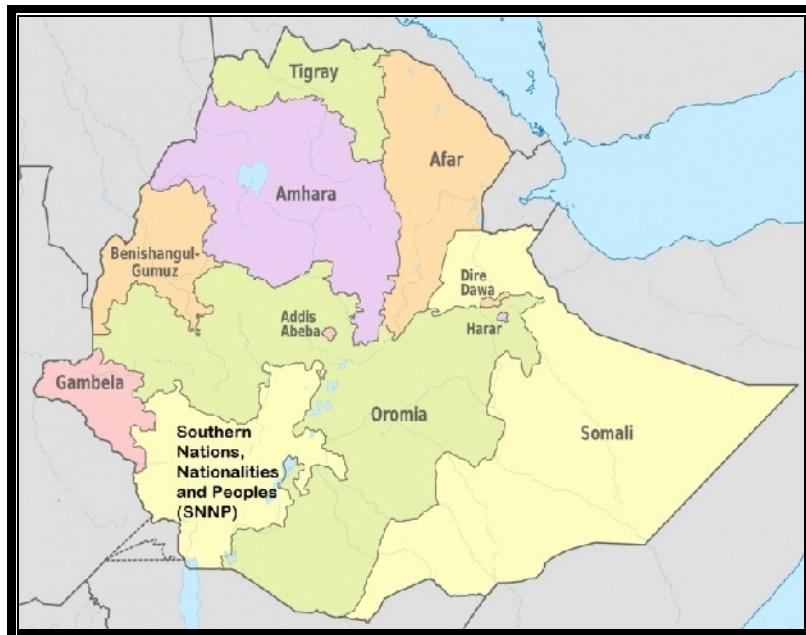


	MINISTRY OF URBAN DEVELOPMENT AND HOUSING	Document No:--- /MUDH/xx
REGIONAL URBAN DEVELOPMENT SPATIAL PLANNING MANUAL	Issue No.1	P-- of --

## Urban Plan Preparation and Implementation Monitoring Bureau



# Regional urban Development Spatial planning Manual (Draft)

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	MINISTRY OF URBAN DEVELOPMENT AND HOUSING	Document No:--- /MUDH/xx
REGIONAL URBAN DEVELOPMENT SPATIAL PLANNING MANUAL	Issue No.1	P-- of --

## Contents

List of Tables .....	4
List Of Figures .....	4
PART ONE: BACKGROUND .....	6
1.1. Introduction .....	6
1.2. Rational of the Manual .....	8
1.3. Objective of the Study .....	9
1.4. Expected Results of the Manual .....	9
1.5. How to use the manual.....	10
1.6. Scope of the application of the manual.....	11
PART TWO: STRUCTURE OF THE MANUAL .....	11
2.1. THE ORGANIZATION OF THE MANUAL.....	11
2.2. REVIEW OF RELATED LITERATURE .....	11
2.2.1. Definition of integrated regional development planning.....	11
2.2.2. Principles of Regional Development Planning.....	13
2.2.3. Theoretical Overview on the Urban System.....	14
2.2.4. Theories of urban primacy.....	16
2.2.5. Approaches to the analysis of regional development .....	17
2.2.6. Factors behind a prosperity- Inducing urban environment.....	22
2.2.7. Theoretical Overview on Regional Socio-Economic Linkage and Its impact .....	24
Rural- Urban linkage .....	24
2.2.8. Urban Infrastructure: Bedrock of Prosperity.....	25
2.2.9. The role of small and intermediate urban centers in regional and rural development... .....	27
2.2.10. TRANSPORTATION CORRIDOR PLANNING MODEL.....	30
2.2.11. Well planned urbanization help meet MDG.....	34
2.2.12. International and National Changes Affecting the Regional Urban System.....	35
2.2.13. International Best Practices In planning Regional urban Development.....	37
2.2.14. Assessment on experiences of regions on Planning Regional Urban Development / Ethiopia local experience/ .....	45
2.2.15. Lesson learned from international and local experiences on regional urban development planning.....	63

	MINISTRY OF URBAN DEVELOPMENT AND HOUSING	Document No:--- /MUDH/xx
REGIONAL URBAN DEVELOPMENT SPATIAL PLANNING MANUAL	Issue No.1	P-- of --

2.2.16. Assessment on the Urban System of Ethiopia / regional level/ .....	66
2.2.17. Conclusion and Recommendation.....	74
2.3. PROCEDURAL PART OF THE MANUAL .....	77
 STAGES OF PLANNING REGIONAL URBAN DEVELOPMENT .....	80
STAGE ONE - DESIGNING THE STUDY .....	80
STAGE TWO - EXECUTION STAGE .....	95
PHASE I – DEVELOPMENT DIAGNOSIS.....	96
PHASE II- Regional Urban System Plans/ Project Formulation And Preparation Of Action Plan.	109
<b>STAGE THREE .....</b>	<b>122</b>
 3. PART THREE- POLICY AND LEGAL FRAME WORK OF ETHIOPIA AND CAPACITY REQUIREMENT .	123
3.1. Relevant Policy and Legal Frame Work of Ethiopia .....	123
3.2. Capacity Requirement for the Implementation of the Manual.....	126
3.2.1. The Required Composition and Abilities of the Study Team .....	126
3.2.2. Logistic and Finance Requirement.....	126
3.2.3. Information Technology .....	127
PART FOUR- MISCELLANEOUS CONSIDERATION.....	127
b. Effective Date.....	127
c. Review of the Manual.....	127
4.3. Approval.....	128
Reference.....	129
Annexes .....	133
Annex one - Questionnaire designed for the manual preparation .....	133
Annex two - Recommended questionnaire for collecting socio economic data in the preparation of regional urban development plan. ....	139
Annex – three .....	150
International and National Experiences .....	150

	MINISTRY OF URBAN DEVELOPMENT AND HOUSING	Document No:--- /MUDH/xx
REGIONAL URBAN DEVELOPMENT SPATIAL PLANNING MANUAL	Issue No.1	P-- of --

## Acronyms

ADB – Africa Development Bank

ANRS - Amahara National Regional State

BoFED – Bureau of Finance and Economic Development

CSA – Central Statistics Agency

DRDSESAA - Department of Regional Development Secretariat for Economic and Social Affairs of America

FDRE - Federal Democratic Republic of Ethiopia

FDS - Federal Development Strategy

GDG - Global Development Goals

GDP – Growth Domestic Product

GR - Growth Rate

HNRS - Harare National Regional State

ICT - Information and Communication Technologies

IMF – International Monitory Fund

IRDP - Integrated Regional Development Planning

LV SUDP – Lake Victoria Strategic Urban Development Planning

MDG - Millennium Development Goals.

MoFED – Ministry of Finance and Economic Development

MUDHC – Ministry of Urban Development, Housing and Construction

MUDH – Ministry of Urban Development and Housing

NGO – None Governmental Organizations

PASDEP – Plan for Accelerated and Sustainable Development to End Poverty

ONRS - Oromia National Regional State

	MINISTRY OF URBAN DEVELOPMENT AND HOUSING	Document No:--- /MUDH/xx
REGIONAL URBAN DEVELOPMENT SPATIAL PLANNING MANUAL	Issue No.1	P-- of --

PI = primacy index

RSP – Regional Strategic Plan

RUDS - Regional Urban Development Strategy

RUDSP – Regional Urban Development Spatial Plan

SDIRUD - Strategy development for Integrated Regional and Urban Development

SME - Small To Medium Enterprises

SNNPR – Southern Nations Nationality Regional State

SNRS – Somali National Regional State

SUDP - Strategic Urban Development Plan

TGE – Transitional Government of Ethiopia

TNRS - Tigray National Regional State

UN – United Nation

USA – United States of America

WB – World Bank

## List of Tables

Table 1. Level of Urbanaization in the Regions of Ethiopia.....	67
Table 2. Urbanization Growth Rate in the Regions of Ethiopia.....	68
<b>Table 3. Class - Size Distribution.....</b>	<b>69</b>
Table 4. Urban Primacy Index In the Regions of Ethiopia.....	74
Table 5. Summary of the Final Report.....	120

## List Of Figures

Figure 2. Transportation Corridor Planning and Development Model .....	31
Figure 3. Regions of Ethiopia .....	46
Figure 4. Size-Class Distribution of Urban centers in four regions of Ethiopia.....	70

	MINISTRY OF URBAN DEVELOPMENT AND HOUSING	Document No:--- /MUDH/xx
REGIONAL URBAN DEVELOPMENT SPATIAL PLANNING MANUAL	Issue No.1	P-- of --

Figure 5. Rank size distribution of urban system of Egypt in 1996.....	71
Figure 6. Rank - Size Distribution of Oromiya.....	71
Figure 7. Rank Size Distribution of Amhara Region .....	72
Figure 8. Rank Size Distribution of SNNPR.....	72
Figure 9. Rank - Size Distribution of Tigrai Region.....	73
Figure 10. Generation of Program/Project for regional Development. .....	106
Figure 11 Institutional arrangement for planning Regional urban Development.....	127

	MINISTRY OF URBAN DEVELOPMENT AND HOUSING	Document No:--- /MUDH/xx
REGIONAL URBAN DEVELOPMENT SPATIAL PLANNING MANUAL	Issue No.1	P-- of --

## PART ONE: BACKGROUND

### ***1.1. Introduction***

Most countries of the world have urbanized significantly since the 1950s and are projected to continue this process through the middle of the 21st century. The percentage of the world population living in urban areas has, in fact, just passed the 50 per cent mark. In developing countries, this increasing share of total population living in cities is similar to the historic patterns of Europe and North America, with increasing urbanization accompanying rising levels of GDP. The key differences lie in the faster pace of urban growth in developing countries in this period and the higher absolute levels of urban population (UN-HABITAT, \_\_\_\_).

Ethiopia is among the least urbanized countries in the world and Africa. According to the 2011 UN report on the level of world urbanization, the world average was 52.1%, while in Africa it was 39.6%. When it comes to Ethiopia, the report notes that the level of urbanization was 17% which is far lower than that of Africa. This situation, however, is not likely to last long, especially given the level of economic growth observed in the past few years (UN, 2011).

According to IMF, Ethiopia was one of the fastest growing economies in the world, registering over 10% economic growth from 2004 through 2011. It was the fastest growing non oil dependent African economy in the year 2007 and 2008 and managed to grow faster than China and India in 2012(IMF, 2012). As mentioned above, since the last decade, the rapidly growing economy of the country has accompanied by the overall development of the country including its urban development.

Recent reports witness that the rate of urbanization of the country is among the fastest in the world with a rate of about 3.57%. The fact that the level of urbanization has remained low for a long time now is only likely to increase the pace that will lead to higher increase both in the numbers of urban population and urban centers. This expected fast growth in urbanization necessitates the intervention of the government to ensure a healthy development of the urban system at national and regional level.

	MINISTRY OF URBAN DEVELOPMENT AND HOUSING	Document No:--- /MUDH/xx
REGIONAL URBAN DEVELOPMENT SPATIAL PLANNING MANUAL	Issue No.1	P-- of --

Recent examples from both developing and developed countries have shown that efficient local development requires consistency and cohesion with vision and strategies at national and regional level. On the other hand both academicians and practitioners in the field of urban development have noted the interdependence between urban and rural in the regional development (The Cities Alliance, 2006).

Although the economy of Ethiopia has been increasing continuously since the year 2004, cities and towns could not fully start to be the engines of growth.

This day's one of the major reasons for the difficulty to achieve sustainable rural development in the country is the absence of a well-functioning system of urban centers that would otherwise contribute to rural transformation, which is in fact the result of absence of adequate urban development planning tools. Previous research conducted on the subject found that the absence of clearly articulated and comprehensive urban development policy and urban development planning tools had perpetuated a primate city dominated urban system and is also responsible for the continued inadequacy of urban centers as development factors.

The functional specialization of the country's urban centers is at an infant stage and only few of them can be categorized as medium-sized that can offer a possibility to support the development of manufacturing and related activities. As a matter of fact, the economic base of most urban centers is dominated by public administration and a variety of service related activities. The role of urban centers as agent of structural transformation has remained limited both in terms of industrial job creation and improvement of the agricultural economy. Nor was the urban economy capable of creating effective demand for agriculture base raw materials or absorbing rural surplus labor.

Most urban centers of the country are small and medium with a population of lower than 20,000. This implies that to harness the benefit of urbanization in Ethiopia depends to a

	MINISTRY OF URBAN DEVELOPMENT AND HOUSING	Document No:--- /MUDH/xx
REGIONAL URBAN DEVELOPMENT SPATIAL PLANNING MANUAL	Issue No.1	P-- of --

large extent, on improving small & medium sized towns. Since these settlements are effective tools for integrating the urban and rural economies and for achieving a balanced distribution of urban populations, they need to be guided by regional urban development plans. It is in this front that the battle of equitable regional development and sustainable urbanization at national and regional level can be achieved (Davidson Sunday Ashemi ALACI, 2010).

In Ethiopia appropriate panning tools are not fully prepared to guide consciously the role of urban centers to promote the regional and national economic development as an integrated part and parcel of the economy. Recently the Ministry of Urban Development, Housing and Construction of the Federal Democratic Republic of Ethiopia has launched Study on the National Urban Development Scheme in order to bring a balanced urban development at national level to facilitate the smooth development of the urban system that best works under a decentralized system of governance minimizing the primacy problem of Addis Ababa. But still there is problem at regional level in guiding the urban system of the regions using adequate planning tools.

Hence this study is aims to fill this gap by providing a manual to support the plan preparation and implementation of the regions in turn to ensure the renaissance of the country.

## ***1.2. Rational of the Manual***

The major rationales of the manual are:

1. Government policies, Strategies and long and short term Goals.
2. The Federal Democratic Republic of Ethiopia, Urban Planning Proclamation No. 574/2008 stated the hierarchies of plans. According to this Proclamation, the second hierarchies of plans are regional urban development plan next to the national urban development plan. With this proclamation, regions of the country are ordered to

	MINISTRY OF URBAN DEVELOPMENT AND HOUSING	Document No:--- /MUDH/xx
REGIONAL URBAN DEVELOPMENT SPATIAL PLANNING MANUAL	Issue No.1	P-- of --

guide the development process of their regions by preparing regional urban development plan. So to this effect they need to have a manual which guide the plan preparation process.

3. The prevalence of unbalanced urban system and the existence of primacy problem in the regions of the country.

### ***1.3. Objective of the Study***

#### **1.3.1. The general objective**

The general objective of the manual is to guide the regional urban development planning process in the regions of the country. The theorists of regional development planning are many, but relatively few practitioners have documented and systematized the process of preparing and implementing plans with the object of improving planning methodologies. Bringing accumulated successful experience with regional development planning to bear on planners' attempts to refine their methodologies and refocus their efforts is therefore major primary objective of this manual.

#### **1.3.2. The specific objectives**

The manual aims to provide one of the planning tool at regional level and in doing so it has the following specific objectives:

- guiding procedurally the regional urban development plan preparation of the nine regions of the country.
- Avoiding unbalanced urban development at regional level

### ***1.4. Expected Results of the Manual***

The major expected outcomes of the manual are:

- The manual ease the regional urban development plan preparation and guide them to lead the overall developmental process by using well designed regional plan.

	MINISTRY OF URBAN DEVELOPMENT AND HOUSING	Document No:--- /MUDH/xx
REGIONAL URBAN DEVELOPMENT SPATIAL PLANNING MANUAL	Issue No.1	P-- of --

- The manual provide regional planners and regional decision makers with one of the important planning tool to guide consciously the socio economic development of the regions allowing all urban centers play their role as an engine in the process of bringing sustainable socio economic development at regional and national level by creating linkage between the economic, social, and environmental aspects of society within the scope of good governance.
  
- The regional urban development plan also has its own chained outcomes like:
  - Bringing balanced urban development in the regions of Ethiopia avoiding the problem of primacy at regional level.
  - Bringing functional integration of urban centers so as to create strong complementary relationships among them.
  - Bringing over all rapid socio economic development in the regions of the country using the urban centers as engines of growth and incubators of civilization and facilitating the evolution of knowledge, culture and tradition as well as industry and commerce in all regions and in turn lead to achieve the renaissance of the country.

### ***1.5. How to use the manual***

The following important points have to be considered through using this manual:

1. Knowing about the urban system of the country and its impact on the overall socio-economic development of the country.
2. Identifying the major objectives and expected outcomes of the manual
3. Identifying socio economic development tools and principles of planning from the literature part

	MINISTRY OF URBAN DEVELOPMENT AND HOUSING	Document No:--- /MUDH/xx
REGIONAL URBAN DEVELOPMENT SPATIAL PLANNING MANUAL	Issue No.1	P-- of --

4. Going through the procedural part step by step applying each tasks and activities stated in each stages and phases.

### ***1.6. Scope of the application of the manual***

The manual is bounded in the preparation of regional urban development plan which will be applied in the nine regions of the country. And it is used by the major government bodies which are authorized and has given a mandate to guide the overall development process through preparing regional urban development plan. The manual is designed to help the regional plan institutes and other consulting firms who involved in the regional plan preparation of the regions.

## **PART TWO: STRUCTURE OF THE MANUAL**

### ***2.1. THE ORGANIZATION OF THE MANUAL***

This Regional Urban Development Planning Manual is organized in four parts. The first part is the background part, part two is structure of the manual, part three is the legal and policy frame work and part four is about miscellaneous consideration.

### ***2.2. REVIEW OF RELATED LITERATURE***

#### ***2.2.1. Definition of integrated regional development planning***

Definition of the terms "**region**," "**development**," "**planning**," and "**integrated**" are nearly as numerous as the people who use them. No attempt will be made here at general definitions, but readers must understand how the terms are used in this manual.

The concept of **REGION** is used widely - both in terms of policy and political but also in common usage. A region can be defined using a wide range of criteria, but common criteria include spatial or geographical variables. Common too are social or cultural elements, the latter points raise questions of identity and attachment to place - ie regions can be defined by cultural factors. Identity is a powerful force in development of notions of regions(Dr Tony McCall, 2010).

	MINISTRY OF URBAN DEVELOPMENT AND HOUSING	Document No:--- /MUDH/xx
REGIONAL URBAN DEVELOPMENT SPATIAL PLANNING MANUAL	Issue No.1	P-- of --

The term **DEVELOPMENT** as it is used in this book carries with it the concept of sustainability. This goes beyond the controversy of "growth" vs. "growth with distribution." Indeed, sustainability requires dynamic stability achieved through change that is economically sound and socially just and that maintains the natural resource base. Development, according to this model, means change with growth and equity. The central development challenge is to initiate and sustain a process whereby the material and spiritual well-being of a population is improved and development proceeds are fairly distributed according to principles of social justice,

The term **PLANNING** as used here refers to the process by which the governments with Regional development planners support produce plans and selected development projects. The final product is a report that contains the plan, the recommended development projects and programs, and relevant background material. The series of steps required to prepare the plan and projects is referred to throughout this book as a study. It is important to remember that regional development planning is an early step in the development process and that its final product is a report which contains a proposal for action, but that actual development may not occur for some time.

The word **INTEGRATED** when used in association with regional urban development planning is meant to stress the multispectral and multidisciplinary character of this type of planning. It also sharply distinguishes it from more traditional sectoral planning, which is criticized throughout different books when it is the only basis for planning and project formulation. This manual is about multi sectoral planning in defined pieces of space.

	MINISTRY OF URBAN DEVELOPMENT AND HOUSING	Document No:--- /MUDH/xx
REGIONAL URBAN DEVELOPMENT SPATIAL PLANNING MANUAL	Issue No.1	P-- of --

## 2.2.2. Principles of Regional Development Planning

### Regional Urban Development Planning Principles

Good planning in general and regional urban development planning in particular requires a methodical process that clearly defines the steps that lead to optimal solutions. This process should reflect the following principles:

- Comprehensive – all significant options and impacts are considered.
- Efficient – the process should not waste time or money.
- Inclusive – people affected by the plan have opportunities to be involved.
- Informative – results are understood by stakeholders (people affected by a decision)
- Integrated – individual, short term decisions should support strategic, long term goals.
- Logical – each step leads to the next.
- Transparent – everybody involved understands how the process operates (Litman, 2013).

