</li> <li>Urban growth management.</li> <li>Antecedence of planning in Africa (c.f. 2.6.3).</li> <li>Form-based planning system</li> <li>Form-based planning education.</li> </ul>	<ul style="list-style-type: none"> <li>Substantive space economy model for Africa.</li> <li>Integration of economic and spatial planning</li> </ul>
How can planning initiatives deliver spatial regional integration in Africa?	<ul style="list-style-type: none"> <li>Enhanced form-based element.</li> <li>Engage expertise knowledge and research planning.</li> <li>Integrate sectoral planning with plan implementation phase.</li> <li>Elevate the status of spatial planning in development planning processes (c.f. 7.8).</li> <li>Adoption of visionary planning (c.f. 7.4.4).</li> </ul>	<ul style="list-style-type: none"> <li>Consideration of spatio-physical bases of integration in regional development theory</li> <li>Integration planning instruments</li> </ul>
To what extent are neo-liberal participatory planning principles related to planning practice and desired practice?	<ul style="list-style-type: none"> <li>Neo-liberal participatory planning principles are more related to desired practice than existing practice, according to the study of the IDP initiative in South Africa (c.f. 5.8).</li> <li>Desired practice is more inclined to form-based principles (cf. 5.8).</li> </ul>	<ul style="list-style-type: none"> <li>Spatial planning protocol for Africa</li> </ul>
What is the interface between technical and political analysis in planning?	<ul style="list-style-type: none"> <li>Interface difficult to determine (c.f. 5.10).</li> <li>Ground rules required to determine the interface.</li> <li>The resilience of form-based planning is a determinant factor.</li> <li>Resolution of roles and functions in the planning process is imperative.</li> <li>Recognition of planning rationality is critical.</li> </ul>	<ul style="list-style-type: none"> <li>Spatial planning reforms</li> <li>Unit(s) for city classification</li> <li>Integration planning</li> <li>Reconsideration of formal (form-based) planning</li> </ul>

Source: Own construction (2014)

Guided by these deductions and the challenge posed by the gaps in knowledge identified the research hypothesized a general theory for spatial planning labelled neo-African development theory. Different aspects of the general theory addressed gaps in knowledge as outlined in **Table 8.2** below.

**Table 8.2: Matrix of contribution to new knowledge**

S/no	GAPS IN KNOWLEDGE	CONTRIBUTION(S)
1	African-specific ideological perspective	Neo-mercantilism as development ideology (c.f. 7.4.4)
2	Alternative platform for theorizing planning paradigms in Africa	Neo-mercantile platform (c.f. 2.6.1; c.f. 7.4)
3	Time element in regional development theories	"Time-efficient effect" (c.f.7.4.2)
4	Market regions in planning	Trade-basins for territorial planning (c.f.7.5)
5	Theoretical framework for planning in Africa	Theoretical framework for Neo-mercantile planning concept (c.f.7.4.4)
6	Substantive planning theory	Neo-mercantile planning theory (c.f.7.4.6)
7	Territorial planning in Africa	Spatial integration network (c.f. 7.5)
8	Substantive space economy model for Africa	Neo-mercantile spatial model for urban region development (c.f.7.6)
9	Integration of economic and spatial planning	Spatial Integration Planning Approach (SIPA) (c.f. 7.4.6.2)
10	Consideration of spatio-physical bases of integration in regional development theory	Neo-African development theory (c.f. 7.4)
11	Integration planning instruments	Spatial Integration Plans (SIPs) and Thematic Integration Plans (TIPs) (c.f. 7.4..3)
12	Spatial planning protocol for Africa	Spatial integration network (c.f. 7.5)
13	Spatial planning reforms	Neo-mercantile planning paradigm (c. f. 7.4.4)
14	Unit(s) for city classification	Time-efficient coefficient (c.f.7.4.2)
15	Integration planning	Neo-mercantile integration planning paradigm (c.f. 7.4.5) Neo-mercantile planning initiative (c.f.7.4.6.1)
16	Reconsideration of formal (form-based) planning	Established the resilience of formal planning in neo-liberal dispensation (c.f.6.3)

Source: Own construction (2014)

### 8.3.1 Recommended further research

The statistical model for determining the time-efficient coefficient for evaluating cities is provided in the text but the theoretical model is beyond the scope of this research. It requires further research which should proceed with verifying relevant variables through empirical studies of cities across Africa. Thereafter, the modelling which requires the practical involvement of mathematics and statistics experts follows. This research contributes this new research area and it is anticipated that it could inform curriculum development for post-doctoral programmes in African planning schools.

Globally further research needs are identified in the area of regional development theories. There is a need for more contributions from spatio-physical perspective. This research made a contribution in this direction by contributing neo-mercantile theories and simultaneously drawing attention to the development of substantive planning theories, perspectives and frameworks. Hitherto rational theories from classical perspectives suffice and they are found to have problems with securing regional integration in space.

Also outstanding is research attention given to general theories of urban land use structure which have stagnated since 1955. Somehow the resultant vacuums, in spite of emerging new theories which are not general theories, tend to endanger planning rationality. Although it seems urban design theories acted as intervening opportunity that diverted attention from this set of theories. Unfortunately urbanism as a research agenda is still passive in Africa. Research on urban form is required to facilitate forward linkage between urbanism and planning initiatives. Fundamental to this need is research on urban growth from a spatio-physical perspective.

Consequently we recall that the compact city model for urban sustainability is not universally accepted (Cilliers, 2010:46). In Europe the alternative concepts of compaction and consolidation are underway. The situation in developing countries demands research attention since compactness at the moment is chaotic and it occurs through natural processes. Thus the research areas identified are strategic, especially for the delivery of integrated regional development and enhanced urbanity of African cities.

Lastly attention is required in curriculum development for planning education which is currently under threat of transition led by process-planning principles. The necessity of neo-African civilization captured in regional integration is found to demand curriculum development that explains the ecology of urban form. Concurrently the curriculum should expose the history of African societies, their kingdoms and territorial configuration and their functional relationships in trade. This is required to down-size the influence of boundaries bequeathed by colonialism and to repackage African civilization that will once again as Basil Davison *et al.* (1966) put it, rest 'upon social and cultural advances of great antiquity.'