### Development principles

- Sustainable urban and rural development
- Functional and socio-economic integration
- Institutional integration and coordination
- Democratic processes – accountability, transparency, participation and inclusion
- Decentralization

### Planning principles

- Poverty alleviation and satisfaction of basic needs
- Focus on special needs groups
- Gender equality and equity
- Environmental management
- Community involvement and public participation
- Partnership and private sector involvement

	MINISTRY OF URBAN DEVELOPMENT AND HOUSING	Document No:--- /MUDH/xx
REGIONAL URBAN DEVELOPMENT SPATIAL PLANNING MANUAL	Issue No.1	P-- of --

- Implementation orientation
- Encouraging local economic development
- Cultural sensitivity
- Regional linkages and coordination

### 2.2.3. Theoretical Overview on the Urban System

#### 1. The Urban System

Urban System is a set of interlinked cities and towns set within a specific territory (e.g. the nation or the globe) (Gregory and Others, 2009). The concept of an urban system refers to a set of towns and cities that are linked together in such a way that any major change in the population, economic vitality, employment or service provision of one will have repercussions for other places.

Three levels of urban system may be identified in Western industrial countries:

1. A national system dominated by metropolitan centers and characterized by a step-like population-size hierarchy, with the number of places at each level increasing in a regular manner with decreasing size of place.
2. Nested within the national system are regional sub-systems of cities, displaying a similar but less clearly differentiated arrangement, usually organized about a single metropolitan centre.
3. Contained within regional sub-systems are local sub-systems or daily urban systems representing the life space of urban residents.

National urban systems vary in terms of their degree of closure or openness to outside influences. Pred (1977)<sup>2</sup> has suggested a fourfold classification of National City systems based on their degree of openness/closure and level of internal interdependence.

1. Countries where no real systems of cities exist and which are characterised by little economic and social exchange between settlements and with the outside world (i.e. low interdependence and high closure). There are few present-day examples of this category

	MINISTRY OF URBAN DEVELOPMENT AND HOUSING	Document No:--- /MUDH/xx
REGIONAL URBAN DEVELOPMENT SPATIAL PLANNING MANUAL	Issue No.1	P-- of --

since even Third World countries generally have some form of urban system, a degree of internal exchange and communication.

2. Countries where little exchange occurs between urban centres, but rather than being independent, each centre has strong external ties (i.e. low interdependence and low closure).
3. Countries characterized by towns and cities with a high level of interdependence but where the whole system is also subject to strong exogenous influences (i.e. high interdependence and low closure).
4. Large developed countries such as the USA and international groupings such as the EU. In these countries or groups of countries the inter-city movement of goods is stimulated by the absence of tariff and quota barriers on trade, whereas the presence of such barriers to external trade results in a relatively high degree of closure.

## **2. Problem of the Urban Systems in Developing Countries**

Urban systems of developing countries are suffering from severe problems such as: rapid urbanization growth, continuous rural/ urban migration, urban concentration in one or two primate cities. In addition to, lack of infrastructure networks in urban areas and economic problems due to the failure of development policies and the burden of external debts. During the colonial era, investments were concentrated only in one or two cities (capital and main port) in developing countries. Consequently, unbalanced urban systems were the resultant of such biased policies. After independence, developing countries had to choose between equity (low development rates) and economic growth (high urban concentration). Few of developing countries such as: Korea, Brazil and Yugoslavia have experienced polarization reversal and more balanced and dispersed urban systems, while the majority of developing countries still have to live with their unbalanced and over concentrated urban systems. Such urban systems can't cope with the rapid changes of the more globalize world of today (Faisal, 2003).

	MINISTRY OF URBAN DEVELOPMENT AND HOUSING	Document No:--- /MUDH/xx
REGIONAL URBAN DEVELOPMENT SPATIAL PLANNING MANUAL	Issue No.1	P-- of --

### **3. Factors influencing the future of the urban System**

Four main factors are expected to affect the future of the urban system, namely:

- 1. Future Population Growth:** By the year 2100, world population is expected to reach 7.6, 8.5 and 9.4 billions according to low, medium and high population forecasting. 95% of the population increase will be in developing countries.
- 2. Industrial Development:** Industrialization will be responsible for satisfying the needs of the increased population regarding the shrinking role of agriculture sector. Information and processing industries will rapidly grow rather than extracting and mining industries.
- 3. Improvement of Transportation Facilities:** The remarkable development in transportation facilities has highly affected the concept of place. The impact of distance as a variable in defining regions will disappear. Regions and sectors of cities will be strongly linked with each other with modern, fast and secured untraditional transportation facilities, while giant urban agglomeration based on highly efficient transportation system will appear.
- 4. Communication Technology Revolution:** Communication and information revolution is the main feature of the 21st century. The sense of place and time are dramatically changed due to this revolution which severely affects both way of life and urban population distribution. Urban settlements are expected to be more separated and segregated depending on the efficiency of remote sensing and communication facilities (Faisal, 2003).

#### **2.2.4. Theories of urban primacy**

General theories which seek to explain variation in the steepness or flatness of city size hierarchies can be categorized as economic and political. Following Christaller (1967), social geographers have argued that an integrated space economy will produce a locational distribution of activities such that those which can be efficiently produced in a centralized

	<b>MINISTRY OF URBAN DEVELOPMENT AND HOUSING</b>	<b>Document No:---</b> <b>/MUDH/xx</b>
<b>REGIONAL URBAN DEVELOPMENT SPATIAL PLANNING MANUAL</b>	<b>Issue No.1</b>	<b>P-- of --</b>

way (because storage and transport costs are cheap) will be located together in a central city, whereas those which have high transport and storage costs will be more dispersed over territory. This theory ignores purely geographic factors which alter the spatial plane such as rivers, mountain ranges, bodies of water, (which alter transport costs) and resources whose locations are determined by “nature” such as mineral deposits and land suitable for agriculture. Ignoring natural inputs and geographical irregularities, an integrated space economy will produce a distribution of population similar to the lognormal rank-size rule. In a lognormal rank- size distribution the largest city is twice as large as the second largest, three times larger than the third largest, and so on. Some geographers argue that such a space economy only operates in a competitive market system in which the price of commodities reflect their costs of production, but archaeological evidence shows that city systems vary around the log- normal rule even in societies in which price-setting markets do not play a dominant role in social exchange (Kowalewski, 1982). Transport costs and storage costs affect the economy of non-market systems, although through different means, and less directly than in market systems.

Another theory of variation in the steepness of city-size hierarchies emphasizes the distribution of political-military power in space. Centrally organized political empires are thought to create more hierarchical city systems than networks of independent city-states or nation-states because concentrated political-military power allows for the concentration of wealth, and therefore of population. Of course the distribution of power is not always organized territorially, so there is considerable looseness of fit between power concentration and spatial hierarchies. Nevertheless, variation in ancient city-size distributions does correspond with the rise and fall of political empires.

### **2.2.5. Approaches to the analysis of regional development**

Theories of regional development policy are ways of assessing the real world, generating explanations about current practice. These theoretical frameworks also provide for the

	MINISTRY OF URBAN DEVELOPMENT AND HOUSING	Document No:--- /MUDH/xx
REGIONAL URBAN DEVELOPMENT SPATIAL PLANNING MANUAL	Issue No.1	P-- of --

opportunity for comparison over time and space, subject to the limitations of comparative methodology.

### **Staples theory**

This approach sees the concept of the staple as a key factor in the development of regions. A staple is a dominant commodity which provides the basis for the regional economy and society. Good examples would be wool, as a staple for regional Australia for the latter 19 century and in the post war period till the 1980s.

Staples theory was greatly influenced by the work of Canadian scholar Harold Innis who studied the impact of the fur trade and fisheries, among other commodities on the growth of Canada.

These studies showed how exploitation of a staple provided regional growth, but when the staple declined or was replaced the region declined.

Staples theory provides a useful historical frame of reference but has been criticized for its lack of predictive ability. It does however indicate how commodity based economies are subjected to cyclical growth patterns, dependent on changing commodity prices.

### **Core-periphery approaches**

These approaches are part of the broader circular causation models discussed in Higgins and Savoie. They explain differential development that is how some regions are as seen to be prosperous, while others away from the centre seem in decline. Thus the focus is on the relationship between the core area and the periphery; the regions on the outer areas away from the core.

These approaches have been developed to explain global development processes. John Friedman argued that developed cores in the industrialized west were sustained by exports of raw materials from peripheries and hinterland areas.

The core periphery model has also been significantly influenced by the work of Gunnar Myrdal, who applied the notion that flows to and from the core to the periphery explain

	MINISTRY OF URBAN DEVELOPMENT AND HOUSING	Document No:--- /MUDH/xx
REGIONAL URBAN DEVELOPMENT SPATIAL PLANNING MANUAL	Issue No.1	P-- of --

differential development. He used the term 'spread' to describe flows of capital, innovations and people from the core to the periphery. He used 'backwash' to explain the flows from periphery to the core. Myrdal argued that in contrast to mainstream economic theory which promoted the 'trickle down' as an outcome of market approaches, backwash effects were very significant and indeed contributed to the very present decline of peripheral regions. The backwash spiral is important here as it helps explain continuing economic decline, taking into account factors such as migration (key problem for regions) and aging population etc.

### **World systems**

This approach adopts an explicit neo Marxist framework to explain the development of regional disparities. The approach is associated with the work of sociologist Immanuel Wallerstein. Differences in levels of capital and labour help create conditions which favour some areas over others. These differences are fundamental to a capitalist economy which seeks cheap commodities and labour. Explains the relocation of investment capital to regional areas, taking advantage of cheap labour (USA-Mexico border).

### **Internal colonialism**

This approach is closely associated with the work of Hecter who argued that regional development within nation states was analogous to the patterns experienced by colonies in their relationship to the colonial power. The colonies were seen as producing goods for the 'mother country' and thus development was focused on certain things. Eg Australia's relationship with the UK before joining the EU. Benefits tend to be uneven and there is the additional concern of cultural imperialism. Hecter argues that such a pattern could be experienced within a nation state, with resource rich areas being exploited by capital rich cores.

	MINISTRY OF URBAN DEVELOPMENT AND HOUSING	Document No:--- /MUDH/xx
REGIONAL URBAN DEVELOPMENT SPATIAL PLANNING MANUAL	Issue No.1	P-- of --

## **Dependency theory**

This is the view that regional differences give rise to disparities and that the response to these disparities from government through transfer payments, grants, assistance etc can in fact exacerbate problems and increase the level of dependency of the region.

This dependency on programs from outside the region is seen as a problem as it reduces the initiative and grassroots focus of local solutions to local problems.

This approach is clearly linked to a view of internal colonialism, that is, the region is 'kept' in a dependent state so it remains focused on its role vis a vis the centre.

However, the importance of economic impacts on regions makes government responses common. Imbalances and disparities have political consequences that are driven by the social consequences of regional decline. A dependency approach tends to negate the ability of a region to break out of a negative cycle of ongoing decline.

## **Developmental approaches**

These approaches see active intervention by governments in promoting regional development. This approach is driven by a view that economic growth is enhanced by 'pump priming', funding projects, and infrastructure development and support etc. This approach is based on a view, that regional economic disparities reflect market failures and these can best be overcome by government intervention. Emphasis on active government policy and action.

### **Growth pole model**

One important variety of the developmental approach was the growth pole model. This approach was developed by Francois Perroux, based on the idea of economic magnets attracting development. The growth pole model argues that such magnets can be created and supported by government intervention that initiates growth and help 'kick start' the regional economy. The idea is that economic development should be concentrated at certain local points. The purpose here is to produce self-sustaining growth.

	MINISTRY OF URBAN DEVELOPMENT AND HOUSING	Document No:--- /MUDH/xx
REGIONAL URBAN DEVELOPMENT SPATIAL PLANNING MANUAL	Issue No.1	P-- of --

Growth pole approaches in Australia were influential in the 1970s with the focus on regional policy particularly with government policy promoting Albury -Wodonga (Vic/NSW) Elizabeth (SA) as growth poles. In the 1980s and 1990s the growth pole model has undergone greater critical assessment, and the cost of such strategies increasingly recognized and criticized by neoclassical economists. The criticism is that growth poles produce “artificial economies’ where inefficiency is evident and eventually the market catches up.

### **Neo-classical economics**

This approach to regional policy is essential one in which governments are encouraged to stay away from active intervention, but to recognize that regional differences and economic disparities are best resolved by the operation of the market. Thus this model of regional policy would see limited support for regions arguing that such intervention is costly and over time not effective. The Neo- classical economic response to regional decline would be that eventually wage levels and infrastructure costs would be driven down to a level that will make the area attractive to investment, that labour is mobile and that workers will move from areas of low employment.

These assumptions are problematic in the real world where such harsh prescriptions are difficult to sustain politically. Governments have found it difficult to avoid becoming involved in regional policy issues.

### **Concluding Comments: For Planning Consensus?**

There is no one single lens which provides an answer to regional Planning, rather a range of approaches can be used. Politics will always overrule theory. We need to be aware of the limitations of approaches as much as we are aware of their strengths.

Is there an emerging consensus regarding regional Planning? In other words is there some agreement over what to avoid and what to do as a regional government?

	MINISTRY OF URBAN DEVELOPMENT AND HOUSING	Document No:--- /MUDH/xx
REGIONAL URBAN DEVELOPMENT SPATIAL PLANNING MANUAL	Issue No.1	P-- of --

The task of regional Planning is no longer to redistribute growth between regions. Regional Planning should focus on beyond comparative advantage, to construct competitive advantage maximizing the potential of each region and its contribution to national growth.

Government are increasingly reluctant to maintain direct assistance to declining sectors in order to protect local economic activities, Think long term not short term.

Competitive advantage places a lot of emphasis on competitiveness. Governments can assist the competitiveness of their state/province by creating a favorable environment for small to medium enterprises (SMEs), encourage the development of entrepreneurial skills, and by consolidating and improving local infrastructure, including soft infrastructure – training, technical centers, business incubators etc (Dr Tony McCall, 2010).

### **2.2.6. Factors behind a prosperity- Inducing urban environment**

According to the local experts surveyed by UN-Habitat, eight main factors create a favorable environment for cities to prosper, namely: effective urban planning and management; decentralization polices and appropriate institutions; a system that creates equal opportunities for all; participation of civil society; elected local officials; a favourable business environment; access to basic amenities; and public transport and mobility. It is self-evident that, just like the five ‘spokes’ in the ‘wheel of prosperity’, these factors are interrelated or complementary and they affect the prosperity of cities both individually and in their various combinations. The importance of these factors with respect to the various regions is presented in the report. In most cases, similarities can be found in the nature and importance of the factors across regions, with nuance and differences in other cases (UN, 2013).

#### **Effective urban planning and management**

The perceived importance of urban planning is most pronounced in the Arab States, followed by Africa and Asia. However, in Latin America and the Caribbean, urban planning

	MINISTRY OF URBAN DEVELOPMENT AND HOUSING	Document No:--- /MUDH/xx
REGIONAL URBAN DEVELOPMENT SPATIAL PLANNING MANUAL	Issue No.1	P-- of --

emerges as the third most important factor. These differences can be attributed to several contextual factors.

Urban planning can contribute to the prosperity of cities in various ways. As a starting point, policy-makers should view urbanization as a positive phenomenon. While there is growing recognition of the benefits, positive contribution and potential opportunities associated with cities, urban planners and policy-makers in some developing countries are still unsure about the importance of urbanization, in some cases even showing aversion to the urbanization process. This should not be the case, because cities generate the bulk of GDP; they are the engines of growth and centres of innovation. This suggests that capitalizing on the positive potentials of urban growth should be placed high on the agenda of governments.

Managing urbanization is essential to nurturing the prosperity of cities. There are at least two ways to achieve this. The first is to nurture the growth of high-productivity activities – particularly manufacturing and services, which benefit from agglomeration economies.

The second entails managing the negative externalities associated with the economic growth and success of cities – congestion, inequality, crime and violence, and soaring cost of land and housing, among others.<sup>5</sup> Urban planning within the context of rapid urbanization is not a luxury, but a necessity.<sup>6</sup> Rapid urbanization in the absence of effective urban planning has resulted in the proliferation of slum and squatter settlements, spiraling poverty, inadequate infrastructure, and degrading environmental conditions – all of which tend to erode the prosperity of cities (UN, 2013).

### **Decentralization and appropriate institutions**

Decentralization refers to the transfer of responsibilities for planning, management and financing from the central to lower tiers of government and other subsidiary units.<sup>11</sup> The most common forms of decentralization are deconcentration, delegation and devolution; in many countries, decentralization is often a combination or hybrid of these forms. Bringing decision-making closer to relevant urban populations can encourage municipal authorities to better focus on prosperity (UN, 2013).

	MINISTRY OF URBAN DEVELOPMENT AND HOUSING	Document No:--- /MUDH/xx
REGIONAL URBAN DEVELOPMENT SPATIAL PLANNING MANUAL	Issue No.1	P-- of --

## 2.2.7. Theoretical Overview on Regional Socio-Economic Linkage and Its impact .

### Rural- Urban linkage

It is now widely recognized that there exists an economic, social and environmental interdependence between urban and rural areas and there is a need for balanced and mutually supportive approach for the development of the two areas. The discrete consideration of rural development as completely distinct from urban development is no longer valid. A new perspective, referred to as the *rural-urban linkage development approach*, is increasingly becoming the accepted approach. Rural-urban linkage generally refers to the growing flow of public and private capital, people (migration and commuting) and goods (trade) between urban and rural areas. It is important to add to these the flow of ideas, the flow of information and the flow of diffusion of innovation.

Adequate infrastructure such as transportation, communication, energy and basic services is the backbone of the urban-rural development linkage approach. There is a positive relationship between adequacy of transportation infrastructure, ease of mobility and access to employment and enhancement of income. Adequate investments in infrastructure, particularly transportation infrastructure, also improve rural productivity and allow access to markets, jobs and public service by both men and women.

It is important therefore that governments at the national or central level, at local (municipal) level of large cities, small and medium-sized towns and rural areas, recognize the potentials of rural-urban development linkages, the impact of their development actions on urban and rural areas and the positive role they can play in poverty alleviation. There is a need to gain better understanding of the relationships between urban and rural areas and the variety in the nature of these linkages.

It is recognized that a number of projects undertaken in the recent past in various countries and regions adopt the urban-rural linkage development as a strategy for achieving faster

	MINISTRY OF URBAN DEVELOPMENT AND HOUSING	Document No:--- /MUDH/xx
REGIONAL URBAN DEVELOPMENT SPATIAL PLANNING MANUAL	Issue No.1	P-- of --

development in relatively under-developed areas in developing countries. This trend needs to be enhanced and promoted in a wider range of countries among national, regional (metropolitan) and local development actors.

Closely linked to the rural urban imbalance is the increasing urban poverty, and of particular concern are the commensurate gender implications, with men and women experiencing the urban environment differently. The absolute number of female-headed households in cities has risen in recent years, with a significant proportion of these households living below the locally defined poverty line. The pertinent issues that need to be addressed in this regard are to raise the earning capacity of income and assets accumulation, including land, by these households through providing opportunities and empowering women entrepreneurs.

Improving mobility between urban and rural areas would enhance the income generating and earning capacity of rural and urban women ( UN-HABITAT, 2003).

### **2.2.8. Urban Infrastructure: Bedrock of Prosperity**

Infrastructure is crucial for the development, functionality and prosperity of urban areas. It provides the foundation on which any city will thrive. Adequate infrastructure – improved water and sanitation, reliable and sufficient power supply, efficient transport networks and modern information and communication technologies (ICTs) – contributes to the sustainability and economic growth of urban areas, promotes the competitiveness of local businesses, improves labour productivity, enhances the investment climate in a city and contributes to its attractiveness. Physical infrastructure, such as roads, power and communication facilities, improves urban connectivity, which is essential to induce growth and reduce poverty. Cities that fail to provide adequate infrastructure are less likely to be prosperous and sustainable in terms of balancing socioeconomic development with environmental protection.

	MINISTRY OF URBAN DEVELOPMENT AND HOUSING	Document No:--- /MUDH/xx
REGIONAL URBAN DEVELOPMENT SPATIAL PLANNING MANUAL	Issue No.1	P-- of --

In developing countries, frequent mismatches between the infrastructure requirements of urban areas and the ability of authorities to provide the requisite financial resources can exacerbate already poor living conditions through the proliferation of slums, unsanitary environmental conditions, and inadequate water and power supply.

There is a positive link between the provision of infrastructure and the level of urbanization. More urbanized countries tend to provide more infrastructures. High levels of infrastructure and service provision in urban areas can partly be attributed to higher densification together with agglomeration and scale economies, which increase returns on investment. Moreover, the greater purchasing power and effective demand associated with urban areas will ensure cost recovery (UN, 2013).