Hitherto neo-liberal planning paradigms have provided the theoretical foundation for procedural studies driven by decision-making processes and planning of implementation strategies. This trend attracts receptive attitude that sustains the rhetoric antithetical curriculum change which subordinates the development of creative planning skills required for regional integration. Hence tendencies of policy shift from urbanity to decentralization and the resultant pragmatic planning framework for sectoral interventions paralyse the place and function of land use change policies for managing space economy in anticipation of the African renaissance. This trend has to be reversed preparatory to regional integration through territorial planning in Africa.

Action on recommended further research requires central coordination, most preferably by a research institute that will network with subsidiaries of the AU responsible for delivering NEPAD initiatives. The research institute, reminiscent of the Nigerian Institute of Social and Economic Research (NISER) in outlook, should preferably be an international outfit responsible for research in spatial regional development in Africa with a clear mandate to domesticate neo-mercantile planning theory. Integrating research and policy making justifies this proposal. The only other institute concerned with spatial planning in Africa is the National Institute of Spatial Planning and Urban Development (INOTU) in Angola. It is common knowledge that the functioning of some of these national outfits in Africa is deplorable, and for two localized research institutes to be responsible for spatial planning in Africa is grossly inadequate, notwithstanding the contributions from global outfits such as the Council for Scientific and Industrial Research (CSIR). Establishing an African institute is imperative. The time-frame for the mission is projected for fifteen years, most probably counting from 2016.

#### **8.4 Visioning process for a spatial integration network in Africa**

Spatial regional integration has eluded Africa for a long time and thereby hindered its long-standing battle for poverty reduction. This research contributes a theoretically compelling solution and attempts to align the new paradigm with the status quo. In the 1960s the Organization of African Unity (OAU) was established to provide an institutional framework for regional integration in Africa. As contained in an **AU** web page:

On 9<sup>th</sup> September, 1999, the Heads of State and Government of the Organization of African Unity issued a Declaration (the Sirte Declaration) calling for the establishment of an African Union (AU), with a view, inter alia, to accelerating the process of integration in the continent to enable it play its rightful role in the

global economy while addressing multifaceted social, economic and political problems compounded as they are by certain negative aspects of globalization.

With this declaration the mind-set for establishing the AU is not in doubt as well as the AU's integration agenda for building a united and strong Africa.'

The AU inherited the challenge of reducing poverty and was responsible for OAU initiatives -amongst the initiatives is the New Partnership for Africa's Development (NEPAD) initiative. The NEPAD initiative was adopted as a programme of the AU at the Lusaka Summit (2001) and its objectives focused on poverty reduction, sustainable growth and development, halting marginalization of Africa in globalization process and beneficial integration into the global economy. These are fundamental concerns that addressed the precarious position of Africa in the world system which NEPAD strategies tend to side-line in favour of MDGs.

The MDGs are more or less cross-cutting elements favourably disposed to sectoral planning. Unlike the MDGs the objectives of NEPAD are central elements in territorial planning for regional integration. The synthesis of the two scenarios is seldom considered - rather rivalry is commonplace in which territorial planning in Africa is endangered by global forces. Nevertheless there is a need for a spatial framework within which sectoral planning for MDGs should be deliberated while fate is maintained simultaneously with territorial planning. But this mechanism depends on the appreciation of trans-boundary problems and the shared vision of developing the space economy in Africa.

#### **8.4.1 Priority problems**

The trans-boundary problems considered in the research were fewer than five headings, namely urban spatio-physical expansion, suburbanization, urban sprawl, extroverted urban economies, and spatial inequalities (c.f. Annexure A.4). Also considered as priority problems are in-formalization and rapid urbanization. The scenario in select African countries is outlined in **Table 8.3** below.

**Table 8.3: Trans-boundary problems in selected African countries**

COUNTRIES	TRANS-BOUNDARY PROBLEMS
<b>DRC</b>	<ul style="list-style-type: none"> <li>• Sprawling informal expansion of the urban system into suburban areas in reaction to the suburbanization of poverty that derives from extroverted dualistic urban economy.</li> </ul>
<b>Angola</b>	<ul style="list-style-type: none"> <li>• The enclave-style economy coupled with insecurity in the hinterland areas informs the proliferation of unproductive informal settlement development in the peri-urban areas, leading to uncontrolled spatial spread of the primate city of Luanda to absorb nearby towns.</li> </ul>
<b>Mali</b>	<ul style="list-style-type: none"> <li>• Informal physical expansion of Bamako into thinly-populated outlying areas as extroverted urban economy drives the impoverished society into survivalist informal sector that disconnects from the husbandry of local resources.</li> </ul>
<b>Egypt</b>	<ul style="list-style-type: none"> <li>• Sprawl expansion is commonplace in the peri-urban areas leading to uneven spatial structures that support an extroverted urban economy.</li> </ul>
<b>Senegal</b>	<ul style="list-style-type: none"> <li>• The leap-frog model of urban sprawl coupled with suburbanization of population caused mainly by land market-driven functional rearrangement leads to the growth of informal settlements in peripheral areas.</li> </ul>
<b>Kenya</b>	<ul style="list-style-type: none"> <li>• Extroverted urban economy causing rapid growth of informal economy and corresponding development of informal settlements mostly at the fringe areas as poverty driven urbanization leads to urban expansion.</li> </ul>
<b>Nigeria</b>	<ul style="list-style-type: none"> <li>• Urban expansion mainly in the form of commercial ribbon streets and peripheral slum development programmed to promote trade in foreign goods.</li> </ul>
<b>South Africa</b>	<ul style="list-style-type: none"> <li>• Spatial fragmentation and incipient low-density spatial expansion leading to edge cities and continual mushrooming of informal settlements on the urban edge.</li> </ul>
<b>Tanzania</b>	<ul style="list-style-type: none"> <li>• Introverted but survivalist economy that encourages Greenfield development in the form of informal sub-centres in peri-urban areas - as spatial form of Dar es Salaam increasingly assume ribbon-like leapfrog pattern of land use distribution.</li> </ul>
<b>Ethiopia</b>	<ul style="list-style-type: none"> <li>• Poorly developed urban economic base and the incidence of squatter settlements leading to slum formation especially in the peripheral area of Addis Ababa.</li> </ul>