### **Trends in the Provision of Urban Infrastructure: Significant Regional Variations**

Differences in infrastructure across regions have implications for the prosperity of cities and reflect a variety of factors, including levels of income or development, economic growth, pace of urbanization, technical capacities and political commitment. The lowest levels of infrastructure provision are to be found in urban Africa (average water and sanitation coverage is 89 and 69 per cent respectively; electricity: 69 per cent; paved roads: 28 per cent; fixed telephone lines: four per cent; cell phones and Internet connectivity: 57 and 10 per cent, respectively).

Asian cities have strongly invested in infrastructure development in the past few decades, achieving nearly universal provision of water, electricity and mobile telephone services. In particular, China has pursued a conscious strategy of infrastructure-led growth since the 1990s.

Investment in this area increased from 5.7 per cent of GDP in 1998 to 14.4 per cent in 2006. During the same period, India increased infrastructure spending from 4.1 per cent to 5.6 per cent of GDP. The average for Latin America and the Caribbean is under two per cent of

	MINISTRY OF URBAN DEVELOPMENT AND HOUSING	Document No:--- /MUDH/xx
REGIONAL URBAN DEVELOPMENT SPATIAL PLANNING MANUAL	Issue No.1	P-- of --

GDP,5 compared with Africa's estimated 5–6 per cent. In Latin America, public investment in infrastructure bore the brunt of fiscal adjustment, as it fell from more than three per cent of GDP in 1988 to about 1.6 per cent in 1998. Consequently, productive infrastructure such as roads, electricity and telecommunications – all of which are crucial for the prosperity of cities – now lags behind East Asia and China, in a reversal of the situation prevailing in 1980 (UN, 2013).

### **2.2.9. The role of small and intermediate urban centers in regional and rural development**

Urban development and rural growth strategies are frequently discussed as separate issues with competing objectives and contradictory policy implications. Recent studies on urbanization and agglomeration economies, however, avoid using a rigid boundary between “the rural” and “the urban” in order to provide a more realistic approach to fostering an economically productive landscape. In this new approach, economic development strategy addresses a spectrum of settlements ranging from rural villages and towns, to small urban hubs and secondary cities (Emily Schmidt and Mekamu Kedir, 2009 )

Since the early 1960s, small and intermediate urban centers have attracted the attention of policy-makers and planners. Early views of the role of small and intermediate urban centers in regional and rural development fell within the general paradigms of modernization and dependency theories. In the first, small urban centers are seen as centers from which innovation and modernization would trickle down to the rural population. **Hence, the most effective and rational spatial strategy for promoting rural development is to develop a well-articulated, integrated and balanced urban hierarchy.** This network of small, medium-size and larger urban centres are described as ‘...locationally efficient – it allows clusters of services, facilities and infrastructure that cannot be economically located in small villages and hamlets to serve a widely dispersed population from an accessible central place (Rondinelli, D, 1985).

	MINISTRY OF URBAN DEVELOPMENT AND HOUSING	Document No:--- /MUDH/xx
REGIONAL URBAN DEVELOPMENT SPATIAL PLANNING MANUAL	Issue No.1	P-- of --

The pessimistic view echoes the ‘urban bias’ debate, and originally argued that small urban centers contribute to rural impoverishment and are the ‘vanguards of exploitation’ of the rural poor and of extraction of natural resources by external forces which, according to the case, may be colonial powers, multinational enterprises, central governments, local administrators and élites. Such exploitation can only be avoided where there is an egalitarian class structure and free access to land, and ‘...where the stimulus to urban growth results in activity primarily by the people and for the people themselves (Southall, A 1988).

More recent views adopt a wider perspective and describe uneven development processes as the root of regional inequalities as well as rural–urban and intra-rural disparities (Parnwell, M (ed) (1996). Although the role of small and intermediate urban centers is not explicitly discussed, the economic and political primacy of large centers and metropolitan regions goes hand in hand with the peripheralisation of poorer regions. Recent work in sub-Saharan Africa describes the increasing significance of rural–urban linkages in the livelihoods of rural residents, including occupational and residential transformations, as the mainly negative consequence of pressures on small-scale farming systems accompanied by declining opportunities and high costs of living in the cities (Bryceson, D, 1999). **Both views suggest that the role of small and intermediate urban centers in the development of their surrounding rural region is largely dependent on power relations and development strategies at the national and global levels.**

Despite the central role often ascribed to small and intermediate urban centers in regional planning, there is little evidence to corroborate or refute their alleged capacity to trigger development or to act as centers of regional extraction. This section summarizes the potential role of small and intermediate centers, as implicitly assumed by many policies and programmers. This is then discussed in the light of the available, and relatively limited, empirical evidence, with specific attention to small and intermediate centers’ role in more equitable regional development and in rural and urban poverty reduction.

	MINISTRY OF URBAN DEVELOPMENT AND HOUSING	Document No:--- /MUDH/xx
REGIONAL URBAN DEVELOPMENT SPATIAL PLANNING MANUAL	Issue No.1	P-- of --

***The potential role of small and intermediate urban centers in regional and rural development***

The commonly stated spatial aims of regional planning policies assume that small and intermediate urban centers contribute to regional and rural development in four main ways:

- By acting as centers of demand/markets for agricultural produce from their surrounding rural region, either for local consumers or as links to national and export markets. Access to markets is a prerequisite to increasing rural agricultural incomes, and the proximity of local small and intermediate centers to production areas is assumed to be a key factor in their potential role.
- By acting as centers for the production and distribution of goods and services to their rural region. Such concentration is assumed to reduce costs and improve access to a variety of services, both public and private and for both rural households and enterprises. Hence, services include agricultural extension, health and education (and access to other government services), as well as banking, post, services of professionals such as lawyers and accountants and lower-order services such as bars and cafés, and wholesale and retail sales of manufactured goods from within and outside the region.
- By becoming centers for the growth and consolidation of non-farm activities and employment through the development of small and medium-size enterprises or through the relocation of branches of large private or parastatal enterprises.
- By attracting rural migrants from the surrounding region through demand for non-farm labor (and perhaps decreasing migration pressures on some larger urban centers).

The empirical evidence available shows great variations in the extent to which small and intermediate urban centers fulfill these roles. Much of this relates to the specific context in which such centers develop, to land-owning structures, to the quality of transport and communications links and to the structural conditions prevailing at the international, national and local levels. In addition, many centers show high levels of economic and

	MINISTRY OF URBAN DEVELOPMENT AND HOUSING	Document No:--- /MUDH/xx
REGIONAL URBAN DEVELOPMENT SPATIAL PLANNING MANUAL	Issue No.1	P-- of --

population growth but, at the same time, increasing levels of social differentiation and evidence of little poverty reduction (David Satterthwaite and Cecilia Tacoli, 2003).

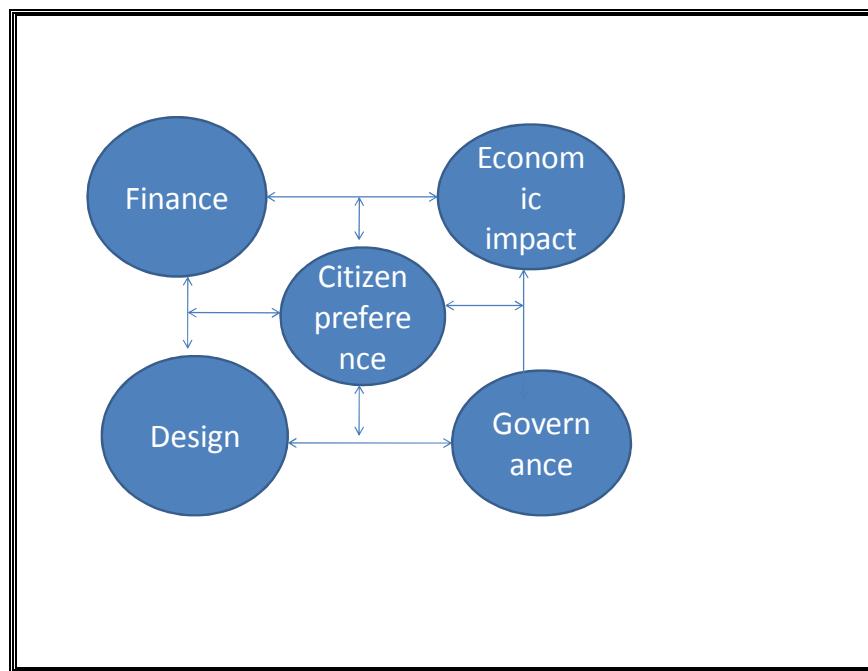
### **2.2.10. TRANSPORTATION CORRIDOR PLANNING MODEL**

Corridor development is one of the more interesting and complex issues in transportation planning. Problems with corridor development are always large - the need to ensure access to transportation, provide high quality transportation, develop livable communities and provide for economic development along the corridor. One could develop a long list of potential corridor development problems. However, these problems are exacerbated and new problems are created when a corridor crosses jurisdictional boundaries. When there are multiple jurisdictions involved, there can be marked difficulties in planning and developing corridors. There is a need for a model that describes the major problems in corridor planning and management (Frank Douma and Kenneth A. Kriz, 2003).

#### **DESCRIBING THE MODEL**

An initial problem with analyzing transportation corridor improvements is in defining a transportation corridor. There is a need to differentiate discrete corridors from more general system wide improvements. Transportation corridor defines as a geographic area between two points, linking multiple centers, and moving people and freight. This definition includes both the transportation infrastructure (e.g., the roadbed, rails and stations) and the new and existing development that surrounds that infrastructure.

A formal model of the corridor planning and management process is shown in Figure 1. The model shows the 5 major areas of decision making with regard to the implementing a transportation corridor: **governance, economic impact, financing, design and citizen preferences**. Each of these areas impacts the other area, but the impacts are not entirely predictable *ex ante*. It is important to research the various relationships that might arise, for a problem in one area may require a different strategy in another area. Implementers of corridor projects may seek to optimize the implementation in all areas, but often times must ‘satisfies’ because of constraints imposed in one or more areas.

**Figure 1. Transportation Corridor Planning and Development Model**

**Source:** Frank Douma and Kenneth A. Kriz, 2003

### **Governance**

One of the major new problems that arise in the planning of transportation corridors is in the area of governance. No longer can a single jurisdictional agent exert control over corridor development. Now many parties come to the problem of developing the corridor, each with their own needs and desires regarding design, construction, maintenance and operations of the transportation infrastructure, and with varying amounts of influence. These consist of the local, regional, state and federal stakeholders and the institutions they represent.

### **Economic Impacts**

There are several ways in which governance issues might affect the outcomes of the corridor design process. One of the most important is that the design of the corridor may not produce the highest possible economic impact for the corridor and its related jurisdictions as a whole. For example, if one city is able to exert significant enough pressure on the governing entity

	MINISTRY OF URBAN DEVELOPMENT AND HOUSING	Document No:--- /MUDH/xx
REGIONAL URBAN DEVELOPMENT SPATIAL PLANNING MANUAL	Issue No.1	P-- of --

to produce their preferred design alternative, this may create a negative economic impact for other areas along the corridor that might outweigh the benefits to the city's citizens. The notion of spillover effects of tax and spending decisions is well established in the economics literature (Oates, Wallace E., 1972). Corridors need to move people and freight efficiently, or else quality of life and the environment suffer, and millions of dollars are lost to traffic congestion, wasted time and fuel. To help focus the discussion on corridor wide impacts, economic impact analysis should be conducted to weigh potential costs and benefits of various corridor design scenarios. There are many different types of economic impact analysis, ranging from complex benefit-cost analysis to easier to understand qualitative discussions of the ranges of potential costs and benefits.

### **Financing**

Both the governance problem and economic effects of corridor development have a bearing on the ease and method of financing a proposed solution. There are several different sources of funds available to finance a transportation infrastructure investment. However, some if not most require at least implicitly a governing body for the corridor that can be a sole authority. Also, the range of potential economic impacts and their monetary implications for the governing authority will help determine the range and types of financing available for the initial capital investment.

### **Design**

The fourth major area of concern for corridor planning and management is the design of the corridor. This obviously has an impact on the economic impacts of the project. For example, a grade separated rail system may produce smoother, more efficient travel for passengers. However, a boulevard type roadway improvement is more likely to produce economic development along the entire length of the corridor. This difference in impacts also will translate into the most likely source of cash flows to the system that can be used for capital construction and maintenance of the system. Grade separated rail systems must be largely paid for through fare box revenue, subsidies from government units, and development revenue and property value increases derived around station nodes. Roadway improvements

	MINISTRY OF URBAN DEVELOPMENT AND HOUSING	Document No:--- /MUDH/xx
REGIONAL URBAN DEVELOPMENT SPATIAL PLANNING MANUAL	Issue No.1	P-- of --

may produce gains in property value throughout the corridor that can be captured as a revenue stream for the corridor authority. Finally, governance may impact directly the choice of design in the corridor, having an effect on economic impacts and financing. The design of the corridor must reflect all of these diverse interests while sticking to a budget and financing scheme. The design is the final product of a collaborative approach that has integrated the other four components. An important potential constraint in the area of design is environmental impacts. The best implementation from an economic or citizen preference vantage may conflict with the best environmental solution to a project. Environmental problems may require the expenditure of more resources (affecting financing and economic impacts), the redesign of a corridor, or other changes that will produce better solutions in the absence of environmental issues.

### **Citizen Preferences**

The last piece of the corridor planning and management model is citizen preferences. Citizen preferences are the foundation for all of the other pieces of the planning and development process. Who is participating, when in the process they are participating, and how people are participating are three questions that should be of concern to corridor development teams. There are several ways in which these preferences can affect the rest of the process. In the area of governance, for instance, if citizens do not respond well to special districts (there are several reasons why this could be the case, from a feeling of loss of accountability to no experience in dealing with special districts) then even if the optimal institutional structure for administering the corridor is a special district, this recommendation is sure to meet with resistance. In the area of financing the preference problem can be marked. Though all of the citizens of the jurisdictions mentioned above are likely to benefit from implementation of an infrastructure improvement, it is unlikely to get support if tax increases are necessitated by implementation.

	MINISTRY OF URBAN DEVELOPMENT AND HOUSING	Document No:--- /MUDH/xx
REGIONAL URBAN DEVELOPMENT SPATIAL PLANNING MANUAL	Issue No.1	P-- of --

## 2.2.11. Well planned urbanization help meet MDG

As the deadline for the MDGs hovers, countries have been trying to accelerate progress to meet the set goals. But according to the Global Monitor Report (GMR) 2013 that was released at the end of April, only four of the 21 MDG targets or sub targets have been met worldwide.

The MDGs reflect the basic needs of all citizens, and governments are expected to be aiming to meet them fully in both urban and rural areas. Still resources are scarce, and priorities must be set in most countries. Priority among the different MDG goals is given depending on the local realities of the different countries.

The four MDG targets that have already been met are MDG 1. A, which is halving extreme poverty, two targets, C and D of MDG 7 which are access to safe drinking water and improving the lives of slum dwellers and MDG 3. A, which is gender parity in primary and secondary education. Except for MDG 3. A, which is gender parity in primary and secondary education that is close to being on target, progress on the remaining goals has been limited.

Sub Saharan Africa is said to be lagging behind other regions on most MDGs. However, this region had the furthest to go from the start. Currently, Sub Saharan Africa has achieved more than 40 percent of the progress required by 2015 on the targets for gender parity, child mortality, maternal mortality, and access to safe water.

As a key message, the report states that governments should not discriminate between slum dwellers and the rural or urban poor. Slum dwellers should be provided access to basic services just like the poor in rural areas or cities, although the modalities may be different. The report puts three interrelated dimensions of urban development triangulate to coordinate the approach needed to enable a country to take advantage of its urbanization process

The first one is planning. Charting a course for cities by setting the terms of urbanization, especially policies for using urban land and expanding basic infrastructure and public services is one of the measures that should be taken.

Another approach is connecting, that is making labor, goods and service market accessible to different neighborhoods in the city, not only to other cities, but to outside export markets as well. And then there is financing, finding sources of large capital outlays needed to

	MINISTRY OF URBAN DEVELOPMENT AND HOUSING	Document No:--- /MUDH/xx
REGIONAL URBAN DEVELOPMENT SPATIAL PLANNING MANUAL	Issue No.1	P-- of --

provide infrastructure and services as cities grow and urbanization picks up speed.

In conclusion, the report states that urbanization hence facilitates several factors that play an important role in attaining the MDGs. It can reduce poverty in two main ways. One, through the benefits of good services; cities potentially generate higher living standards for all their residents and reduce urban poverty; and through the benefits of scale economies, public services, including those related to the MDGs can be provided in urban areas at a lower fixed unit cost. But when the positive forces driving cities are strained by urban congestion, service delivery is unable to keep pace with demand and slums can emerge.

## **2.2.12. International and National Changes Affecting the Regional Urban System**

### **1. International Changes**

**Globalization:** Aside from its too many definitions it could be briefly defined as: “The flow of capitals, information and labor cross the nationally defined borders”<sup>15</sup>. It is obvious that the effect of globalization on the world economy and its growth is enormous<sup>16</sup>. Main characteristics of globalization could be summarized as follows<sup>17</sup>:

- Market values based on supply and demand are the only accepted mechanism for national economies.
- Monopolizing the markets especially in developing countries through world trade agreement
- Culture and income changes should be directed towards the favor of consumption increase.
- Decentralization of the production process through out several developing countries to reduce production cost.
- Developing and improving transportation and communication facilities.
- Establishing multinational companies to achieve high competitive advantage.

	MINISTRY OF URBAN DEVELOPMENT AND HOUSING	Document No:--- /MUDH/xx
REGIONAL URBAN DEVELOPMENT SPATIAL PLANNING MANUAL	Issue No.1	P-- of --

- Concentrating economic processes in certain locations highly connected with the outer world.
- The increase of the aware with sustainable development issues.
- Spreading economic resources and production on the regional and international levels and not limited to the national level only.

**Economic Tools of the World New System:** Regarding the previously mentioned principals and characteristics of globalization as the major active force for the world economy. This world economic system is based on three main elements, namely:

- I.M.F International Money Fund.
- W.B The World Bank
- W.T.O (World Trade Organization )& GAT( General Agreement for Tariff & Trade).

## 2. National / Local Changes/Ethiopia/

**Political Frame work of the country :** Decentralization is an outcome of the adoption of a federal system of government in Ethiopia. With the devolution of power to the regional governments, implementation of economic policies and development programs is shifting, to a large extent, from the center to the regions.

**Economic Growth of the country:** The economy is one of the strong factors to affect the future urban system of the country. The fastest growth of the economy of the country since 2004 is affecting the urban system by causing rapid urban growth and development both in terms of urban size and number of urban centers.

**National Projects:** The following mega projects of the country may have major impacts on the urban system of the country:

- Major hydroelectric, electrification and energy projects
- Major agricultural, agro industry and rural productivity projects
- Major transportation and communication projects
- Major social infrastructure projects
- Major industrial projects
- Major resource extraction initiatives

	MINISTRY OF URBAN DEVELOPMENT AND HOUSING	Document No:--- /MUDH/xx
REGIONAL URBAN DEVELOPMENT SPATIAL PLANNING MANUAL	Issue No.1	P-- of --

## The major urban development agendas of MUDHC: It has the following nine Pillars

- City Competitiveness (taking comparative advantage)
- Small and micro enterprise development and creation of job opportunities
- Provision of housing facilities
- Urban infrastructure development
- Urban good governance
- Land Management
- Urban Environment issues
- Inclusiveness

### 2.2.13. International Best Practices In planning Regional urban Development

#### a. Urban System planning in China

China's urban system planning was carried out under the promotion of urban planning after 1978 and territorial planning after 1982 and have spread nationwide, both in the urban and regional areas.

Under the guidance of national macroscopic strategy the essential objectives of urban system planning in China are to construct an urban complex of various size, different characteristics, mutually integrated and rationally spatial allocation as well as suiting regional socio-economic development. Of course they have to be beneficial to the economy, society and environment.

The main contents of the urban system planning are to organize the so called three structures, i.e. **rank size structure, functional combination structure and spatial structure**.