Source: Own construction (2014)

#### **8.4.2 Vision exposition**

Based on the distortions and declining urban productivity a diagnosed territorial planning vision for Africa is encapsulated in a Vision Statement stated below:

*African civilization built on a culture of cities that is integrated across national boundaries and arranged in a hierarchical system of functional relations to maintain systemic relevance in global mercantilism, reinforce per capita productivity and create wealth for enhanced African economy.*

#### **8.4.3 Vision objectives**

The focus on mercantilism is considered an entry point for wealth creation that will eventually culminate in production. The transition from mercantilism to production is a long term programme, the foundation of which is laid with the restructuring of space economy to make it more compliant with productivity. The vision objectives are therefore meant to support measures that will restructure the space economy.

##### **8.4.3.1 Short-term policy objectives (in five years)**

The short-term policy objectives focus on creating an enabling environment at continental level for take-off. Therefore short-term policy objectives to be achieved within five years include:

- i. To secure political will for engaging neo-mercantilism as development ideology for Africa,
- ii. To prepare and adopt the National Integrated Regional Development Act (NIRDA),
- iii. To delineate the trade basins in tandem with intra-regional development corridors,
- iv. To secure complete regeneration of AMCHUD and setup country-based technical units responsible for trans-boundary regional integration,
- v. To enact Integrated Regional Development Act (IRDA) within five years,
- vi. To setup a functional research institute in the **AU** for monitoring spatial integration networks.



#### **8.4.3.2 Medium-term policy objectives (in ten years)**

The medium-term policy objectives focus on preliminary engagements at national level for the mobilization of concrete action. Therefore medium term policy objectives to be achieved within 10 years include:

- i. To domesticate the National Integrated Regional Development Act (NIRDA) at the national level,
- ii. To finish the classification of cities,
- iii. To finish the grading of infrastructure grids,
- iv. To prepare spatial integration plans (SIPs) and thematic integration plans (TIPs) at country level,
- v. To fully mobilize plan implementation process with roll-out plans at country levels.

#### **8.4.3.3 Long-term policy objectives (in fifteen years)**

The long-term policy objectives which will be achieved within fifteen years provide directional guidelines for resolving priority trans-boundary problems. Primary amongst the trans-boundary problems are issues related to dispersal patterns of urbanization which co-exist with the inequity of urban primacy, extroverted urban economy characterized by survivalist informal sector, declining urban productivity and per capita productivity, urban planning that is divorced from economic planning, etc. Therefore the long-term policy objectives include:

- i. Maximize by 75% the use of space in urban core area within ten years,
- ii. Discourage and reduce to half (50%) indiscriminate land use development, beyond urban growth boundaries and the incidence of informal settlement development by year 2024,
- iii. Reverse 75% of dispersed land use distribution in urban core areas and institutionalize the regeneration of slums within fifteen years,
- iv. Redistribute economic land use function in space within fifteen years to encourage local productivity,
- v. Discourage at least 75% of isolated urban hierarchy and enhance integrated spatial development within 15 years,

- vi. Maximize the use of urban growth management instruments within ten years (to introduce a time-element in spatial development), and
- vii. Encourage extroverted urbanization and secure 50% compliance within fifteen years.

## **8.5 Priority actions**

The anticipated territorial planning frameworks for delineated trade basins as enunciated in neo-mercantile development ideology elucidate spatial integration networks underpinned in neo-mercantile planning protocol. Accordingly two operations are imperative; first the classification (or grading) of cities using administrative criteria and time-efficient coefficients, and, secondly, the scaling (or grading) of infrastructure grids using administrative criteria. The neo-mercantile protocol upholding the city is the basis for regional integration led by urban policy orientation of equitable spatial polarization. The installation process adopts the spatial integration planning (SIPs) instrument characterized by the hierarchy of cities which are networked at two levels: infrastructure network and functional flow relationships. The infrastructure fabric that networks the cities is a combination of grids calibrated at administrative levels. The national grid, for instance, synchronizes with national cities. On the other hand, functional flow criteria draw from the time-efficient evaluation.

### **8.5.1 Assessment of current actions**

Current actions on integrated regional development are summarized in the NEPAD initiative (c.f. 3.8.1). This initiative is limited to economic and political reforms and lacking in spatial reforms. It sought economic bases of integration as is the case with prevailing regional development theories (c.f. 7.4.2). This reflects in AU/NEPAD action plan 2010 – 2015 which is a compendium of sectoral projects mainly focused on infrastructural development. Spatial content sought through the Resource-based African Industrial and Development Strategy (RAIDS) initiative engaged development corridors strategy and to a lesser extent spatial development initiative (SDI), both determined by market forces and not planning rationalities (c.f.3.6.3.2). The only spirited effort at spatial planning is contained in the NEPAD cities initiative which is more or less a UN-Habitat brain child focused on slum upgrading projects (c.f. 3.6.2). Rather than pursue NEPAD's central objectives of regional integration, the NEPAD cities' initiative is geared towards the delivery of MDGs and pro-poor measures in urban development. Informality

rules its outlook as a planning instrument and in practice it has no spatial bases to fulfil its theoretical role as contained in the visioning process.

The institutional arrangement reflects the redundancy of AMCHUD and the transition of UN-Habitat position from support to control (c.f.5.4). The reliance of the financial mechanism of the initiative on foreign direct investment (FDI) is decried. Moreover, legislative support for NEPAD initiative is not clear. These institutional issues practically paralyzed NEPAD initiative and rendered it redundant and moribund after more than one decade of existence.

### **8.5.2 Priority for action**

The priorities for action are drawn from trans-boundary problems identified earlier (c.f.8.4.1). The problems are herewith recalled as follows:

- i. Urban spatio-physical expansion;
- ii. Suburbanization;
- iii. Urban sprawl/slum formation;
- iv. Extroverted urban economy;
- v. Spatial inequality (i.e. distortions in the urban region);
- vi. Informality; and
- vii. Introverted urbanization (i.e. city primacy).