The general procedure of urban system planning can be divided into the following stages: Field survey and data collection, integrated analysis, development projection, strategy formulation, planning and allocation(the design of urban system program which include function combination structure, rank size structure and spatial structure), and deposit and

	MINISTRY OF URBAN DEVELOPMENT AND HOUSING	Document No:--- /MUDH/xx
REGIONAL URBAN DEVELOPMENT SPATIAL PLANNING MANUAL	Issue No.1	P-- of --

approval (the revision by specialist and the approval by the higher authority to become guide line document).

The purpose of planning urban system in China is to establish ordered urban groups with the greatest aver all benefit in a given region adapted to the social and economic development within the region.

As a result cities and towns could be originally connected and rationally combined. So planning of urban system forms a component part of the system of spatial planning (economic regionalization- territorial or regional planning, urban system planning, and master planning).

Some aspects of the procedure to plan urban system are as follows:

1. The analysis of historic basis of the urban system development. The majorities of cities and towns in China have long history, and they have formed relatively stable social and economic relationship and sphere of influence.
2. The analysis of present situation of the urban system development. It mainly analyses the number, distribution, population, functions of cities and towns, the level of urbanization and existing contradictions and problems in the system.
3. The analysis of macro prospective social and economic strategy of the country. It studies a comprehensive plan and development strategy of the productive force of the country.
4. Prediction of regional factors affecting the development of urban system including the growth of population and labor force, shift of rural population, level of regional urbanization, exploitation of regional resource, development of regional infrastructure, developing strategy of regional strategies of regional industries and prediction of major constructive projects, etc.
5. Corresponding study on models of regional economics and urban system development. The important foundation of urban development is the situation of regional economic development.

	MINISTRY OF URBAN DEVELOPMENT AND HOUSING	Document No:--- /MUDH/xx
REGIONAL URBAN DEVELOPMENT SPATIAL PLANNING MANUAL	Issue No.1	P-- of --

6. Measures and suggestions: Recently more attentions has been paid to local policies, financial sources and fund raising, etc.

### **b. Experience of American States**

Based on the guide line prepared from experience of Organization of American States for the preparation of Integrated Regional Development Plan, Department of Regional Development Secretariat for Economic and Social Affairs of America use the three broad stages for the preparation of regional development plan. These include: designing the study, executing the study, and implementing the recommendations.

The DESIGN STAGE begins with a request for cooperation/ assistance. It includes analysis of the request and the fielding of a preliminary mission to make a quick pre-diagnosis of the region, define an expected product with the regional government, outline the work plan and the contributions of the respective stakes/parties and prepare a draft version of a technical cooperation document. It ends when the regional government signs on a technical plan preparation agreement.

The EXECUTION STAGE is divided into two phases: development diagnosis (Phase I) and Programs/project formulation and preparation of the action plan (Phase II). Phase I contains a diagnosis of the principal needs and problems of the region and its main development potentials and constraints. It ends with an Interim Report that proposes alternative development strategies and identifies potential development program/ projects. The Phase I report enables the government to formulate appropriate strategy alternatives and a group of programs/projects to be formulated in Phase II. In Phase II, the development strategy is refined, the interrelated development programs/ projects are formulated and combined into a package, and an action plan is created in terms of project/goals. Phase II ends with a Final Report, which contains the proposed action plan and interrelated programs/ projects with development timetable for their execution, as well as policy recommendations by areas and priority sectors. This report is presented to the government, for its approval, which completes the execution stage of regional development planning.

	MINISTRY OF URBAN DEVELOPMENT AND HOUSING	Document No:--- /MUDH/xx
REGIONAL URBAN DEVELOPMENT SPATIAL PLANNING MANUAL	Issue No.1	P-- of --

In the **IMPLEMENTING THE STUDY RECOMMENDATIONS** stage the following important activities are performed.

- Considering implementation in the design of the study
- Preparing for implementation during execution of the study
- Follow-up after the study is complete
- Keeping packages of projects from unraveling

## **C. The Process of Strategic Urban Development Planning In Lake Victoria Region**

### **1. Planning Approach**

Working within the context of the established broad goals and values, the process had four main in - built components.

**A consultative process** - it had meaningful involvement of a wide range of different stakeholders in the various stages of the analysis and decision making process.

**A strategic process** - it was focused in approach and systematic in the search for the most appropriate and effective solutions, keeping in mind given resources, and overall policy guidelines and principles. Consideration was given to five principal areas: (a) prioritizing on crucial issues rather than dwelling on small issues; (b) focused analysis instead of collecting enormous amounts of data that may never be used; (c) addressing root causes of problems, instead of only symptoms; (d) taking given resources and relevant context into account; (e) Identifying and analyzing alternative strategic options instead of going for preconceived solutions.

**Implementation - oriented** – it was specific in terms of proposals, responsibilities, location, time and costs to make sure delivery takes place.

### **2. Participatory Attitudes**

In the Lake Victoria Strategic Urban Development Plan, for the process to realize the five basic tenets, the following four attitudes were observed;

	MINISTRY OF URBAN DEVELOPMENT AND HOUSING	Document No:--- /MUDH/xx
REGIONAL URBAN DEVELOPMENT SPATIAL PLANNING MANUAL	Issue No.1	P-- of --

### **Every idea and everybody's view counts**

This is a simple fact although neglected by many persons. It is to recognize that different individuals and groups have (according to their respective backgrounds) different perceptions and thus assess situations differently, which then leads them to different actions. This applied to each and every person, including facilitators and organizers of the processes. The LV SUDP acknowledged that every one's view is heavy with interpretation, bias and prejudice, which imply that there are multiple descriptions and interpretations of real world phenomena, events and actions. By accepting this, it led to the understanding which is a necessary basis for all participatory processes: everyone is different and can offer important contributions to a process, as their views can complement those others, although they may look worthless or provocative at first sight.

### ***The learning attitude***

Facilitators and promoters as well as any other person involved in the LV SUDP adopted a learning attitude, through which they learnt from the persons/groups they are working with, rather than a teaching or preaching attitude. This "learning attitude" was enhanced by acknowledging persons/groups" experiences in and knowledge of their own context and living conditions, by considering them as experts in dealing with their own situation and problems. Thus the role of a facilitator(s) was to enhance the involvement of all concerned persons or groups by supporting processes (such as investigation, analysis and evaluation of problems, constraints and opportunities, and taking informed and timely decisions).

### ***Transparency***

Participatory decision-making requires readiness to reach a "win-win" compromise from all sides. An atmosphere of mutual trust is the basis for compromise and constructive co-operation and transparency by all stakeholders is a basic requirement.

	MINISTRY OF URBAN DEVELOPMENT AND HOUSING	Document No:--- /MUDH/xx
REGIONAL URBAN DEVELOPMENT SPATIAL PLANNING MANUAL	Issue No.1	P-- of --

In this realization, the LV SUDP process noted that transparency would help to avoid hidden agendas and suspicion amongst different parties and thus to prevent situations in which all parties try to protect their own interests rather than finding the most suitable compromise for all parties involved.

### ***Flexibility***

Being open to other persons' ideas and opinions is often the most difficult aspect of participatory processes. Often, their views may be difficult to understand and contradictory or incompatible with one's own ideas and beliefs. Accepting this reality requires a high degree of flexibility, as well as courage to set aside for a moment one's own perception and neutrally follow the process, being ready to rethink and re-plan at any stage, if necessary.

### **3. Principles**

Further the Lake Victoria SUDP process was guided by the following key principles in the application of participatory methods and tools;

#### ***Leading to action and debate about change***

This was in recognition that participatory processes lead to debates about desired changes in existing conditions and hence changes in the perceptions of the actors and their readiness to contemplate action. The process of joint analysis and dialogue in the LV SUDP process helped to define desired changes and visions and sought to motivate people to implement them. This action included local institution-building and strengthening, thus increasing the capacity of people to initiate collective self-help action aimed at improving their own futures in their respective towns.

#### ***Iterative Action and Stepwise Analysis***

Participation is an iterative process which should continue throughout the project cycle. A provision is given in this process that decisions or agreements should be revisited

	MINISTRY OF URBAN DEVELOPMENT AND HOUSING	Document No:--- /MUDH/xx
REGIONAL URBAN DEVELOPMENT SPATIAL PLANNING MANUAL	Issue No.1	P-- of --

Periodically and checked for validity, and adjusted to changes that may have occurred in the conditions/situations/needs in the meantime. This implies that analytical processes should follow a stepwise procedure meaning that attention must be given on general information gathering in the beginning, then on specific topics, and finally enter into a detailed (in-depth) analysis of local problems, needs and potentials. Additionally, the facilitation team constantly reviewed their findings in order to determine which direction to proceed.

***Multiple perspectives or triangulation***

Once the different points of view were taken into consideration, the output of the analysis and discussion provided a more complete and accurate picture of the situation under review. Therefore, when trying to facilitate a participatory process, the facilitators sought to mix team composition, tools and techniques, as well as sources of information/interest groups. According to LV SUDP process, team composition meant that there was multidisciplinary, gender, different backgrounds and skills, insiders and outsiders (*see item 4.2*), tools and techniques - interviewing, mapping, diagramming, ranking, observing, discussing, using secondary data and sources of information or interest groups - women and men, elders and youth, different socioeconomic groups, different professions.

***Flexibility in applying instruments and choosing degree of precision***

There is no a recipe nor blueprint on how to facilitate participatory processes. Methods and tools should not be used mechanically but should be context specific and appropriate to address the question or topic under discussion. The selection of a particular tool should also be determined by the specific characteristics of the society/community/group the participation team is working with.

For example, the aim of participatory problem analysis is not to achieve absolute accuracy (one does not have to know/discuss everything), but an appropriate or adequate degree of precision. In order to determine what is “adequate”, facilitators

	MINISTRY OF URBAN DEVELOPMENT AND HOUSING	Document No:--- /MUDH/xx
REGIONAL URBAN DEVELOPMENT SPATIAL PLANNING MANUAL	Issue No.1	P-- of --

should ask themselves “What kind of information is required, for what purpose, and how much information will people need for their analysis?”

### ***Visual haring***

Through visualization within a participatory process, participants have the opportunity to follow a discussion easier, especially illiterate people and people who join a session later than others. The process ensured that maps, diagrams, rankings and other forms of visualization tools were used to promote consensual decision-making since everybody is able to directly express their opinion on a chart or on the ground.

### ***Group Learning***

The LV SUDP ensured that the workshops are best facilitated by the use of interdisciplinary teams. This was after realizing that the complexity of most situations would only be revealed through group analysis and interaction, thus allowing for different experts to contribute.

### ***Self-critical Awareness***

UN-Habitat and the respective Consultants were careful to constantly analyze their own biases. This was meant to constantly reflect upon the phenomena they felt they had perceived, actually heard and observed and which they had already judged or interpreted.

## **4. The Phases of the Strategic Urban Development Planning Process**

The process of preparing Strategic Urban Development Plans in the Lake Victoria region has four distinct stages as follows:

**Stage 1:** Development of digitized up-to-date Base, Thematic and Issue maps for the towns, as well as their socio-economic, environmental and structural profiles.

**Stage 2:** Organization of consultative workshops of key stakeholders for the towns to develop shared visions for the towns" future.

	MINISTRY OF URBAN DEVELOPMENT AND HOUSING	Document No:--- /MUDH/xx
REGIONAL URBAN DEVELOPMENT SPATIAL PLANNING MANUAL	Issue No.1	P-- of --

**Stage 3:** Development of Strategic Urban Development Plans for the towns, based on the agreed future visions for the towns.

**Stage 4:** Approval of the Plans by the respective authorities

#### **2.2.14. Assessment on experiences of regions on Planning Regional Urban Development / Ethiopia local experience/**

##### **1. History of Regional Planning in Ethiopia**

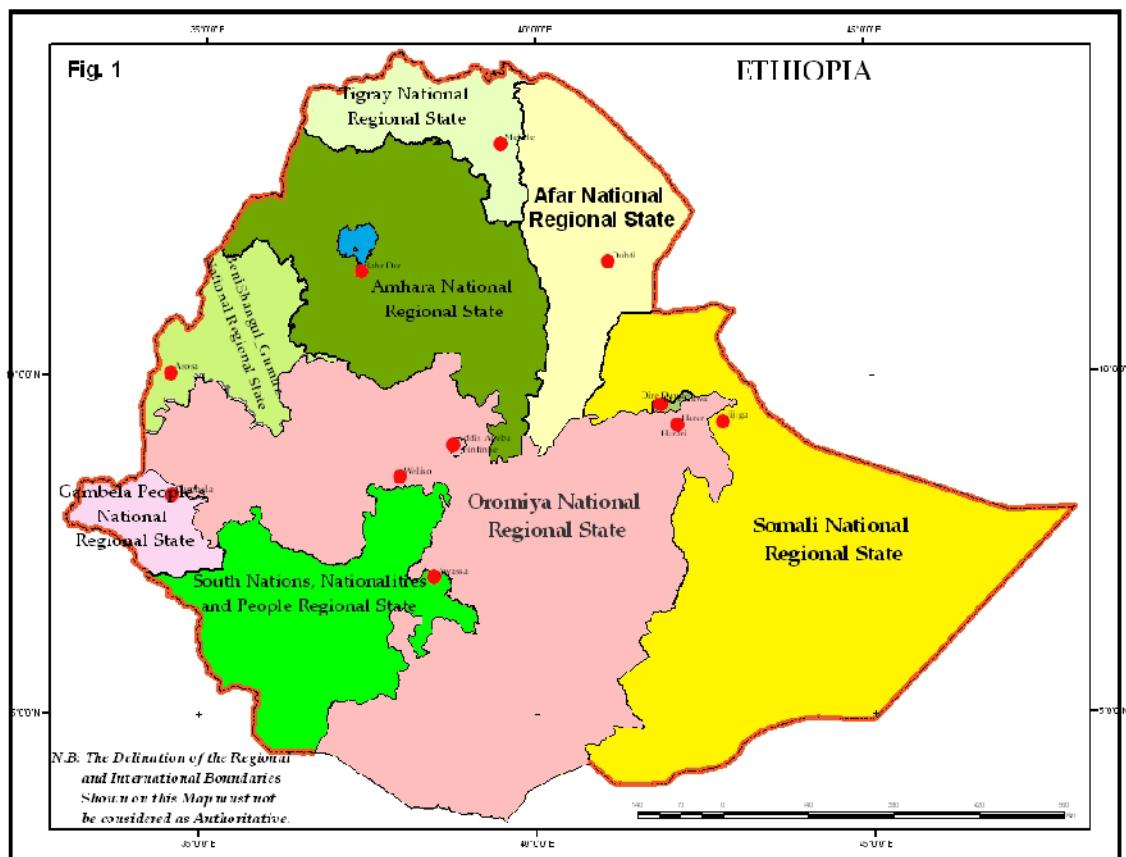
###### **The Post 1991, the Federal system of Government**

After years of management under command economy, protracted civil war and recurring drought, the Transitional Government of Ethiopia was formed in 1991.

It began a broad spectrum of reform measures to address both the immediate need of economic recovery and reconstruction to jump start the economy, while addressing the long-term structural problems of underdevelopment.

In 1992 the Transitional Government embarked upon a decentralized political, administrative and economic structures and powers instead of the past centralized systems. The government enacted proclamation (TGE, 1992a) which established the National Regional Self-Government.

Accordingly, nine national regional states and two city administrations were established on the bases of settlement patterns, language, identity and consent of the people concerned.

**Figure 2. Regions of Ethiopia**

## 2. The Current Experience of regions in the Preparation of Regional Strategic Urban Development Plan

### Regional development and planning under the federal arrangement

The new federal system has made it possible for regional development concerns to be at the top of the government agenda in national policy making and it paved the way for decentralized decision-making.

The role of local communities in regional development planning is increased. The regional and sub-regional authorities have now more roles in public and private investment. The

	MINISTRY OF URBAN DEVELOPMENT AND HOUSING	Document No:--- /MUDH/xx
REGIONAL URBAN DEVELOPMENT SPATIAL PLANNING MANUAL	Issue No.1	P-- of --

regions have the power and responsibility to prepare, approve and implement their own plans, in accordance with the concrete situations of their regions and key national policy objectives.

**Inter-regional allocation of grants** is an important instrument of regional development and has occupied a prominent position in the economic and social development of regions. Allocating grants among different regions using a formula that has equity bias in its criteria and computations. The formula has been carried out in a highly participatory and transparent manner with regional states. The equity bias is derived from the intention of the government to redistribute the fruits of development. Criteria in allocating resources to different regions include revenue generation capacity and expenditure needs of the regional states.

**a. Strategic Regional Development Planning: The Case of Oromiya Regional State, Ethiopia**

The administrative structure of the Oromiya Region Has

- four ladders of administration: the region, zone, woreda/district and town/kebele
- Eighteen zones,
- 265 aanaas/districts and
- 39 urban administrations.
- There are 6500 lowest administrative units /villages in the region.

**Organs of the Regional State comprises:**

- The 'Caffee' or parliament, which is vested with the legislative power and is the supreme organ;
- The Administrative Council, in which the executive power is vested and is accountable to the 'Caffee' and
- The Court, in which the judicial power is vested.

The Regional Government instituted various executing and administrative organs at different administration levels (Teshome Negussie , 2013).

	MINISTRY OF URBAN DEVELOPMENT AND HOUSING	Document No:--- /MUDH/xx
REGIONAL URBAN DEVELOPMENT SPATIAL PLANNING MANUAL	Issue No.1	P-- of --

## **Integrated regional development planning exercise in the Region**

The procedure of plan preparation involves two main processes: the planning and the budgeting processes.

### **The planning process**

The regional government of Oromiya has institutionalized the planning system at each level of administration.

a. The Regional Development Plan

- ✓ The actual process of plan formulation at regional and district level is a combination of top-down and bottom-up approaches.
- ✓ The planning process is initiated by regional administration and BoFED.
- ✓ The planning system closely follows the local government system.(region, zone, district, village)
  - Community , district , zone, sector Bureau, BoFED (sectors)
  - Community, district, zone, BoFED (BoFED line)
  - Sectors report both to their line sector and BoFED at each level of administration
- ✓ The councils, the administrations and the bureaus are involved in their development planning process. Moreover the urban community, public institute and other stakes involve in the planning process.
- ✓ The core issues considered in the preparation of regional development plan are regional economic development, environment protection, rural to urban, urban to urban linkage and good governance.
- ✓ The administration is responsible for different bureaus, departments, and offices at regional, zonal and district levels respectively.
- ✓ The administration at each level plays the central role in recommending the plan and budget.
- ✓ The administrations are technically supported by planning and sector units at each level of government structure

	MINISTRY OF URBAN DEVELOPMENT AND HOUSING	Document No:--- /MUDH/xx
REGIONAL URBAN DEVELOPMENT SPATIAL PLANNING MANUAL	Issue No.1	P-- of --

- ✓ Approval and appropriation of the plan and budget is done by the region and district council in their area of operation.
- ✓ The planning units are the regional finance & economic development bureaus, zonal departments and district offices which have cross sectoral mandates.
- ✓ Sector panning units are responsible for planning for their own sectors and submitting the same for horizontal planning units at each level of government structure.
- ✓ Planning at the village level is managed by a village development committee.
- ✓ At all levels of planning, community has a say and is participating starting from identification of development activities to the level of implementation and monitoring and evaluation.
- ✓ There are still, however, capacity gaps not only at the community level but also at all levels of administration in the area of integrated regional development planning
- ✓ The budget process follows similar trend as the planning one. Implementation is solely managed by respective sector/sectors institutions found at all level. All government institutions at all levels have their own medium term and annual development plans.

**b. Experience of the region in The preparation of regional urban development strategy**

Following the preparation of the National Urban Development Policy (draft document), the Oromiya region has got an important key document which gives platform for the preparation and implementation of the region's urban development strategy. Based on National Urban Development Policy frame work, the region developed its own Regional Urban Development Strategy( draft document) in 2005.