### **8.5.3 Proposed action cards**

The proposed action cards for integrated regional development are contained in **Table 8.4** below. The action cards will be executed at the national level.

**Table 8.4: Proposed action cards for integrated regional development in Africa**

PRIORITIES FOR ACTION	QUALITATIVE ACTION CARDS	PERFORMANCE INDICATORS
Urban spatio-physical expansion	<ul style="list-style-type: none"> <li>• Urban renewal scheme,</li> <li>• Vacant land survey,</li> <li>• Urban infrastructure development,</li> <li>• Urban waste management scheme,</li> <li>• Determining urban design standards,</li> <li>• Setting city limits,</li> <li>• Conduct urban growth studies</li> <li>• Research and development (R&amp;D) unit</li> </ul>	<ul style="list-style-type: none"> <li>▪ Standardized urban design protocols,</li> <li>▪ Set standards for city limits,</li> <li>▪ Delineate urban growth boundaries for cities,</li> <li>▪ Establish space standards,</li> <li>▪ Prepare renewal schemes, land use budget, time budget.</li> </ul>
Suburbanization	<ul style="list-style-type: none"> <li>• Delineate urban growth boundaries (UGBs),</li> <li>• Identification of activity belts,</li> <li>• Housing resettlement schemes,</li> <li>• Industrial park development,</li> <li>• City centre revitalization,</li> <li>• Research and development (R&amp;D) unit</li> </ul>	<ul style="list-style-type: none"> <li>▪ Establish greenbelts,</li> <li>▪ Prepare spatial integration plans,</li> <li>▪ Prepare land use schemes,</li> <li>▪ Enact interim development order,</li> <li>▪ Prepare downtown revitalization schemes,</li> <li>▪ Conduct urban growth studies,</li> </ul>
Urban sprawl/slum formation	<ul style="list-style-type: none"> <li>• Preparation of urban master plans,</li> <li>• Refill and infill development schemes,</li> <li>• Central and peripheral slum renewal schemes,</li> <li>• Renovation of dilapidated urban infrastructure,</li> <li>• Urban quality control</li> <li>• Research and development (R&amp;D) unit</li> </ul>	<ul style="list-style-type: none"> <li>▪ Vacant land studies,</li> <li>▪ Smart growth activities,</li> <li>▪ Urban renewal schemes,</li> <li>▪ Quality urban design,</li> <li>▪ Affordable housing schemes,</li> <li>▪ Urban management schemes, etc.</li> </ul>
Extroverted urban economy	<ul style="list-style-type: none"> <li>• Farm settlement development,</li> <li>• Development of regional road network,</li> <li>• Preparation of resource management plan,</li> <li>• Market development,</li> <li>• Research and development (R&amp;D) unit</li> <li>• Identification of market regions</li> </ul>	<ul style="list-style-type: none"> <li>▪ Hinterland farm plantations,</li> <li>▪ Processing industries,</li> <li>▪ Regional Development Master plans (regional connectivity schemes),</li> <li>▪ Growth visions,</li> <li>▪ Master plans for land resource management, etc.</li> </ul>
Spatial inequality	<ul style="list-style-type: none"> <li>• Hinterland plantation development schemes,</li> <li>• Classification of cities,</li> <li>• Identification of infrastructure grids,</li> <li>• Preparation of Spatial integration plans</li> <li>• Networking of ICT cities,</li> <li>• Capacity-building</li> <li>• Research and development (R&amp;D) unit</li> </ul>	<ul style="list-style-type: none"> <li>▪ Adopt NUDS,</li> <li>▪ Establish hierarchical urban system with spatial linkage capabilities,</li> <li>▪ Regional integration plans,</li> <li>▪ Vision documents that relate modern sector with local economy, etc.</li> </ul>
Informality	<ul style="list-style-type: none"> <li>• Conduct housing demand studies</li> <li>• Mainstream monitoring mechanisms,</li> <li>• Legal reforms for land use management,</li> <li>• Preparation of low-cost housing development scheme</li> <li>• Adoption and domestication of National Integrated Regional Development Act (NIRDA)</li> <li>• Research and development (R&amp;D) unit</li> </ul>	<ul style="list-style-type: none"> <li>▪ Reduced growth of informal settlement, squatter settlement, slum locations, etc.</li> </ul>
Introverted	<ul style="list-style-type: none"> <li>• Master plan: rural growth centres</li> </ul>	<ul style="list-style-type: none"> <li>▪ Reduction of city primacy,</li> </ul>

urbanization	(agrovilles), <ul style="list-style-type: none"> <li>• Engage in new town development,</li> <li>• Intervention policy for growth pole development,</li> <li>• Preparation of rural housing development scheme</li> <li>• Research and development (R&amp;D) unit</li> </ul>	<ul style="list-style-type: none"> <li>▪ Decentralization schemes,</li> </ul>
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Source: Own construction (2014)

#### 8.5.4 Typology of action

The typology for action is contained in **Table 8.5** below. As is expected, planning and standardization attract the highest number of actions followed by development. This vindicates the poor planning situation at the moment. Also management and renewal activities drew sizable attention compared with the other typologies of action.

**Table 8.5: Typology of action**

<b>S/no</b>	<b>TYPOLGY OF ACTION</b>	<b>ACTION CARDS</b>
1	Knowledge	<ul style="list-style-type: none"> <li>• Set-up Research and development (R&amp;D) units</li> <li>• Conduct housing demand studies</li> <li>• Conduct urban growth studies</li> <li>• Vacant land survey,</li> </ul>
2	Planning/standardization	<ul style="list-style-type: none"> <li>• Master plan for rural growth centres (agrovilles),</li> <li>• Preparation of Spatial integration plans (SIPs),</li> <li>• Hinterland plantation development schemes,</li> <li>• Preparation of resource management plan,</li> <li>• Preparation of urban master plans,</li> <li>• Setting city limits,</li> <li>• Determining urban design standards,</li> <li>• Urban waste management scheme,</li> </ul>
3	Development	<ul style="list-style-type: none"> <li>• Engage in new town development,</li> <li>• Market development,</li> <li>• Development of regional road network,</li> <li>• Farm settlement development,</li> <li>• Industrial park development,</li> <li>• Urban infrastructure development,</li> </ul>
4	Institutional	<ul style="list-style-type: none"> <li>• Legal reforms for land use management,</li> </ul>
5	Environmental	<ul style="list-style-type: none"> <li>• Urban quality control</li> </ul>
6	Monitoring	<ul style="list-style-type: none"> <li>• Mainstream monitoring mechanisms,</li> </ul>
7	Renewal	<ul style="list-style-type: none"> <li>• Renovation of dilapidated urban infrastructure,</li> <li>• Central and peripheral slum renewal schemes,</li> <li>• Refill and infill development schemes,</li> <li>• City centre revitalization,</li> <li>• Urban renewal scheme,</li> </ul>
8	Housing	<ul style="list-style-type: none"> <li>• Preparation of rural housing development scheme</li> <li>• Preparation of low-cost housing development scheme</li> <li>• Housing resettlement schemes,</li> </ul>
9	Management	<ul style="list-style-type: none"> <li>• Adoption and domestication of National Integrated Regional Development Act (NIRDA),</li> <li>• Identification of market regions</li> <li>• Networking of ICT cities</li> <li>• Identification of infrastructure grids,</li> <li>• Classification of cities,</li> <li>• Identification of activity belts,</li> <li>• Delineate urban growth boundaries (UGBs),</li> <li>• Capacity-building</li> </ul>
10	Policy	<ul style="list-style-type: none"> <li>• Intervention policy for growth pole development,</li> </ul>

Source: Own construction (2014)

## 8.6 Implementation strategies

The implementation phase of neo-mercantile planning is vulnerable to funding mechanisms that are driven by international funding institutions. This signals dependence which in important ways weakens the new paradigm but much depends on the resolve of Africa and the Diaspora to chart her destiny. But unfortunately the attitude of resignation to trends is overwhelming. This does not augur well for constructive change. The strong point of neo-mercantile planning is that the rationale for its application is getting more evident and literature is gradually responding to the need for the reversal of trends especially in Africa. Neo-mercantile theory is an integrated approach of reversing trends in planning. Planning elements are interlinked thus requiring holistic review to secure positive result. It is not unlikely that thematic reviews would appear but presumably that would be the bane of reversing trends in planning in Africa.

### 8.6.1 Institutional requirements and implementation processes

The implementation process explains the sequence of central coordination of decentralized planning activities driven by the action cards. The following institutions are identified to play major roles in the implementation process at continental level:

- i. African Union
- ii. African Ministerial Conference on housing and urban development (AMCHUD)
- iii. NEPAD
- iv. National NEPAD subsidiaries
- v. Commonwealth Association of Planners (CAP)
- vi. African Association of Planners (AAP)
- vii. African Association of Planning Schools (AAPS)
- viii. National Planning Commissions
- ix. Planning education facilities (Universities, research institutes, tertiary institutions, etc.)
- x. Regional Networks including:
  - Southern African Development Community (SADC),
  - Economic Community of Central Africa States (ECCAS),
  - West African Economic and Monetary Union (WAEMU),
  - Community of Sahel-Saharan States (CEN-SAD),
  - Economic Community of West African States (ECOWAS),
  - Common Market for Eastern and Southern Africa (COMESA),
  - Intergovernmental Authority on Development (IGAD)
  - Economic Commission of Africa (ECA),
  - Convention to Combat Desertification (CCD)
  - Comprehensive Africa Agricultural Development Programme (CAADP),

- African Peer Review Mechanism (APRM)
- xi. New Town Development Authorities
- xii. Regional Development Authorities
  - Niger Basin Development Authority
  - Chad Basin Development Authority
- xiii. UN-Habitat

These institutions have definite roles to play in the thirty-eight action cards that are grouped into eight stages (zones) of plan implementation processes as shown in **Table 8.6** below. The agencies will co-operate with each other and play their statutory roles as they relate to the functions of the action cards. However, AMCHUD will always provide the necessary co-ordination of activities of the various agencies and the necessary liaison with AU and the different national governments.

### **8.6.2 Manpower requirements**

The status of technical and professional manpower in the various agencies is not clear at the moment. However, increased manpower will be required primarily for the following technical and professional experts: planners with specialization in urban design and transportation, environmental economists, sociologists, environmentalists, landscape architects, lawyers, and land surveyors. These as well as other allied professionals concerned with regional development represent manpower requirements, but details and specificity on actual requirement will entail a study on current manpower inventories especially those of core urban planners.



**Table 8.6: Action cards implementation process**

<b>STAGES (ZONES)</b>	<b>COGNATE ACTION CARDS</b>	<b>MAJOR AGENCY(S)</b>	<b>OTHER AGENCIES</b>
Training	<ul style="list-style-type: none"> <li>• Capacity building</li> </ul>	<ul style="list-style-type: none"> <li>• National Planning Commissions,</li> </ul>	<ul style="list-style-type: none"> <li>• African Association of Planning Schools (AAPS),</li> <li>• Planning education facilities (Universities, research institutes, tertiary institutions, etc.)</li> </ul>
Mobilization	<ul style="list-style-type: none"> <li>• Intervention policy for growth pole development,</li> <li>• Adoption and domestication of National Integrated Regional Development Act (NIRDA)</li> <li>• Legal reforms for land use management,</li> </ul>	<ul style="list-style-type: none"> <li>• African Ministerial Conference on housing and urban development (AMCHUD)</li> </ul>	<ul style="list-style-type: none"> <li>• Regional Networks</li> <li>• Regional Development Authorities</li> </ul>
Logistics	<ul style="list-style-type: none"> <li>• Delineate urban growth boundaries (UGBs),</li> <li>• Identification of activity belts,</li> <li>• Classification of cities,</li> <li>• Identification of infrastructure grids,</li> <li>• Identification of market regions,</li> <li>• Networking of ICT cities</li> </ul>	<ul style="list-style-type: none"> <li>• National NEPAD subsidiaries</li> </ul>	<ul style="list-style-type: none"> <li>• Regional Networks</li> <li>• UN-Habitat</li> <li>• Regional Development Authorities</li> </ul>
Plan generation	<ul style="list-style-type: none"> <li>• Master plan for rural growth centres (agrovilles),</li> <li>• Preparation of Spatial integration plans (SIPs),</li> <li>• Hinterland plantation development schemes,</li> <li>• Preparation of resource management plan,</li> <li>• Preparation of urban master plans,</li> <li>• Setting city limits,</li> <li>• Determining urban design standards,</li> <li>• Urban waste management scheme,</li> <li>• Preparation of rural housing development scheme</li> <li>• Preparation of low-cost housing development scheme</li> </ul>	<ul style="list-style-type: none"> <li>• National Planning Commissions,</li> <li>• New Town Development Authorities</li> </ul>	<ul style="list-style-type: none"> <li>• Commonwealth Association of Planners (CAP),</li> <li>• African Association of Planners (AAP).</li> <li>• Regional Development Authorities</li> </ul>
Sector programme	<ul style="list-style-type: none"> <li>• Housing resettlement schemes</li> <li>• Renovation of dilapidated urban</li> </ul>	<ul style="list-style-type: none"> <li>• NEPAD</li> <li>• New Town Development</li> </ul>	<ul style="list-style-type: none"> <li>• Commonwealth Association of Planners (CAP),</li> </ul>