This strategy has been prepared through the following procedures:

1. Review of National Policy frameworks and Strategies
2. Data is collected and analyzed.
3. Regional Urban Development Strategy Issues are Identified

➤ Poor Integration of Regional Sectoral And Spatial Development

	MINISTRY OF URBAN DEVELOPMENT AND HOUSING	Document No:--- /MUDH/xx
REGIONAL URBAN DEVELOPMENT SPATIAL PLANNING MANUAL	Issue No.1	P-- of --

- Unplanned Development Of Urban Areas And Urban Agglomeration
- Poorly Developed City Systems
- Regional Imbalance in Urbanization
- Population Dynamics and Migration to Towns
- Economic Development Sectors
- Urban-Rural Linkages
- Road Network and Transportation
- Expansion of Urban Areas and Linkage to Surrounding Communities
- Population Services and Urban Hinterlands
- Cross Regional Border Coordination Issues

4. Identifying Strategy Components: At City – Level, Sub-regional and Regional Level

**Strategy Components: At City – Level**

- Component One: Improved Practical Urban Planning and Land Management
- Component Two: Strategic Interventions in Specific Urban Areas
- Component Three: Social Development & Poverty Alleviation Cluster
- Component Four: Local Economic Development Cluster
- Component Five: Strengthening City Finances and Technical Capacities
- Component Six: Infrastructure Provision and Improvement
- Component Seven: Housing Provision and Improvement

**Strategy Components: At Sub-regional and Regional Level**

- Component Eight: Inserting City Systems within Regional Development Plans
- Component Nine: Cities and Population Services Catchment Areas

	MINISTRY OF URBAN DEVELOPMENT AND HOUSING	Document No:--- /MUDH/xx
REGIONAL URBAN DEVELOPMENT SPATIAL PLANNING MANUAL	Issue No.1	P-- of --

- Component Ten: Strengthening Urban Rural Linkages

5. Strategies are designed
6. A Strategy for Advocating Urban Development

### **Budget to regions**

How is the budget allocated between regions? Here **equity** appears to be the guiding principle.

- Budget is allocated between regions in accordance with the Federal criteria which considers revenue generation capacity (induce more revenue generation) and expenditure needs (equity issue) of the regions.

- Then regions (Oromiya in this case) in turn allocate its budget between:

1. Regional bureaus
  - Capital expenditure =, i.e. for development projects keeping the equity issue; and
  - Recurrent expenditure.
2. As a Block grant to districts

In addition to the block grant (sources from treasury and foreign sources) from the federal government, the region has sources of fund from its own revenue and retained revenue.

- Budget allocation between sectors and projects is in accordance with the general policy direction and concrete development situations of their respective zones.
- The regional government of Oromiya allocate budget between districts based on the block grant formula which is based on expenditure needs and infrastructure deficit of the districts. More than 60% of the total budget of the regional state is allocated to the districts using District Budget Allocation Formula in Oromiya.
- Sources of budget for district include block grant from the regional state and districts' own revenue.

	MINISTRY OF URBAN DEVELOPMENT AND HOUSING	Document No:--- /MUDH/xx
REGIONAL URBAN DEVELOPMENT SPATIAL PLANNING MANUAL	Issue No.1	P-- of --

### Why block grant to districts?

The major purpose of decentralizing budget to *districts* is to create local autonomy in order to allocate budget on their own development priorities and equity issue.

### b. Integrated Regional Development Planning: The Case of Somali Regional State

The administrative structure of the Somali Region Has:

- four ladders of administration: the region, zone, woreda/district and town/kebele
- Nine zones,
- 68 woreda/districts and
- 4 urban administrations.

### Organs of the Regional State comprises:

- The parliament, which is vested with the legislative power and is the supreme organ;
- The Administrative Council, in which the executive power is vested and is accountable to the parliament. Three hierarchically organized councils are exercising their power in the region. They are Regional council, Woreda council, and city council.
- The Court, in which the judicial power is vested.

### The Annual Plans

- The annual plans are derived from Regional Strategic Plan
- These plans are prepared by concerned sector bureaus
- The plans are prepared through the evaluation of the preceding year performance
- Stakeholders are sector bureaus, woreda and city administrators
- Budget allocation is through formula which consider different factors
  - Population
  - Infrastructure deficit
  - Potential revenue

	MINISTRY OF URBAN DEVELOPMENT AND HOUSING	Document No:--- /MUDH/xx
REGIONAL URBAN DEVELOPMENT SPATIAL PLANNING MANUAL	Issue No.1	P-- of --

- Before the ratification there is hearing in the BoFED, the bureau defend how they planed, priority of the plan and the alignment of the plan with their mandate is also evaluated.
- Reviewing of the plan for correction if there is unbalance in the regional budget.
- The cabinet discuss on the plan and finally it is sent to the regional council.
- At the end Ratified and Notified

### **Regional Strategic Planning (RSP) exercise in the Somali Region**

There are three different phases in the regional strategic planning process:

#### **1. Plan initiation phase**

The major activities are:

- Planning to plan – BoFED takes the initiatives for the RSP process
  - Preparation of training document
  - Development of the training proposal
    1. Introduction
    2. Objectives
    3. Expected outputs
    4. Budget breakdown
    5. Implementation schedule
    6. Assignments
- Regional Cabinet are given awareness BoFED.
- Regional Strategic Planning team formulation

The team comprises:

- The top leader of BoFED
- Technical team of BoFED
- Sector bureau planning department
- The regional cabinet

	MINISTRY OF URBAN DEVELOPMENT AND HOUSING	Document No:--- /MUDH/xx
REGIONAL URBAN DEVELOPMENT SPATIAL PLANNING MANUAL	Issue No.1	P-- of --

- MoFED ( Supporting and Capacity building, Consultation, for planning bi-lateral development programs with neighbored regions)

The Regional council was top director of the planning process

## 2. The Planning Phase

- Identification of the planning issues
- Institutional cooperation
- Data is collected and analysed
- Referring international and national development goals
- Strategic goals of the region are formulated
- Setting targets of every sector
- Discussion with stake holders and refining process are made through debate
- Formulation of implementation strategy for each sector
- Program formulation
- Annual development plans break down of the five year for each sector
- Budget is estimated for five years
- Finding the source of budget

The region has different strategic direction to find the source of budget for the development process of the region

1. The Federal Government
2. Regional Revenue
3. Development partners (UN organizations, other international and local NGOs)
4. Regional Development Association
5. Community contribution

	MINISTRY OF URBAN DEVELOPMENT AND HOUSING	Document No:--- /MUDH/xx
REGIONAL URBAN DEVELOPMENT SPATIAL PLANNING MANUAL	Issue No.1	P-- of --

## 6. World Financial Institutes (WB, ADB etc)

- Cascading the goals for mandated sectors
- The intra regional budget allocation is based on formula and regional development priorities
- Generally RSP preparation has taken 4 to 6 month period

The region has the following core planning issues or planning principles

- Community development needs through integrated community based development planning.
- Accelerated, integrated, equitable balanced socio economic development
- Efficient and effective utilization of resource
- Participatory
- Equity

Opportunities of planning and implementing RSP are:

- Global Development Plans ( MDGs)
- Political commitment at national and regional level
- Development partners

However the region had some challenges through the preparation of RSP

- Documentation problem for easy access of the required data
- Skill and knowledge
- Frequent turnover of the expertise and leaders
- Limited financial resources
- Weak linkage of the region with the federal sector ministers during planning periods

## c. Integrated Regional Development Planning: The Case of Tigrai Regional State

The administrative structure of the Tigrai Region Has:

- four ladders of administration: the region, zone, woreda/district and town/kebele
- seven zones,
- 53 woreda/districts and

	MINISTRY OF URBAN DEVELOPMENT AND HOUSING	Document No:--- /MUDH/xx
REGIONAL URBAN DEVELOPMENT SPATIAL PLANNING MANUAL	Issue No.1	P-- of --

- 18 urban administrations.

**Organs of the Regional State comprises:**

- The parliament, which is vested with the legislative power and is the supreme organ;
- The Administrative Council, in which the executive power is vested and is accountable to the parliament. Three hierarchical councils are exercising their power in the region. They are Regional council, Woreda council, and city council.
- The Court, in which the judicial power is vested.

**The Annual Plans**

- The responsible stakes for planning annual development issues are concerned sector bureaus, woredas and urban administrations
- The planning process is through integrated community based participatory planning.
- Planning is through top – down and bottom – up approach.
- Budget allocation is through formula which consider different factors
  - Population
  - Infrastructure deficit
  - Potential revenue
- Approval is by regional council following four steps
  1. Budget call
  2. Hearing
  3. Discussion at cabine level
  4. Ratified by regional council
- Budget allocation is based on
  - Block Grant formula
  - Prepared plan %( Regional, woreda, ketema)

**Regional Strategic Planning (RSP) exercise in the Tigrian Region**

There are different phases in the regional strategic planning process:

**1. Plan initiation phase**

	MINISTRY OF URBAN DEVELOPMENT AND HOUSING	Document No:--- /MUDH/xx
REGIONAL URBAN DEVELOPMENT SPATIAL PLANNING MANUAL	Issue No.1	P-- of --

The major activities are:

- BoFED takes the initiatives for the RSP process
  - Preparation of Terms of Reference
  - Planning committee formulation( Which comprises BoFED, Sector bureaus, Federal planning institutions, Federal sector ministries, Financial institutes, Development partners...)
  - Identification of the major planning issues
  - Committee Work plan preparation
  - Development Forum formulation (comprising civic institutions, religious institutions ...) to take part their share in the plan preparation and in all plan implementation.

The Regional council was top director of the planning process acting as plan commission

## 2. The Planning Phase

- Data is collected and analyzed to know the current situation of the region
- international and national development goals are assesed
- Regional Targets are set in each development sectors
- Compiling to be the regional Plan
- Discussion with stake holders.
  1. Discussion with development forum
  2. By Cabine
  3. Regional council
- Ratifying the plan by regional council
- Signing on the plan
- Cascading for sectors for implementation
- Annual development plans are prepared in each sector to achieve the target set

	MINISTRY OF URBAN DEVELOPMENT AND HOUSING	Document No:--- /MUDH/xx
REGIONAL URBAN DEVELOPMENT SPATIAL PLANNING MANUAL	Issue No.1	P-- of --

The region has different strategic direction to find the source of budget for the development process of the region

- The Federal Block grant
- Regional Revenue
- Development partners (UN organizations, other international and local NGOs)
- Regional Development Association
- Regional income
- World Financial Institutes (WB, ADB etc)
- The intra regional budget allocation is based on formula and regional development plans

The region has the following core planning issues or planning principles

- Global Development Goals
- Federal Development Strategy
- Sustainability of the Regional Development
- Accelerated, integrated, equitable balanced socio economic development
- Participatory
- Equity
- Transparency

Opportunities of planning and implementing RSP are:

- Political commitment at national and regional level
- Development partners

However the region had some challenges through the preparation of RSP

- Problems of the required data
- Human resource (Skill and knowledge )

	MINISTRY OF URBAN DEVELOPMENT AND HOUSING	Document No:--- /MUDH/xx
REGIONAL URBAN DEVELOPMENT SPATIAL PLANNING MANUAL	Issue No.1	P-- of --

## **Experience of the Tigray region in The preparation of regional urban development strategy**

The Regional Urban Development Strategy (with Five Year Implementation Plan) for the Tigray National Regional State (TNRS) was prepared in the year 2006. This document has three different strategic sections which include *The Regional Context for Urban Development, A Strategy for Better Integrated Regional and Urban Development, and A Strategy for Better Quality Development Within Major Urban Centers*. The organization of the document is as follows:

### 1. Identification of regional priorities for urban development

- Setting vision of the regional development
- Setting the Overall Goals of the Tigray National Regional State

### 2. Analysis of the regional context for urban development

#### Brief Geography

#### Population Distribution and Projections

#### Physical and Social Infrastructure

#### The Urban Network

#### The Economy

### 3. Strategy development for Integrated Regional and Urban Development(SDIRUD)

### 4. Strategy development for Better Quality Development within Major Urban Centers

## **d. Integrated Regional Development Planning: The Case of Harar Regional State**

The administrative structure of the Harar Region Has:

- four ladders of administration: the region, woreda/ district and kebele
- 9 woreda/districts and
- 36 kebele.

## **Organs of the Regional State comprises:**

- The parliament, which is vested with the legislative power and is the supreme organ;

	MINISTRY OF URBAN DEVELOPMENT AND HOUSING	Document No:--- /MUDH/xx
REGIONAL URBAN DEVELOPMENT SPATIAL PLANNING MANUAL	Issue No.1	P-- of --

- The Administrative Council, in which the executive power is vested and is accountable to the parliament.
- The Court, in which the judicial power is vested.

### **The Annual Plans**

- The responsible stakes for planning annual development issues are concerned sector bureaus, woredas and urban administrations
- Planning is through top – down and bottom – up approach.
- Budget allocation is through formula which consider different factors
  - Population
  - Infrastructure deficit
  - Potential revenue
- Approval is by regional council following four steps
  - Discussion at cabine level
  - Ratified by regional council
- Budget allocation is based on
  - Block grant formula
  - Prepared plan %( Regional, woreda, ketema)

### **Regional Strategic Planning (RSP) exercise of the Harar Region**

There are different phases in the preparation of regional strategic plan:

#### **Plan initiation phase**

The major activities are:

- BoFED takes the initiatives for the RSP process
  - Preparation of Terms of Reference
  - Planning technique committee formulation
  - Formulation of steering committee to supervise and oversee the planning process.
  - Identification of the major planning issues

	MINISTRY OF URBAN DEVELOPMENT AND HOUSING	Document No:--- /MUDH/xx
REGIONAL URBAN DEVELOPMENT SPATIAL PLANNING MANUAL	Issue No.1	P-- of --

- Committee Work plan preparation

### **The Planning Phase**

- Evaluation of the implementation of the previous Strategic Plan (PASDEP)
- Socio economic data is collected and analyzed to know the current situation of the region.
- international and national development goals are assessed
- Regional Targets are set in each development sectors
- Discussion with stake holders.
  - Conducting public discussion
  - Discussion with civic societies
  - Conducting discussion at middle level administrators
  - Conducting discussion at higher level administrators
  - Incorporating the comments
- Ratifying the plan by regional council.
- Publication and dissemination
- Cascading for sectors for implementation
- Evaluating the implementation process annually

The region has different strategic direction to find the source of budget for the development process of the region

- The Federal Block grant
- Regional Revenue
- Aids from development partners (UN organizations, other international and local NGOs)
- Regional Development Association
- Direct beneficiaries contribution

	MINISTRY OF URBAN DEVELOPMENT AND HOUSING	Document No:--- /MUDH/xx
REGIONAL URBAN DEVELOPMENT SPATIAL PLANNING MANUAL	Issue No.1	P-- of --

- Loans from Financial Institutes (WB, ADB etc)
- The intra regional budget allocation is based on formula and regional development priorities.

The region has the following core planning issues or planning principles

- Global Development Goals
- Federal Development Strategy
- Linkage
- Identification of the comparative advantage of the region
- Poverty alleviation
- Preservation of culture and heritage of the region
- Participatory
- Equity
- Transparency

Opportunities of planning and implementing RSP are:

- Availability of policy and development strategies
- Ease access to information
- Small size of the region
- Political commitment at national and regional level
- Development partners

However the region had some challenges in the course of preparing RSP

- Reliable data sources
- Human resource (Skill and knowledge of planning )
- Absence of regional development planning tool
- Financial limitation
- Appropriate organizational structure for planning
- Lack of attention for scientific planning process

	MINISTRY OF URBAN DEVELOPMENT AND HOUSING	Document No:--- /MUDH/xx
REGIONAL URBAN DEVELOPMENT SPATIAL PLANNING MANUAL	Issue No.1	P-- of --

## 2.2.15. Lesson learned from international and local experiences on regional urban development planning

### China

- The essential objectives of urban system planning in China are to construct an urban complex of various size, different characteristics, mutually integrated and rationally spatial allocation as well as suiting regional socio-economic development.
- The main contents of the urban system planning are to organize the so called three structures, i.e. rank size structure, functional combination structure and spatial structure.
- The urban system planning is done through step by step procedure having the following stages: Field survey and data collection, integrated analysis, development projection, strategy formulation, planning and allocation and deposit and approval.
- The purpose of planning urban system in China is to establish ordered urban groups with the greatest aver all benefit in a given region adapted to the social and economic development within the region.
- Analytical contents in the urban system plan include: historical basis of the urban system development, present situation of the urban system development, macro prospective social and economic strategy of the country,
- Prediction of regional factors affecting the development of urban system
- Corresponding study on models of regional economics and urban system development.

### American States

- The preparation of regional development plan in American states follows three broad stages. These include: designing the study, executing the study, and implementing the recommendations.
- The designed regional development strategies are achieved through the formulation of programs and projects.

	MINISTRY OF URBAN DEVELOPMENT AND HOUSING	Document No:--- /MUDH/xx
REGIONAL URBAN DEVELOPMENT SPATIAL PLANNING MANUAL	Issue No.1	P-- of --

## Strategic Urban Development Planning In Lake Victoria Region

- Strategic Urban Development Planning In Lake Victoria Region has different approach: a consultative process, a strategic process and implementation – oriented.
- The Lake Victoria SUDP process was guided by the key principles.
- The preparing Strategic Urban Development Plans in the Lake Victoria region is done through four distinct stages.
- The development of digitized up-to-date Base, Thematic and Issue maps for the towns, as well as their socio-economic, environmental and structural profiles as well as organization of consultative workshops for key stakeholders are the important first stages in the preparing Strategic Urban Development Plans.

### B. Lesson learned from local experiences

#### Oromiya Regional State

- The actual process of plan formulation at regional and district level is a combination of top-down and bottom-up approaches.
- Regional Urban Development Strategy Issues are Identified
- Identification of Strategy Components: At City – Level, Sub-regional and Regional Level

#### Somali Regional State

- The Regional Strategic Planning process has different phases
  1. Plan initiation phase – Planning to plan, Planning team are formulated composed of all stakes, development of the training documents etc
- The planning phase – socioeconomic data are collected and analyzed to know where the region is, international and national development goals are referred, formulate implementation strategy for each sector, Programs are formulated, annual development plans break down of the five year for each sector.

➤ The region has different strategic direction to find the source of budget

	MINISTRY OF URBAN DEVELOPMENT AND HOUSING	Document No:--- /MUDH/xx
REGIONAL URBAN DEVELOPMENT SPATIAL PLANNING MANUAL	Issue No.1	P-- of --

- The annual plans are derived from Regional Strategic Plan
- Accelerated, integrated, equitable balanced socio economic development is core principle of the region among others.

### **Tigray Regional State**

- The Regional Strategic Planning is done through different phases
  1. Plan initiation phase- Preparation of Terms of Reference, Planning committee and development forums formulation, Committee Work plan preparation,
  2. Planning phase - All the necessary data are collected and analyzed, development targets are set after the assessment of international and national development goals, discussion with stake holders in each and every steps.
- Regional council was top director of the planning process acting as plan commission
- Sustainability of the Regional Development is one of the core planning principle among others
- More over the lessons learned from the preparation of the RSP, experiences are also taken as a lesson from the preparation of regional urban development planning process
  1. Identification of regional priorities for urban development
  2. Analysis of the regional context for urban development
  3. Strategy development for Integrated Regional and Urban Development(SDIRUD)
  4. Strategy development for Better Quality Development within Major Urban Centers

### **Harar Regional State**

- Preparation of regional strategic plan is done through step by step procedures
- Planning phase is started by evaluation of the implementation of the previous Strategic Plan (PASDEP)
- Identification of the comparative advantage of the region and preservation of culture and heritage of the region are two of the planning principles of the region among others

	MINISTRY OF URBAN DEVELOPMENT AND HOUSING	Document No:--- /MUDH/xx
REGIONAL URBAN DEVELOPMENT SPATIAL PLANNING MANUAL	Issue No.1	P-- of --

- The region has different strategic direction to find the source of budget for the development process of the region
  - The Federal Block grant
  - Regional Revenue
  - Aids from development partners (UN organizations, other international and local NGOs)
  - Regional Development Association
  - Direct beneficiaries contribution
  - Loans from Financial Institutes (WB, ADB etc)
- The intra regional budget allocation is based on formula and regional development priorities.

## **2.2.16. Assessment on the Urban System of Ethiopia / regional level/**

### **A. Degree of Urbanization**

#### **3. Level**

In order to have a clear idea about urbanization, examining urbanization trend may be best appreciated using the degree of urbanization interims of indices such as the proportion of urban population, rate of urbanization and the like.