s	<ul style="list-style-type: none"> <li>• infrastructure,</li> <li>• Central and peripheral slum renewal schemes,</li> <li>• Refill and infill development schemes,</li> <li>• City centre revitalization,</li> <li>• Urban renewal scheme,</li> </ul>	Authorities	<ul style="list-style-type: none"> <li>• African Association of Planners (AAP).</li> <li>• UN-Habitat</li> </ul>
Intervention	<ul style="list-style-type: none"> <li>• Urban quality control</li> <li>• Engage in new town development,</li> <li>• Market development,</li> <li>• Development of regional road network,</li> <li>• Farm settlement development,</li> <li>• Industrial park development,</li> <li>• Urban infrastructure development,</li> </ul>	<ul style="list-style-type: none"> <li>• National Planning Commissions,</li> <li>• New Town Development Authorities</li> </ul>	<ul style="list-style-type: none"> <li>• Regional Networks</li> <li>• Regional Development Authorities</li> </ul>
Monitoring	<ul style="list-style-type: none"> <li>• Mainstream monitoring mechanisms,</li> </ul>	<ul style="list-style-type: none"> <li>• African Union</li> <li>• Regional Development Authorities</li> </ul>	<ul style="list-style-type: none"> <li>• Regional Networks</li> <li>• UN-Habitat</li> <li>• Commonwealth Association of Planners (CAP),</li> <li>• African Association of Planners (AAP).</li> </ul>
Research	<ul style="list-style-type: none"> <li>• Setup Research and development (R&amp;D) units</li> <li>• Conduct housing demand studies</li> <li>• Conduct urban growth studies</li> <li>• Vacant land survey</li> </ul>	<ul style="list-style-type: none"> <li>• African Ministerial Conference on housing and urban development (AMCHUD),</li> <li>• New Town Development Authorities</li> <li>• UN-Habitat</li> </ul>	<ul style="list-style-type: none"> <li>• African Association of Planning Schools (AAPS)</li> <li>• Planning education facilities (Universities, research institutes, tertiary institutions, etc.)</li> </ul>

Source: Own construction (2014)

### **8.6.3 Financial mechanisms**

The African Union shall oversee the funding of central coordination. Financial arrangements at country level will involve four major stakeholders, namely the Government of the African country, the Corporate Private Sector (including multinational organizations), Foreign Partners and Donor Agencies. The full financial model will require the deliberation of these stakeholders in a consultative forum. However the ground rules of spatial development set out in the spatial integration network shall not be subject to aid conditionality.

### **8.6.4 Legal reforms**

Legal reforms are incidental for the installation of effective planning in Africa and more so with the prospects of significant paradigm shifts in the process. This was the case with EU countries when they had to engage the Planning and Compulsory Purchase Act 2004 preparatory to the launch of European Spatial Development Perspective (c.f.3.4 and 3.7). The legal reform anticipated for Africa shall support visionary planning practice which is the strong point of the neo-mercantile planning paradigm. The new planning paradigm instrumentality offers a centralized system of managing decentralized planning (c.f. 7.4.3). It allows planning rationality and market forces to work complementarily to pursue economic growth in the context of shaping the city and regional spatial systems.

Therefore the reforms will rework the tools of planning to strengthen the developmental role of the planning system. It will promote professionalism but provide strategic frameworks for effective engagement with stakeholders. It will encourage plan-led development in the context of private investment. In other words, financial mechanisms will not usurp integration. Overall the reforms will deal with issues outlined earlier (c.f. 7.4.6.1).

### **8.6.5 Monitoring measures**

Statutory monitoring by stakeholders is envisaged and should be mainstreamed in the planning and implementation process. The African Peer Review Mechanism (APRM) of the African Union is expected to play a major role. Observatories should be erected to track development and chart the progress in plan implementation which can be presented in the form of GIS database. In other words, GIS databases of spatial systems shall serve as monitoring instrument and thus be prepared for the spatial integration network in each country.

## 8.7 Calendar of the action plans for spatial regional integration in Africa

The plan implementation process as shown in **Table 8.6** above is calibrated into eight stages. These stages are allocated to three phases as shown in **Table 8.7** below. The implementation of the short, medium and long term categories will be operated concurrently within a time frame of fifteen years (2016-2030) and the mission ahead is contained in the provisions of quantitative performance indicators.

**Table 8.7: Phases of the Action Plan**

S/no	PHASES	TIME FRAME	IMPLEMENTATION PROCESS	QUANTITATIVE PERFORMANCE INDICATORS
	Short term (in 5 years)	2016-2020	<ul style="list-style-type: none"> <li>▪ Training</li> <li>▪ Mobilization</li> </ul>	<ul style="list-style-type: none"> <li>▪ Reduction of semi-professional man power ratio by 50%,</li> <li>▪ Completion of legal reforms,</li> <li>▪ Full reform of policy framework for spatial development,</li> </ul>
2	Medium Term (in 10 Years)	2016-2025	<ul style="list-style-type: none"> <li>▪ Logistics</li> <li>▪ Plan generation</li> <li>▪ Sector programmes</li> </ul>	<ul style="list-style-type: none"> <li>▪ Application of urban growth boundaries (UGBs) in at least 75% of national and provincial cities,</li> <li>▪ Complete classification of National and Provincial cities,</li> <li>▪ Full activation of activity belts, infrastructure grids at National, Provincial and Local levels,</li> <li>▪ Completion of national market region delineation,</li> <li>▪ Completion of plan preparation for spatial development at Provincial and local level,</li> <li>▪ Completion of renewal schemes for 75% of slum locations.</li> </ul>
3	Long Term (in 15 years)	2006-2030	<ul style="list-style-type: none"> <li>▪ Intervention</li> <li>▪ Monitoring</li> <li>▪ Research</li> </ul>	<ul style="list-style-type: none"> <li>▪ Setting-up of functional regional development authorities at Provincial level,</li> <li>▪ Setting-up of functional urban observatories in all market regions,</li> <li>▪ Setting-up of functional research institute for spatial development.</li> </ul>

Source: Own construction (2014)

The training and mobilization activities in the first phase (short term) contain four action cards, mainly for central coordination and geared towards creating enabling environment for take-off. It is proposed that African Ministerial Conference on housing and urban development (AMCHUD) will house the central coordinating body. This body will play an active role in securing political will for the transition and this precedes the activation of the action cards. The action cards require light investment but demand lots of commitment and determination. This is why the capacity-building segment will be located in the process of psyching the mind-set of stakeholders properly through

motivational talks and the legal reforms will empower and share responsibilities to stakeholders. The curriculum for capacity building will draw from issues recommended for harmonizing the theoretical framework for spatial planning (c.f. 7.3).

The second phase (medium term) contains twenty-two action cards. This phase domesticates the enabling measures at the national level. It focuses on elaborating the planning instruments, both provisional and regulatory. It requires heavy investment for professional services envisaged for the new methodology of preparing plans to remodel the status quo of spatial systems. To this end the planning system will require capacity-building operations in terms of manpower upgrading to overcome mediocrity. Again the training curriculum will draw on the recommendations in **Table 7.1**(c.f. 7.2). The public sector will bear the bulk of investment at this stage.

The third and last phase (long term) has twelve action cards mainly geared towards direct intervention linked with monitoring and research activities. Heavy investment is anticipated here but from the private sector for development activities. Monitoring activities are expected to move in tandem with the rate of growth and conducted with the monitoring instrument proposed. Monitoring activities will provide feedback for research and development. The development of planning curricula for university education will be modified accordingly to reflect the ethos of neo-mercantile planning theory (c.f. 7.4.6).

## **8.8 Conclusion**

This chapter focused on articulating the African model of domesticating the neo-mercantile planning paradigm. At the outset a comprehensive résumé of a thematic review of planning framework for economic growth and development was presented. The résumé gave an indication of the handling of matters arising from the theoretical founding of the research. Thereafter deductions reached on subsidiary research questions and gaps in knowledge identified per research question were presented. Contributions to new planning knowledge as they apply to matters arising from the research questions were outlined. On account of this, new research areas were identified in two major directions: firstly, research activities which seek the spatio-physical bases for regional integration; and secondly, research activities to develop the theoretical model for determining a “Time-efficient” coefficient intended to be instrumental for use in the neo-mercantile planning protocol.

The other major segment of the chapter is the visioning process for domesticating in Africa the newly-identified neo-mercantile planning theory. The visioning process started with the identification of priority trans-boundary problems in Africa on the bases of which development objectives – short, medium and long term objectives - were determined to verify the vision statement. A substantive vision statement was provided to act as a guide for the proposed priority actions. An assessment of current action was given on the basis of which priorities for action were determined, then followed by the projection of action cards that were subsequently processed into typologies for action to facilitate implementation strategies. The implementation strategy made provision for institutional requirement and implementation processes involving manpower requirements, financial mechanisms, legal reforms and monitoring measures. Provision was also made for a calendar of the action plan for spatial regional integration in Africa.

Overall, the peculiar circumstances surrounding Africa require simultaneous pursuit of economic growth and spatial integration in planning interventions. At least it is now clear that following current trends in planning cannot achieve the foregoing objective and summoning enough political will to effect attitudinal change is a herculean task under the overarching influence of a neo-liberal ideological perspective. However, with the right mind-set and outlook which is likely to come from coordinated awareness campaigns, receptive attitude towards neo-mercantile planning will gather momentum. Planners, both consultants and administrators, are expected to rise to the occasion and reinforce their theoretical arsenal through targeted research. To this end African planning schools are expected to provide research support and immediately adopt measures to check the incursion of neo-liberal influences into the development of curriculum for planning education.

The change of attitude of the political class is considered critical for take-off. Granted that theoretical foundations for change are already established, developing realistic frameworks for concrete action are strategic and considered short-term objectives that are surmountable. Moreover, minimal institutional changes are required. Apart from institutional changes a little bit of legal reforms is also required. Already requisite political and economic reforms are in place and represented in NEPAD initiative. The **AU** naturally leads the institutional base and provides the platform to negotiate the political will that shall lead up to the anticipated legal reforms. However, there is a need to re-engineer the working institutions of **AU** especially capacitating AMCHUD and reposition

it for its new role in delivering territorial planning in Africa. Also setting-up a research institute as support structure under **AU** is in the agenda to domesticate the neo-mercantile paradigm proposed in this research.

The neo-mercantile planning paradigm is programmed to deliver integrated development. The type intended through NEPAD initiative for Africa is not necessarily measured in terms of the extent to which the objectives of MDG(s) are achieved but the extent to which the stated objectives of NEPAD ideology are achieved. The objectives in view aim at the delivery of Africa from dependent capitalism. In practical terms it means introverting the already extroverted economy of urban Africa through planning interventions that will impact on changes in African space economy for the delivery of the African renaissance.