According to the CSA 2007 census report for the national, the level of urbanization of the country has found to be 16.08%. With regard to regional level of urbanization, the census result has shown disparities that manifest location imbalance. However, the result of the level of urbanization of the four sample regions described in this study varies significantly from CSA 2007 result. This difference is primarily derived from the definition of ‘urban area’ used for the two analysis. The Central Statistical Agency (CSA) defines urban areas as all administrative capitals of regions, zones and woredas, as well as localities with at least 1,000 people who are primarily engaged in non-agricultural activities, and/or areas where the administrative official declares the locality to be urban. But the definition used in this study is the definition given on Urban Planning Proclamation No. 574/2008. And as to this percolation “Urban Center” means any locality with established municipality or having a

	MINISTRY OF URBAN DEVELOPMENT AND HOUSING	Document No:--- /MUDH/xx
REGIONAL URBAN DEVELOPMENT SPATIAL PLANNING MANUAL	Issue No.1	P-- of --

population size of 2000 or above inhabitants, of which 50% of its labor force is primarily engaged in non-agricultural activities. So based on this definition the urban centers are screened from CSA 2007 results and the study documented the following results for sample regions as shown in the table below.

**Table 1. Level of Urbanaization in the Regions of Ethiopia.**

Name of the Sample regions	2007		
	No of towns	Urban Popn No	% of the total
National	-	11,862,821	16.08
Oromiya Region	316	3252505	12.1
SNNPR	137	1,439,933	9.6
Harar	1	99,368	54.18
Tigray	55	840227	19.46
Amhara	179	2077509	12.1

Source: CSA, 2007 and Own calculation, 2013

According to this result excluding Harar (town region), the Tigray region has found to be the highest in terms of the level of urbanization (urban proportion) having 19.46 % followed by Amhara and Oromiya with same result 12.1% and the lowest urbanization level (9.6%) is observed in SNNPR of the sample regions. But in terms of the number of towns based on the Urban Planning Proclamation No. 574/2008 definition, Oromiya Region has found to have 316 numbers of towns with population above 2000. And in Amhara, SNNPR and Tigray regions there are 179, 137 and 55 number of towns respectively.

#### **4. Growth Rate**

Urban growth has been rapid over the last 3 decades. Since the previous census in 1994, new cities were created, and economically viable cities have experienced large growth in population count and density.

Based on the projection made for this study using the census result 1994 and 2007, the growth rate of urbanization is found to be 3.54% at national level and it has shown

	MINISTRY OF URBAN DEVELOPMENT AND HOUSING	Document No:--- /MUDH/xx
REGIONAL URBAN DEVELOPMENT SPATIAL PLANNING MANUAL	Issue No.1	P-- of --

variation at regional level ( see table .....). Accordingly SNNPR found to have the highest rate of urbanization (5.79%) followed by Tigrai (4.53) and Oromiya (4.01) and the lowest rate of urbanization is observed in Harar Region (2.02%).

**Table 2. Urbanization Growth Rate in the Regions of Ethiopia.**

Name of the Sample regions	Urbanization G.R.
	1994-2007(CSA)
National	3.54
Oromiya Region	4.01
SNNPR Region	5.79
Harare Region	2.02
Tigrai Region	4.53
Amhara Region	3.94

**Source: CSA, 2007 and Own calculation, 2013**

## **B. Spatial Distribution of Urban Settlements**

Due to the over concentration of population in capital cities of regions, none of the secondary cities could compete with them. Aside from Addis Ababa the primate city of the country there is no city of a population size over 1 million or even 500,000 population in the regions of Ethiopia. Table (3) indicates the classification of urban settlements according to their size at regional level in the year 2007.

### **Urban Hierarchy:**

As it has been mentioned by John R. Short (1980) by the term urban hierarchy, it simply means that the presence and ordering of urban centers of one country or one region.

Urban hierarchy can be studied in terms of size- class, rank size distribution and primacy analysis.

#### **1. Size - Class distribution**

	MINISTRY OF URBAN DEVELOPMENT AND HOUSING	Document No:--- /MUDH/xx
REGIONAL URBAN DEVELOPMENT SPATIAL PLANNING MANUAL	Issue No.1	P-- of --

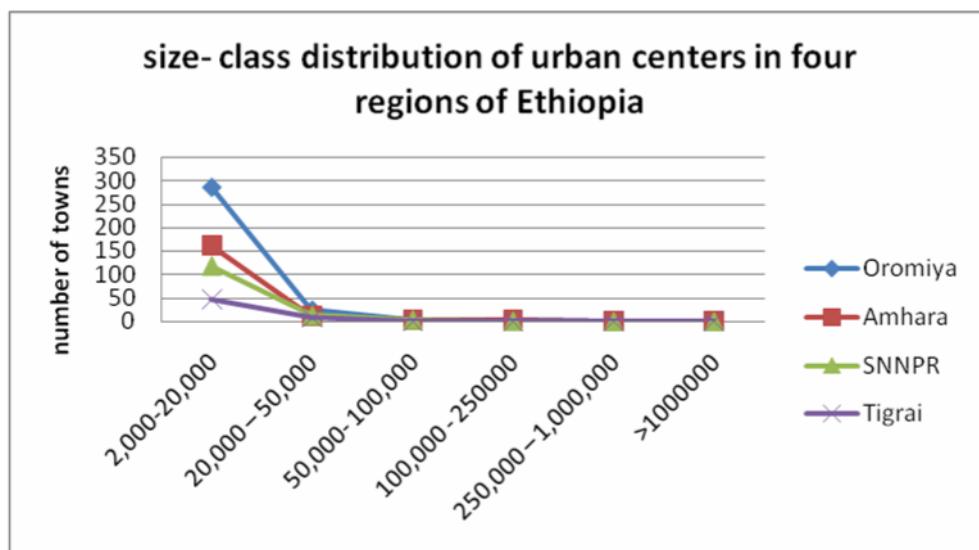
The study made in this section focuses on the assessment of the size-class distribution of the sample regions for this study in Ethiopia. Based on the definition of urban centers stated on urban planning proclamation, urban centers are screened from the previous census result 2007. Accordingly the result has shown that the urban centers having the population 2000 – 20,000 found to be the residence of the 54.4% Oromiya, 51.8 % Amhara, 46.5 % of the SNNPR and 38.8% of the Tigray urban settlers. The proportion of urban settlers which live in the large urban centers (>100,000) is very low. As it is shown in the table below the number of urban centers having a population above 250,000 is completely zero in these four regions of the country.

**Table 3. Class - Size Distribution.**

Size class	Oromiya		Amhara		SNNPR		Tigrai	
	No. Of towns	% of the urban pop.	No. Of towns	% of the urban pop.	No. Of towns	% of the urban pop.	No. Of towns	% of the urban pop.
2,000-20,000	286	54.4	161	51.8	119	46.5	46	38.8
20,000 – 50,000	24	24.5	11	13.3	13	23.2	7	28.7
50,000- 100,000	3	7.5	4	11.6	4	19.5	1	6.9
100,000 - 250000	3	13.6	3	23.2	1	10.9	1	25.7
250,000 – 1,000,000	0	0.0	0	0.0	0	0.0	0	0.0
>1000000	0	0.0	0	0.0	0	0.0	0	0.0
Total	316	100	179	100	137	100	55	100

**Source:** CSA, 2007 and Own calculation, 2013

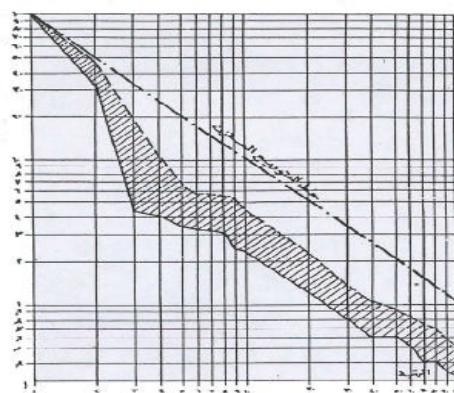
With regard to the size class distribution of Ethiopia, most of the urban centers of the country are characterized by their very small nature. Of the sample regions total urban centers (687) the 612 which is the 89.1% are found to be small towns having a population between 2000 and 20,000; and But only 12 towns are found to be in 50,000- 100,000 and the remaining only 8 towns fond to have a population between 100,000 - 250000.

**Figure 3. Size-Class Distribution of Urban centers in four regions of Ethiopia**

Source: CSA,2007 and Own graph, 2013

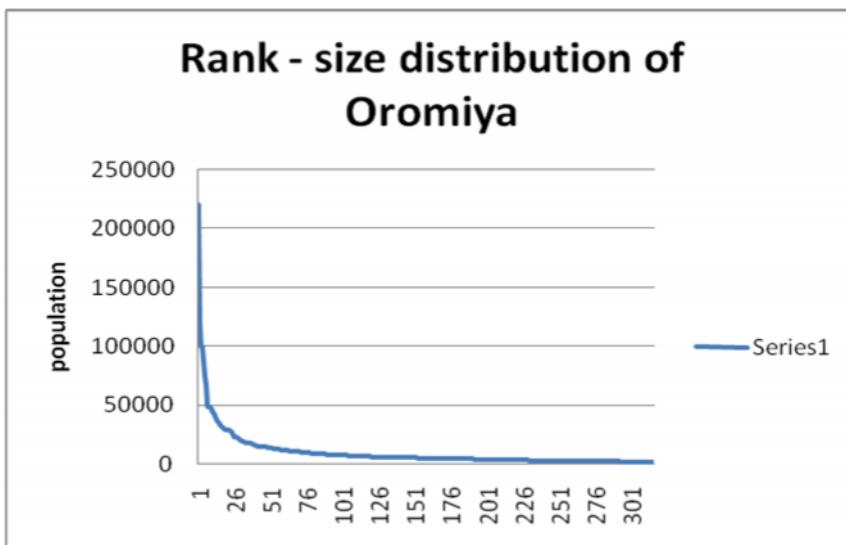
## 2. Rank Size Distribution:

It refers to the arrangement of cities and towns in an area with regard to their economic administration position and population size. Using double logarithmic graph paper and plotting the population size of settlements on the vertical scale and the rank order on the horizontal scale can depict the nature of the urban hierarchy. John R Short(1980) has identified three types of the urban hierarchy relationship or rank size distribution. This includes the regular distribution, primate distribution and intermediate distribution. The regular distribution, as it has been termed, occurs when there is a continuous relationship between size and rank, i.e. the straight line relationship. The primate distribution refers to the domination of urban hierarchy by the primate city, where the larger city has proportionally larger population than the other. The intermediate distribution refers to those variety relationship found in between the two extremes of regular and primate distribution. We can easily understand the straight line relationship looking at fig 5.

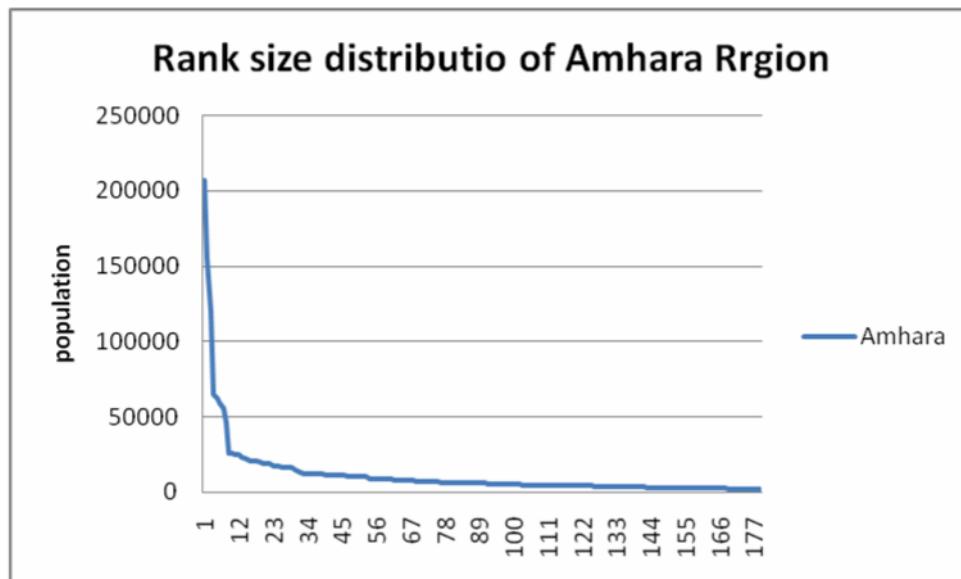
**Figure 4. Rank size distribution of urban system of Egypt in 1996**

The graphical theoretical presentation of the rank size distribution of the urban system of regions of the Ethiopia shows major deviation from the standard rank size distribution.

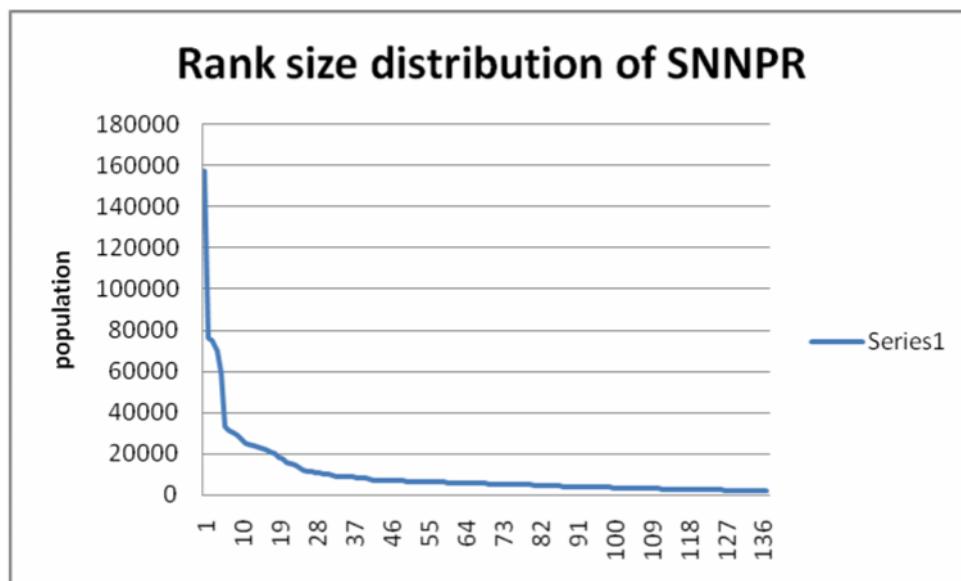
As can be seen from the fig. (5, 6, 7 and 8) the urban distribution of the country is characterized by unbalanced urban development ensuring primate cities domination. The graphs indicates presence of major deviation from the normal (standard) rank size distribution showing steeper hierarchy specially in the first ten ranked cities.

**Figure 5. Rank - Size Distribution of Oromiya**

Source: CSA,2007 and Own graph, 2013

**Figure 6. Rank Size Distribution of Amhara Region**

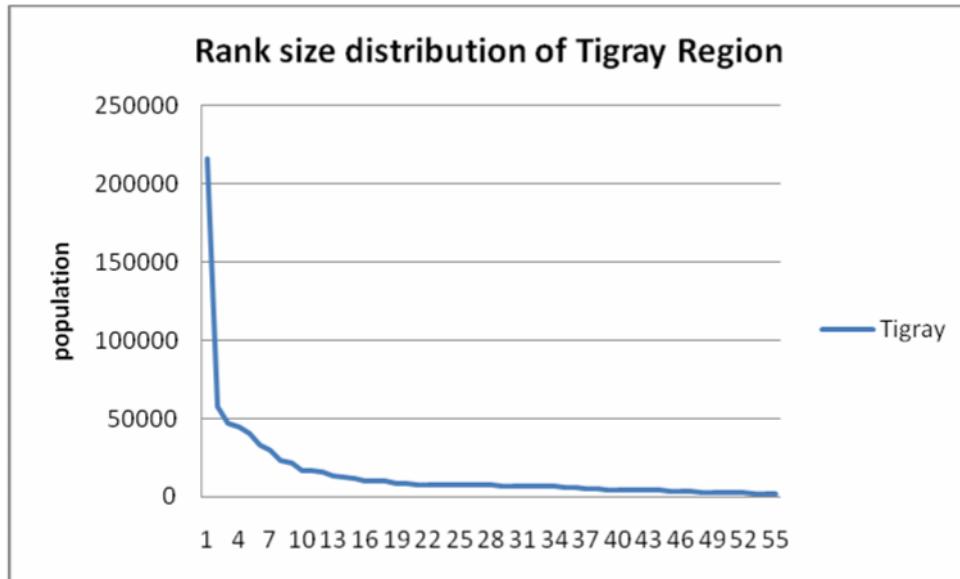
Source: CSA,2007 and Own calculation, 2013

**Figure 7. Rank Size Distribution of SNNPR**

Source: CSA, 2007 and Own calculation, 2013

	MINISTRY OF URBAN DEVELOPMENT AND HOUSING	Document No:--- /MUDH/xx
REGIONAL URBAN DEVELOPMENT SPATIAL PLANNING MANUAL	Issue No.1	P-- of --

**Figure 8. Rank - Size Distribution of Tigray Region**



**Source:** CSA, 2007 and Own calculation, 2013

### **3. Primacy Indicators:**

Urban primacy refers to a country's largest one or two cities being "abnormally" large (using an adverb from Jefferson's 1939 seminal study) relative to the country's next largest cities. Calculation made to this study took  $T_1$  for the first top  $T_2$  the second top,  $T_3$  the third top and  $T_4$  for the fourth top town in number of population and the result is shown in the following table.

The primacy index can be calculated by the formula:  $PI = T_1 / (T_1 + T_2 + T_3 + T_4) * 100$

Where      PI = primacy index

$T_1$  = amount of people in the biggest town of the region/ country

$T_2$  = amount of people in the second town of the region/ country

$T_3$  = amount of people on the third town of the region/ country

	MINISTRY OF URBAN DEVELOPMENT AND HOUSING	Document No:--- /MUDH/xx
REGIONAL URBAN DEVELOPMENT SPATIAL PLANNING MANUAL	Issue No.1	P-- of --

$T_4$  = amount of people in the fourth town of the region/ country

So the population of the biggest town/city of the country/region is divide by the sum of the four biggest cities in the country/region and multiplied by 100. It can also be calculated by using the population of the top two. Therefore if the PI is greater or equal to 50 in terms of the four town index, then  $T_1$  is said to be a primate town/city.

**Table 4. Urban Primacy Index In the Regions of Ethiopia.**

Region	Primacy Indexes				$T_1$ of the national/ regional
	Primacy index	Primacy index	Primacy in %	$T_1/T_2 * 100$	
National	<b>80.4</b>	1174.6	<b>23.09*</b>		Addis Ababa
Oromiya	40.7	182.05	6.77		Adama
Amhara	37.8	133.02	9.97		Gondar
SNNPR	41.6	206.6	10.91		Hawasa
Tigray	<b>59.1</b>	374.9	<b>25.70</b>		Mekele

**Source:** CSA, 2007 and Own calculation, 2013

\* The total urban population is based on the CSA definition of urban centers.

Primacy is the main feature of the Ethiopian urban system. The over concentration of population, investments and facilities in Addis Ababa is very high relatively to the other cities. As it is indicates the level of primacy at national and regional level in terms of primacy indicators, primacy is found to be serious problem at national and in Tigray Region. According to this study Addis Ababa found to be the primate city of Ethiopia and Mekele is to Tigray. But in the rest of the other three regions, primacy problem is highly manifested in terms of the two town primacy index.

## 2.2.17. Conclusion and Recommendation

### 1. Conclusion

According to the CSA 2007 census report for the national, the level of urbanization of the country has found to be 16.08 %. Two features of the urbanization of Ethiopia stand out in

	MINISTRY OF URBAN DEVELOPMENT AND HOUSING	Document No:--- /MUDH/xx
REGIONAL URBAN DEVELOPMENT SPATIAL PLANNING MANUAL	Issue No.1	P-- of --

beginning of the 21<sup>st</sup> century. First, urbanization levels of the country and region is very low and differs sharply between regions. Second, subsequent rates of urbanization is very high at national and regional level and shows variation between regions both in the degree and in the timing of the most rapid periods of urbanization.

Analysis made on urban hierarchy in terms of size- class, rank size distribution and primacy indexes documented that the countries urban system is characterized by complete imbalance both at national regional level.

As it is clearly indicated in this and other different study documents, Ethiopia is facing rapid urbanization which is not resulted from socio economic growth in the urban centers of the country. This imposed numerous and sophisticated problems including imbalance in the urban system.

The urban problems of the country indicate the need for effective and efficient local, regional and national urban development plan. Urban planning at different level is a compulsory to guide any urban growth, direct efficient land uses, consolidate efficient urban morphology and achieve balanced pattern of urban development.

## 2. Recommendations

A large number of urban centers of different size performing different functions widely distributed trough out a country and linked together would form an articulated spatial hierarchy that could provide diversified and accessible markets for agricultural goods, efficient location for the industrial and agro processing establishment, and employment opportunities in non agricultural activities. The different level of settlements including the national primate city, regional centers, district capitals, intermediate cities, market towns rural service centers ,and villages have to be planned as integral part of the national settlement entity.

A strategy of “decentralized concentration” leading to integrated spatial development is a more appropriate alternative. Experience with three decade of development in Asia suggest that a broad spectrum of human settlement i.e. rural villages, market towns, small cities, intermediate regional centers and large metropolitan areas is needed to build a strong internal economies. The

	MINISTRY OF URBAN DEVELOPMENT AND HOUSING	Document No:--- /MUDH/xx
REGIONAL URBAN DEVELOPMENT SPATIAL PLANNING MANUAL	Issue No.1	P-- of --

feature of decentralized urbanization strategy aimed at integrated spatial development must include the following.

1. Maintenance and improvement of critical services and facilities in metropolitan centers.
2. Balancing the growth of urban centers of the country by diversifying the role of urban centers having different function.
3. Stimulating the growth of secondary (regional) metropolitan centers and intermediate cities as counter magnates to accommodate high threshold activities and assist to exercise effective control of the problem of primacy.
4. Strengthen existing and incipient market towns and small cities as rural service centers (smaller cities or district towns can also play a strategic role at linking larger urban centers with rural hinterlands and act as commercial, administrative , small scale industry and agro processing centers)
5. Creating strategic village as agricultural service centers which provide basic health, and educational facility as well as agricultural inputs and local administrative services for isolated farm, hamates and smaller villages.
6. Trying to decentralize urbanization policy to integrated rural development program
7. Strengthening the linkage among settlements in regional and spatial system (Rondinelli, 1984).

	MINISTRY OF URBAN DEVELOPMENT AND HOUSING	Document No:--- /MUDH/xx
REGIONAL URBAN DEVELOPMENT SPATIAL PLANNING MANUAL	Issue No.1	P-- of --

## 2.3. PROCEDURAL PART OF THE MANUAL

### **An Integrated Approach to Regional Urban Development Planning: Diagnosis/ Strategy/ Programme/ Projects.**

Hard experience counsels that comprehensive regional urban development plans are too expensive, too time-consuming, too detailed, and therefore too fragile to withstand the realities of the countries urban development. They may be intellectually satisfying to create, but rarely are they converted into reality. There are simply too many uncontrolled variables and political vagaries to justify development issues in highly detailed regional plans.

Regional development planners have evolved an intermediate approach inspired by practical experience in developing countries. The approach to integrated regional urban development is characterized by distinct phases emanating initially from an overview of the region within the context of the national plan and proceeding to more detailed analysis of promising development areas. The different essential elements are **diagnosis, strategy, program, project and Goal** development.

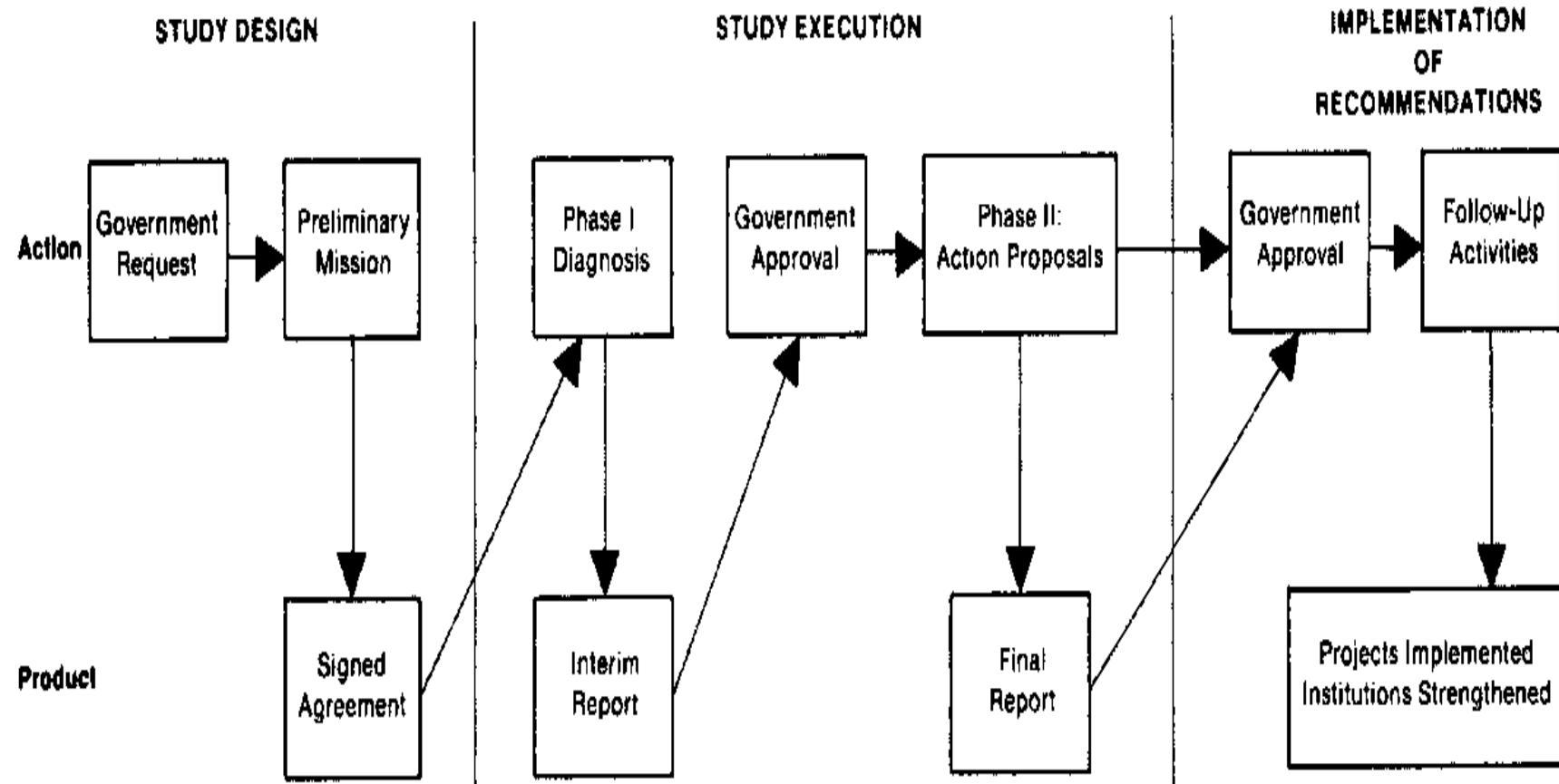
**Diagnosis** - A rapid analysis to determine the principal problems, potentials, and constraints of a region. The development diagnosis can include evaluation of urban system, natural resources and socio-economic conditions; delineation and analysis of sub regions; identification of critical institutions, sectors, and geographic areas; generation of new information; and assembling ideas for investment projects.

**Strategy** - Selection of pressing issues and opportunities for addressing them with the resources available. These opportunities suggest actions that are politically feasible within a time frame short enough to maintain momentum. (Less critical issues can be left for another round.) Alternative strategies can be presented so the government has a choice.

**Program/Projects** – This refers to the preparation of interrelated development programs to implement the selected strategy. The programs/ projects developed usually through pre-feasibility, provide a balance activities, and services. Collectively, their benefit-cost ratio must be acceptable to governments and funders. The projects are presented to the

	MINISTRY OF URBAN DEVELOPMENT AND HOUSING	Document No:--- /MUDH/xx
REGIONAL URBAN DEVELOPMENT SPATIAL PLANNING MANUAL	Issue No.1	P-- of --

government, together with any ancillary actions required, in an action plan of short-to middle-term duration (Avrom Bendavid-Val and Peter P. Walker, 1975).



	MINISTRY OF URBAN DEVELOPMENT AND HOUSING	Document No:--- /MUDH/xx
REGIONAL URBAN DEVELOPMENT SPATIAL PLANNING MANUAL	Issue No.1	P-- of --

## STAGES OF PLANNING REGIONAL URBAN DEVELOPMENT

Experiences of different developed and developing countries describe the three broad stages for the preparation of regional urban development plan. And these include: **designing the study, executing the study, and implementing the Plans.**

### STAGE ONE - DESIGNING THE STUDY

The **DESIGN STAGE** begins with a request for cooperation/ assistance. It includes analysis of the request and the fielding of a preliminary mission to make a quick pre-diagnosis of the region, define an expected product with the regional government, outline the work plan and the contributions of the respective stakes/parties and prepare a draft version of a technical cooperation document. It ends when the regional government signs on a technical plan preparation agreement.

The Major Tasks of this stage are:

- Task 1 . The preliminary mission
- Task 2. Defining the problem
- Task 3. Designing the management structure
- Task 4. Organizing the study

**The Major Deliverables / Outputs of the stage are:**

- management structure
- Terms of Reference
- definition of products of study
- financial commitment of the region
- Signed cooperation agreement
- Commencement of the project
- Inception/ preliminary work plan

	MINISTRY OF URBAN DEVELOPMENT AND HOUSING	Document No:--- /MUDH/xx
REGIONAL URBAN DEVELOPMENT SPATIAL PLANNING MANUAL	Issue No.1	P-- of --

### **Responsible Bodies for the tasks in the stage:**

- Regional Council
- MUDH/FUPI
- Regional Urban Development bureau
- Regional Urban Plan institute
- National Plan Commission
- MoFED
- BoFED
- Technical Plan team (Consulting Firm)
- Sector bureau planning department

*The required Time Frame for this stage is- 1- 3 month*

### **Stage one major activities of the tasks**

#### **Task 1. The preliminary mission**

The key role of the preliminary mission is to define the technical content of the study. By determining with the regional and national personnel , the principal problems and potentials of the study area and estimating which are most amenable to treatment, the preliminary mission can establish which subject areas should be emphasized and which should be treated lightly or eliminated. Similarly, the preliminary mission identifies development actions that are more or less inevitable or that are already taking place in the area and insures that they are given due consideration early in the study. All these elements are then built into the ToR and preliminary work plan.

	MINISTRY OF URBAN DEVELOPMENT AND HOUSING	Document No:--- /MUDH/xx
REGIONAL URBAN DEVELOPMENT SPATIAL PLANNING MANUAL	Issue No.1	P-- of --

### **Activity 1 . Composition of the Preliminary Mission**

- Organize the preliminary mission staff with experienced professionals and with extensive practical knowledge of the region,
- The composition of the team depends, of course, on the region's nature, problems, and potentials. But a typical team will include a regional planner (sectors) , an economist, demographer, a natural resource specialist and GIS expert.
- When there are serious problems with assembling data for the preliminary mission or delicate institutional issues to be treated, use a senior planning staff member as the advance person for the preliminary mission
- Development Forum formulation (comprising civic institutions, religious institutions ...) to take part their share in the plan preparation and in all plan implementation.

### **Activity 2 . Field Activities and Data Collection**

- Undertake field travel in and "over flights" of the study area
- Contact sector officials and community leaders in the study area (for the information which influenced the design of the study).
- Maintain contact with appropriate officials of the national planning commission to ascertain in the context of the national development plan the goals that the national government has set for the region.
- Hold dialogs with national and regional counterparts. "Brain-storming sessions" are useful in defining problems and agreeing on the content and orientation of the study.
- Use an experienced staff member or consultant to get an overview of the socio economic and natural environment of the study area and its surroundings.

	MINISTRY OF URBAN DEVELOPMENT AND HOUSING	Document No:--- /MUDH/xx
REGIONAL URBAN DEVELOPMENT SPATIAL PLANNING MANUAL	Issue No.1	P-- of --

(This specialist must understand how natural systems work and know enough about regional planning and economics to be able to communicate this understanding to the regional planner and economist).

- Determine the availability of existing data about the study area. Data availability will condition the scope, content, and final product of the regional development study. Existing maps containing urban distribution, and natural resources information (such as that on geology, vegetation, soils, land capability, hydrology, hydrogeology, climatology, and so forth) may be critical. Without them, a careful check of available aerial photographic coverage, satellite imagery, and base maps will be necessary).
- Check also the availability of socio-economic data about the area, including population and migration statistics, economic, infrastructural data etc. Estimate the needs and availability of information, and initiate the design of the study accordingly. Although some data will almost certainly have to be collected, a distinction must be made between planning and scientific studies.

## **Task 2. Defining the problem**

### **Activity 1. Defining the Regional Planning Framework**

Define development regions within their overall national development strategies.

Any study for planning regional development is strongly influenced by the economic, institutional, and spatial context of planning, which is determined in part by the extent to which each region has applied a regional development planning approach. Some regions may carry out regional planning mainly within national planning commission. Some regions may have regional development institutions engaged in Planning. Others have evolved strong institutions both for planning and implementing regional development. A

	MINISTRY OF URBAN DEVELOPMENT AND HOUSING	Document No:--- /MUDH/xx
REGIONAL URBAN DEVELOPMENT SPATIAL PLANNING MANUAL	Issue No.1	P-- of --

few have chosen to utilize states, provinces, or other existing political subdivisions to carry out sub regional planning and implementation.

- Choose working organization for planning and implementing regional development :
  1. Organizing strong institutions both for planning and implementing regional development.
  2. Choosing to utilize states, provinces, or other existing political subdivisions to carry out regional planning and implementation.
- Involve the national planning Institute/ commission in the study (to avoid uncertainties about development goals and relationships to national priorities). When the study region has no a standard planning unit, conduct sustained dialogs with national planning institutions.
- When the region has clearly defined regional goals that harmonize with its national plan, but no formal regional development institution exists, design the study to facilitate the **eventual creation of such an institution**. Here too, the active participation of MUDH/FUPI and the national planning commission is mandatory.
- When the region being studied has a recognized planning unit and an appropriate regional development institution is the counterpart, incorporate a much more comprehensive implementation phase and include a larger component of institutional development assistance for short courses on project formulation methodology and seminars on regional planning.

Whatever approach to regional development planning a region has established, make certain that the new regional planning studies are done within the frame work of the national plan. If the national economic and social development plan is out of date or too generalized to help orient regional planning, provide for sustained dialog with the MUDH/FUPI and national planning commission throughout the study.

	MINISTRY OF URBAN DEVELOPMENT AND HOUSING	Document No:--- /MUDH/xx
REGIONAL URBAN DEVELOPMENT SPATIAL PLANNING MANUAL	Issue No.1	P-- of --

### **Activity 2. Defining the Proper Spatial and Environmental Context**

- Carry out rapid surveys of the resource development potentials of surrounding areas to assess the broader geographic and environmental context of the region selected for study.
- Identify the major ecosystems of the region so as to understand the broader ecological context.
- Identify the major economic activities practiced in and around towns of the study region.
- Determine the boundaries of economic and market systems (it conditions many aspects of the study design).
- Define the primary, secondary, and tertiary urban centers of the region. Analyze them within the context of the hierarchy of urban centers of the whole region. Hierarchy of urban settlements help to focus the planning efforts (especially agro industrial development) along practical lines.
- Assess demographic patterns and migration trends to understand the population dynamics that will influence the region's development. The projection of migration trends is a key factor in planning the region's development.

### **Activity 3. Determining the Optimal Multi-Sectoral Focus**

- Determine which sectors have to be involved in the problem and in its solution so that the study can be designed to include all relevant aspects.
- Analyze sectoral cause and effect relationships carefully so project recommendations can later be directed at first causes instead of symptoms.
- Encourage sectoral institutions to supply information, feedback, and political support. Involving sectoral interests early in the planning process may defuse potential conflicts and reveal false assumptions that can mis-orient the study.

	MINISTRY OF URBAN DEVELOPMENT AND HOUSING	Document No:--- /MUDH/xx
REGIONAL URBAN DEVELOPMENT SPATIAL PLANNING MANUAL	Issue No.1	P-- of --

#### **Activity 4. Limiting the Study Goals While Retaining an Integral Focus: Preparation of the Terms of Reference**

- Limit the overall size of the geographic area (Regions).

This is often the least practical means of cutting the study down to size. **Regions may be political units or official planning units none of which can be modified.**

- Limit the study region at different levels of detail, phasing the investigation from the general to the specific.
- Limit the time horizon of the proposed development plan and projects.

An effective means for adapting a development planning effort to limited financial resources is to reduce the time frame of the proposals. Expensive long-range planning efforts (10 years or more) with elaborate economic projections of the sort popular during the Alliance for Progress era are no longer highly regarded. The tendency now is **to concentrate on five-year periods for detailed plans and projects (but 5 to 10 GTP period phases can be considered)**. Limiting the time horizon saves time and money during data collection and analysis and allows the team to concentrate on defining the regional development strategy and formulating a limited number of development projects consistent with longer-range goals, thereby increasing the chances of implementation.

- Fit the development planning conservatively in relation to the development financing available in the short term/long term. Work with government, non government and private agencies to determine the development financing that can be expected to be available for implementing the new projects and programs.
- Limit the sectoral focus of the proposed development after a rapid integrated overview of the various options.

An integrated survey of natural resource development potentials coupled with socio-economic and infrastructural studies may pinpoint certain sectors with major development potential. Subsequent investigations may then be concentrated on just a few types of development projects.

	MINISTRY OF URBAN DEVELOPMENT AND HOUSING	Document No:--- /MUDH/xx
REGIONAL URBAN DEVELOPMENT SPATIAL PLANNING MANUAL	Issue No.1	P-- of --

- Focus the study on a particular target population within a designated geographical area,

Many studies of integrated urban development are directed at improving the living conditions of target populations of poor. Thus the integral focus is retained but the study's scope is limited.

### **Task 3. Designing the management structure**

Regional development planning is one of the most complexes of all multi-disciplinary activities and can be accomplished only through teamwork.

#### Activity 1. The Basic Management System Used by Regional Development Planning Institute

- The technical unit can be composed of national and regional development professionals from different sectors and supporting personnel who jointly execute the regional development study.
- Personnel from different sectoral office and from regional planning department work together in the technical unit as equals.
- Day-to-day management of the unit is provided by co-equal directors, national and regional.
- The policy direction of the technical unit is provided by an executive commission made up of high-level representatives of regional government and the national ministries (or other executive agencies) .
- The president of the executive commission of the region is usually the senior regional or national official.
- Decisions of the commission, however, must be adopted by consensus
- The commission meets quarterly or biannually to review progress, to approve the work plan, and to review the interim and final reports.

	MINISTRY OF URBAN DEVELOPMENT AND HOUSING	Document No:--- /MUDH/xx
REGIONAL URBAN DEVELOPMENT SPATIAL PLANNING MANUAL	Issue No.1	P-- of --

- To coordinate the sectoral bureaus involved in the study, a regional coordinating committee that reports to the executive commission has to be established.
- It should be pointed out that the "equality" of the regional and national participants is a relative term that varies widely according to the situation. When the regional planning team is weak and inexperienced, the national personnel assume greater responsibility, and training and institution-building become dominant elements of the study. When the regional planning team is strong, the national commission is assumes more of an advisory role and helps to improve liaison among the regional planning team.

#### Activity 2. Institutional Arrangements for National Studies - Representative Options

The choice of a national counterpart agency for a regional development study depends upon the study's focus and a variety of other factors. Agencies that are particularly effective in data gathering and diagnosis (planning or natural resource agencies, for example) may not be involved in project formulation or implementation, while most agencies responsible for implementing projects have limited analytical capabilities. This dilemma can sometimes be resolved by working with a combination of agencies.

A variety of arrangements that have worked in wide-ranging settings are described below.

- Set up a task force of national agencies under the foregoing structure to execute the study.  
Such task forces are disbanded upon completion of the study. The weakness of this approach obviously occurs during implementation: systematic fellow-through is virtually impossible.
- Work with a sectoral executing agency under the direction of the national planning commission.

	MINISTRY OF URBAN DEVELOPMENT AND HOUSING	Document No:--- /MUDH/xx
REGIONAL URBAN DEVELOPMENT SPATIAL PLANNING MANUAL	Issue No.1	P-- of --

This system assures greater follow up while the recommendations are being implemented, but its effectiveness is frequently constrained by the limits of the mandate of the executing agency.

- Work with a renewable natural resource or environmental agency.