The African model of domesticating neo-mercantile planning theory may not apply directly in other developing economies abroad. This is understood because local scenarios differ. But, however different the local conditions are, the intrinsic similarity is that these economies have the prospect to secure spatial integration in the development of their space economies. The instrumentality of neo-mercantile planning theory is postulated because it is realistic, malleable and committed to reversing trends that sustain an imperial space economy in developing countries, the so-called source regions, worldwide.

**“A theory must be tempered with reality”**  
– Jawaharlal Nehru  
Indian politician (1889 – 1964)

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## Annexure list

### A.1 Sample of planning questionnaire

This questionnaire solicits your assessment of the planning system in South Africa in terms of its compliance with participatory planning principles and standards. The attention of the anticipated assessment is focused on the IDP as a planning instrument although some aspects of the assessment elicit views on the overall planning perspective in South Africa. The purpose of this assessment is twofold: first, to determine compliance with the participatory planning perspective in South Africa and second, to determine the extent to which the planning perspective identified impact planning practice. The assessment is a case study, objective-packaged within an overarching study of the planning system in Africa. The study of the planning system in Africa under reference is the focus of a PhD research project in the Research Unit for Environmental Sciences, North-West University, Potchefstroom Campus, South Africa.

The questionnaire is in two sections: (A) and (B). Role-players in IDP implementation process should answer Section (A) only. Politicians, academics and planning consultants should answer Sections (A) and (B).

There are no right or wrong answers - all that is required is your honest opinion.

(Please mark with a tick (√) in the applicable box where appropriate)

#### GENERAL INFORMATION

Please identify the category of respondent which you belong.

S/no	CATEGORY OF RESPONDENT	Indicate
1.	Role player in IDP implementation process (including stakeholders, IDP Managers, Departmental Heads)	
2.	Politician	
3.	Academic	
4.	Planning consultant (in public or private sector)	

**SECTION (A)**

S/no.	THEME	QUESTIONS	SCORING		
			Yes +1	Moderate 0	No -1
1.	<b>The concept of urban environment</b>	In the IDP planning approach is the urban environment regarded as the physical shape of the city?			
2.	<b>Statutory planning</b>	Does IDP function more with Land use schemes than PGDS, for instance?			
3.	<b>Spatial planning</b>	Do market forces determine the use of space in IDP activities?			
4.	<b>Nature of planning</b>	Do the establishment and functioning of IDP agencies constitute planning activity?			
		Is the IDP planning approach intended primarily to generate growth and not necessarily to shape the city?			
5.	<b>Planning instruments</b>	Is the IDP planning approach specifically designed for planning at local level?			
		Does the IDP planning approach properly represent participatory planning process?			
		Would you refer to existing IDP plans (including their SDF, LED, ITP, EMF, and IIP components) as broad-based guideline plans?			
6.	<b>Participatory planning</b>	Is the technical committee for IDP plan preparation under any obligation to take the decisions reached through stakeholders' participatory process?			
		Does the public participate in the IDP plan preparation by taking initiative independently of external institutional efforts to change the system of planning?			
7.	<b>Planning methodology</b>	Do you think IDP plan preparation is essentially a technical activity?			
		Is the IDP methodology succeeding in using participatory process to address the technical aspects of planning such as land use planning?			
8.	<b>Urbanism</b>	Does the IDP serve as an instrument for the development of empty spaces and the renovation of degraded neighbourhoods within the urban environment?			
9.	<b>Planning knowledge</b>	Was adequate consideration given to the use of professional planning expertise in the preparation of the IDP?			
10.	<b>Plan evaluation</b>	Does the non-implementation of the provisions of the IDP plan indicate failure of the IDP planning approach?			
		Does the alteration of IDP plan provisions, whether such alterations are implemented or not, indicate the failure of IDP planning approach?			
11.	<b>Regional integration</b>	Does the IDP plan preparation consider regional plan classification (such as the urban region; functional region; planning region; physical formal region; economic formal region, etc.)?			
		Is the IDP an instrument for the implementation of the national development corridor strategy?			
		Does IDP preparation consider the connectivity responsible for the functional flow of activities within the urban region?			
		Do you really think that the IDP can effectively repackage the economic fundamentals of municipalities in South Africa?			
12.	<b>Cross-cutting issues</b>	Does the IDP follow any policy guideline for urban development?			
		Do IDP activities recognize and apply the spatial aspect of urban growth (such as qualitative, quantitative, structural growth, etc.)?			
		Is the IDP meant to provide support for the operation of survivalist informal sector activities?			

**NOTE:** The questions in SECTION (A) shall form the basis for personal interviews on IDP planning approach.

## SECTION (B)

S/no.	THEME	QUESTIONS	SCORING		
			Yes	Moderate	No
			+1	0	-1
1.	<b>The concept of urban environment.</b>	Does the planning system consider environmental factors along with culture, value systems, activity systems and their distribution in space as the attributes of the urban environment?			
2.	<b>Statutory planning</b>	Are broad guideline plans given adequate consideration in determining the direction of development in South Africa?			
		Does the use of planning standards prevail in South African planning system?			
3.	<b>Spatial planning</b>	Are greenbelts or other management techniques such as urban service limits, urban growth boundaries (UGB), urban development boundary (UDB) used to manage urban growth in South Africa?			
4.	<b>Nature of planning</b>	Do long term objectives drawn from a defined mind-set and outlook determine city planning and development in South Africa?			
5.	<b>Purpose of planning</b>	Do economic fundamentals such as productivity and GDP issues influence planning in South Africa?			
		Are sanitation and urban quality integrated in South African planning system?			
		Does planning in South Africa adopt definite spatial measures or standards to shape the city?			
6.	<b>Participatory process</b>	Is planning decision-making democratic in South Africa?			
		Do role-players in the participatory process demand gratification such as honoraria for their services?			
7.	<b>Urbanism</b>	Is South Africa inclined to design-oriented approach to planned development?			
8.	<b>Planning knowledge</b>	Do planning activities depend on opinion polls drawn from town-hall meetings?			
9.	<b>Cross-cutting issues</b>	Do civic identity and local ownership of plan matter in South Africa?			

Source: Own construction (2013)