Most such agencies have a broad mandate and a spatial orientation compatible with a regional planning orientation. However, few have financial or political power, and some have legal mandates that put them at odds with other executing agencies.

- Work with a regional development corporation or similar executing agency.

When such agencies have the funds to implement development, this can be the best of all institutional arrangements.

- Help establish a national, independently funded study team that can evolve into a regional development institution when the study is completed.

This option usually involves an initiative of the national planning agency, a substantial budget commitment by government, and the tentative decision to establish a new institution. The arrangement is nearly as satisfactory as the previous one. However, mounting a large institution-building effort during a planning study is difficult.

### Activity 3. Management Devices for Multi - regional Studies

- Establish a two-level project structure - **one for technical management** and the other for **political coordination between the regions and other stakes involved**.

A Coordinating Committee composed of representatives from the different regional governments was established as a forum for informal and formal political dialog facilitated by MUDH and National planning commission of the country.

The technical work was carried out by regional technical teams of the regions.

- Undertake parallel rather than joint studies of the multi- regional studies.
- Make use of national agencies in multi- regional studies to provide a neutral framework in which regions can comfortably exchange information and negotiate informally.

	MINISTRY OF URBAN DEVELOPMENT AND HOUSING	Document No:--- /MUDH/xx
REGIONAL URBAN DEVELOPMENT SPATIAL PLANNING MANUAL	Issue No.1	P-- of --

## Task.4. Organizing the study

### Activity 1. The Agreement

- Once the regional development problem has been defined, the broad focus of the study determined, and the management system developed and approved, all the major elements of the study should be documented in a formal agreement document (minutes). On its face, this agreement is simply a contract between the regional, national and the technical planning team (Consulting Firm) for the provision of services. The agreement defines the product in general terms, as well as the financial and institutional ingredients required to deliver it.
- Often, it sets the rules of the game between stakes involved in the study, specifying or at least implying who reports to whom, how decisions are taken, and which procedures are preferred. Frequently, it is used to obtain and sustain national budget support for the study.
- It outlines mechanisms for reorienting the study as it goes along, monitoring results, and adjudicating any disputes that arise. Its formality may strike some as unnecessary or inappropriate, and when the study is going well the agreement is rarely used as a reference. But if things do not go smoothly, it can spell the difference between negotiating a way out of the difficulty and watching the planning process collapse.
- A typical agreement includes:
  - The background of the regional government request for the preparation of the regional Urban System and Spatial plan
  - a statement of the study objectives;
  - a description of the study phases and the output of each phase;
  - the management structure and procedures for executing the work;

	MINISTRY OF URBAN DEVELOPMENT AND HOUSING	Document No:--- /MUDH/xx
REGIONAL URBAN DEVELOPMENT SPATIAL PLANNING MANUAL	Issue No.1	P-- of --

- a precise statement of the financial commitment of the regions and the to the study (usually expressed in terms of person-months of professionals and support personnel plus logistical support from the regions); and
- an outline of the work plan (varying in the details of the operations to be performed, depending on how comprehensive the preliminary mission was).

Activity 2. The Detailed Work plan (prepared by plan technical team / Consultig Firm)

- After the agreement has been prepared and before the study is executed, there is usually a lapse of several months during which efforts focus on preparing a detailed plan of work. This work plan goes far beyond the schematic study outline contained in the agreement.
- Because of the complexity of regional development planning, work plan preparation is always rigorous. Just how time-consuming it is depends on how well the basic ingredients have been defined in the original request for technical assistance and in the agreement, and how comprehensive the work of the preliminary mission was.

### GOALS OF THE WORKPLAN

- a. Clearly define the tasks to be performed to achieve the objectives of the study.
- b. Identify the specific technical products to be delivered (regional urban system plan: maps, strategy and plans, development projects, training, etc.).
- c. Define the available information resources.
- d. Allocate the available human and financial resources (both national and regional) to the various tasks.
- e. Establish a timeframe for delivery of different products.
- f. Design a system for continually integrating information and forcing the interaction of specialists throughout the study.

The work plan may propose adjustments in the budget, the timeframe, or even the study's detailed objectives if the process of preparation reveals incompatibilities. The work plan must ultimately translate the study's final detailed objectives into affordable and manageable

	MINISTRY OF URBAN DEVELOPMENT AND HOUSING	Document No:--- /MUDH/xx
REGIONAL URBAN DEVELOPMENT SPATIAL PLANNING MANUAL	Issue No.1	P-- of --

tasks that can be performed with the available time, talent, and funds. As the basis for executing the regional development study, the detailed work plan must communicate well to all the actors involved.

### **THE USE OF SYSTEMS ANALYSIS AND MATRIXES**

Work plan preparation is a complex exercise in which the components of the plan are first isolated and clearly defined and then placed within a framework that facilitates the identification of critical links between them. One of many techniques that have proved useful in this exercise is a system-oriented matrix for sequencing project tasks.

#### **Approach to prepare work plan**

- (1) define all the analyses needed to fulfill the study's objectives
- (2) determine which will not fit within the project budget or time frame given the availability of information,
- (3) specify for the rest the points at which collaboration among the various specialists will optimize the analysis.

Instead of merely "plotting" activities against time, both independent and collaborative activities are phased to accomplish three goals: optimizing the use of short-term and long-term consultants, promoting interdisciplinary work at critical points, and gearing all study project activities to well-defined products (reports, maps, etc.).

#### **STEPS IN WORKPLAN PREPARATION**

- It would distort reality to imply that work plan preparation takes place only from the time the initial study objectives are set forth in the agreement until the time the study begins. Some of the most important steps in work plan preparation actually occur during the preliminary mission. (For details, see "Defining the Problem" and "Designing the Management Structure" in the manual.) Furthermore, work plans are never static. They are revised continually during execution.
- Work plan preparation for a regional development study can be organized into two stages: analysis of the overall context of the study and analysis of the specific study region.

	MINISTRY OF URBAN DEVELOPMENT AND HOUSING	Document No:--- /MUDH/xx
REGIONAL URBAN DEVELOPMENT SPATIAL PLANNING MANUAL	Issue No.1	P-- of --

To analyze the overall context of the study, the following steps are used:

- Define the nature of the counterpart institution or institutions and their objectives in participating in the study by consulting directly with officials.

These are the major clients for the study, and any misconceptions about their interests are likely to have serious consequences later.

- Interpret the relationship of national policy goals to the specific objectives stated for the study area.

The absence or presence of clearly defined national policies for developing a particular area is a major consideration in designing the work plan. (See "Defining the Regional Planning Framework" in the manual.)

- Determine the time, information, personnel, and equipment available for the study.

When resources prove to be less than originally hoped for, adjust the study's detailed objectives accordingly, but try to avoid loss of the integral focus in doing so. (See "Limiting the Study Goals While Retaining an Integral Focus" in the manual.)

**To analyze the specific study region, the following are the key steps:**

- Determine the relationships between the designated study region and the larger system of which it is part. (See "Defining the Proper Spatial and Environmental Context" in the manual.)
- Identify priority sectors and/or geographic areas within the region to be studied. (See "Determining the Optimal Multi-Sectoral Focus" in the manual.)
- Consider the effects of ongoing projects or programs on the study region. Inventory existing plans and projects as a part of the regional development study. (For details, see "Executing the Study" in the manual.)

**Additional practical guidelines in work plan preparation that are illustrated in the case studies follow:**

- Use group dynamics techniques and brain-storming sessions involving counterpart professionals as much as possible. Flow charts and graphics are useful in this process.

	MINISTRY OF URBAN DEVELOPMENT AND HOUSING	Document No:--- /MUDH/xx
REGIONAL URBAN DEVELOPMENT SPATIAL PLANNING MANUAL	Issue No.1	P-- of --

- b. Clearly define the nature and timing of specific tasks since many pieces of information must be collected and synthesized at each step in the study. The use of simplified critical-path analysis is helpful, but ultra-sophisticated planning tools have not worked well in the field. Delays are common and must be accommodated continually.
- c. Schedule many study activities simultaneously so as to promote interaction among specialists. Without opportunities for interaction and dialog, the advantages of multidisciplinary studies are forfeited.
- d. Relate tasks to the overall strategy of the study rather than to individual sectoral activities or strategies. The tendency for specialists to proceed along purely sectoral lines in a linear fashion is nearly irresistible. The work plan should force experts out of their comfortable sectoral worlds, fostering cross-fertilization and breadth
- e. Allow time in the work plan for integrative activities. A well-wrought work plan can help extinguish international consultants' seemingly overwhelming desire to go home as soon as the sectoral reports are completed. The work plan should force them to consult with other specialists about their work and reports before they leave the country. The team leader must constantly emphasize this aspect of the work plan through strong leadership and by setting a good example.
- f. Build flexibility into the work plan, especially as concerns schedules and deadlines. In particular, over budget the time of consultants so they have adequate time to work with the counterparts.
- f. Build flexibility into the work plan, especially as concerns schedules and deadlines. In particular, over budget the time of consultants so they have adequate time to work with the counterparts.
- g. Control the level of detail. Many specialists have a tendency to overinvest in data collection and descriptive writing and to skimp on analysis and recommendations. Design the work plan to limit descriptive detail, and allow plenty of time for analysis.

	MINISTRY OF URBAN DEVELOPMENT AND HOUSING	Document No:--- /MUDH/xx
REGIONAL URBAN DEVELOPMENT SPATIAL PLANNING MANUAL	Issue No.1	P-- of --

- i. Schedule formal training activities to upgrade national technicians' skills, and require international consultants to give seminars before leaving the country. In the Panama-Darien study, three rounds of training activities were scheduled.

## STAGE TWO - EXECUTION STAGE

The **EXECUTION STAGE** is divided into two phases: **development diagnosis** (Phase I) **Urban Development Strategy and Programs/project formulation and preparation of the action plan** (Phase II). Phase I contains a diagnosis of the urban system, socio economic status of the region, development tools (physical and social infrastructures, good governance and democracy, capacity building, environment of the urban areas) about the principal needs and problems of the region and its main development potentials and constraints of the region. It ends with an Interim Report that proposes alternative urban development strategies and identifies potential development program/ projects which aiming at balancing the urban hierarchy of the region and bringing rapid socio economic development of the region. The Phase I report enables the government to formulate appropriate urban development strategy alternatives and propose a group of programs/projects to be formulated in Phase II. In Phase II, the regional development strategy is refined, the interrelated development programs/ projects are formulated and combined into a package, and an action plan is created in terms of project. Phase II ends with a Final Report, which contains the proposed action plan and interrelated programs/ projects with development timetable for their execution, as well as policy recommendations by areas and priority sectors. This report is presented to the government, for its approval, which completes the execution stage of regional development planning.

	MINISTRY OF URBAN DEVELOPMENT AND HOUSING	Document No:--- /MUDH/xx
REGIONAL URBAN DEVELOPMENT SPATIAL PLANNING MANUAL	Issue No.1	P-- of --

## **PHASE I – DEVELOPMENT DIAGNOSIS**

This phase, which should consume less than half the time of the study, consists of data collection and preliminary analysis. It culminates in an interim report that spells out a preliminary development strategy and project ideas for the government to consider. If properly executed, it will rapidly narrow the scope of the study to the best development potentials without distorting the study's integral focus. Only that information needed to identify development potentials and problems is collected, and potential problems are pinpointed at the earliest possible moment so that alternative development options may be formulated.

Phase I is the most difficult to control of all the parts of the study. Experience verifies that data collection tends to run beyond its initial deadline and to use more funds than budgeted. Interdisciplinary studies seem especially vulnerable to this tendency. This constitutes a serious problem since it drains resources from the subsequent phase of project formulation, which in turn reduces the quality and level of detail of the implementation proposals.

### **The Major Tasks of this Phase I are:**

- Task 1. General Criteria for Data Collection**
- Task 2. Collecting Data on the Urban system, socio economic data of the region and data on the pillars of the urban development agenda of the government.**
- Task 3. Collecting Data on the Infrastructure development data of the region**
- Task 4. Collecting Data on the development tools( Good governance, capacity building, democracy and human right)**
- Task 5. Collecting Data on the The Natural Resources Survey**
- Task 6. Data Analysis and Integration**
- Task 7. Focusing on Areas with Highest Development Potential**
- Task 8. Identification and Resolution of Conflicts**
- Task 9. Inventory of Existing Global and National Development Targets**
- Task 10. Inventory of Existing Plans and Projects**
- Task 11. Identification of New Project Ideas**
- Task 12. The Preliminary Regional Urban Development Strategy**

	MINISTRY OF URBAN DEVELOPMENT AND HOUSING	Document No:--- /MUDH/xx
REGIONAL URBAN DEVELOPMENT SPATIAL PLANNING MANUAL	Issue No.1	P-- of --

### Task 13. Develop Existing Regional land use map

**The Major Deliverables / Outputs of the phase are:**

- Interim Report (Phase 1 Report)
- Diagnosis of region
- Preliminary urban development strategy
- Identified programs/ projects
- existing regional land use maps

**Responsible Bodies for the tasks in this phase are:**

- The Regional Council
- The top leader of BoFED
- National Plan Commission
- MUDH/FUPI and EMA/INSA
- Regional Urban Development bureau
- Technical team of BoFED
- Sector bureau planning department
- MoFED ( Supporting and Capacity building, Consultation, for planning bi-lateral development programs with neighbored regions)
- Sector Ministries
- Sector departments of zonal, woreda and town administration
- Development forums
- Community in all level

*The required Time Frame for this Phase: 9 to 12 months (12 to 18 months historically)*

The major activities of each tasks in phase I:

#### Task 1. Setting General Criteria for Data Collection

The following criteria can be considered for data collection

	MINISTRY OF URBAN DEVELOPMENT AND HOUSING	Document No:--- /MUDH/xx
REGIONAL URBAN DEVELOPMENT SPATIAL PLANNING MANUAL	Issue No.1	P-- of --

- a. Information contributed by the different sectors in the study should be at approximately the same level of detail.
- b. Data should prove or disprove specific hypotheses related to the study's objectives
  - Data should answer specific questions about development potential and problems, as well as generate project ideas
  - The terms of reference of consultants should specify who will use the data they are developing and how
- c. Undertake data collection in conjunction with existing **national institutions**, where possible,
  - The use of international consultants to do basic data collection is very costly and needs special justification.
- d. Draw on the practical experience of the local population.
  - This saves money and serves as a "reality check." Because local people help identify needed actions and even specific projects in the region,
- e. Identify project ideas during data collection.
  - Project opportunities identified during fieldwork and checked with local people are more likely to fit local conditions than projects identified subsequently through data interpretation.
- f. Use local research institutions and universities as sources of information.
  - In working with governmental agencies, there is a tendency to deal with those agencies alone. Universities in particular have valuable information and capacities that should be utilized for data collection.
- g. Keep description to a minimum and emphasize analysis.
  - Less experienced professionals tend to shortcut the latter. Descriptive writing is far easier than analysis especially that involving several disciplines, but far less useful to government decision-makers.

	MINISTRY OF URBAN DEVELOPMENT AND HOUSING	Document No:--- /MUDH/xx
REGIONAL URBAN DEVELOPMENT SPATIAL PLANNING MANUAL	Issue No.1	P-- of --

## **Task 2. Urban System and Socio economic data of the region**

### **Activity 1. Collect on the Urban System of the region**

- **Data on the degree of urbanization (level and trend of urbanization) of the region. See annex 2**
- **Urbanization G.R( level and Trend)- See annex 2**
- **Data on the spatial and hierarchical distribution of urban- See annex 2**
- **Data on functional linkage (inter and intra regional economic linkage and clustered and global linkage )**

**Activity 2. Collect data on population projection of the region by residence-**

**Activity 3. Collect data on the economic activities and economic potentials of the region.**

- **Collect data on economic status of the region**
- **Collect data on economic potential of each urban centers**
- **Collect data on function of each urban centers**

## **Task 3. Infrasracture development data of the region (For linkage analysis)**

**See Annex - 2**

**Activity 1. . Collect data on transport development coverage of the region**

**Activity 2. . Collect data energy development coverage of the region**

**Activity 3. Collect data on ICT development coverage of the region**

**Activity 4. Collect data on access of pipe line water supply coverage of the region**

**Task 4. Collecting Data on the development tools(Good governance, capacity building, democracy and human right) on the problems and achievements.**

## **Task 5. The Natural Resources Survey and environment**

➤ Some form of integrated survey of natural resource development potential accompanies all regional development studies. This reflects regional development planners' long-held belief that a realistic assessment of the resource base is fundamental to any development planning and project-formulation effort.

	MINISTRY OF URBAN DEVELOPMENT AND HOUSING	Document No:--- /MUDH/xx
REGIONAL URBAN DEVELOPMENT SPATIAL PLANNING MANUAL	Issue No.1	P-- of --

- An integrated overview of the natural resources of an area slated for development constitutes a sound framework for identifying development projects and detecting potential conflicts between resource uses.

**A few aspects of natural resource survey technique:**

- a. Use **modern satellite an imagery and remote-sensing** techniques for resource surveys of large sparsely settled or unpopulated regions about which little is known.
  - These tools facilitate rapid and relatively accurate mapping and analysis of water, geology, geomorphology, soils, natural vegetation, land use, and so forth when coupled with ground verification.
  - Remote-sensing technology has revolutionized reconnaissance surveying and natural resources mapping in large remote regions by providing broad coverage of physical resource information on accurate base maps,
- b. Use resource survey specialists who are experienced development practitioners as well as good scientists.
  - Such specialists can orient local professionals along practical and efficient lines of investigation.
- c. Where possible, a single national agency should be responsible for resource surveys (or sectoral consultancy).
  - This approach will greatly facilitate the compatibility and integration of data.
- d. Train local personnel in the application and use of data from integrated resource surveys.
  - Although local personnel are familiar with the use of data from one discipline, they are seldom familiar with the techniques of interpreting data from several disciplines for analytical purposes. A small investment in training increases the usefulness of the study.

	MINISTRY OF URBAN DEVELOPMENT AND HOUSING	Document No:--- /MUDH/xx
REGIONAL URBAN DEVELOPMENT SPATIAL PLANNING MANUAL	Issue No.1	P-- of --

## Task 6. Data Analysis and Integration

A critical aspect of Phase I is constant integration of data as it is collected. If this process is not initiated at the beginning of the study, the task becomes progressively more difficult.

### Some data-integration techniques include:

- a. Specify in the terms of reference for each professional not only the problems to be addressed but also the other team professionals with whom cooperation will be necessary.
- b. Make sure that all professionals know what their colleagues are doing and why.
  - Exchange drafts of reports among all professionals, hold regular staff meetings, and take other steps to counter the tendency of specialists to pay highest allegiance to their discipline or education instead of to the study's objectives. Time should be budgeted for this, and it is the constant preoccupation of the study manager.
- c. Use maps to synthesize the final products of sectoral investigations.
  - Integrating mapped information is one way to integrate the work of different disciplines. As devices for data integration in regional development studies, map-overlay techniques and composite maps are particularly useful. Maps that integrate several types of information include land capability, potential land use, agricultural zones, and project-location maps.
- d. Use specialists from such integrative disciplines as regional planning as team leaders.
  - While specialists from such broad disciplines are good "integrators" it is the commitment to multidisciplinary study rather than the disciplinary training that is the most important. (See "The Role of the Project Manager" in the Guidelines.)
- e. Be sure that international technicians provide counterparts from sectoral agencies with on-the-job training that broadens their planning focus.
- f. Use matrixes and other forms of systems analysis to illustrate significant points of development interaction within a region.
  - These tools can help identify potential conflicts within development activities or between development activities and environmental hazards, as well as opportunities for mutual support.

	MINISTRY OF URBAN DEVELOPMENT AND HOUSING	Document No:--- /MUDH/xx
REGIONAL URBAN DEVELOPMENT SPATIAL PLANNING MANUAL	Issue No.1	P-- of --

- A simple matrix crossed the major sectoral activities with each other and revealed numerous potential conflicts.
- g. Be sure that conducting Analysis on each variables about the region
  - Conduct analysis on level, trend, problems, constraints and intervention needs

### **Task 7. Focusing on Areas with Highest Development Potential**

To make optimal use of the financial resources available to the study, areas that merit intensive examination must be quickly separated from those that do not. To delineate areas with particularly high potential or great need, use the following techniques.

- a. In very large areas that are physically, socially, and economically diverse, delineate "program areas" for immediate development.
  - To diagnose the region and identify its distinctive sub region, two kinds of criteria are used: government objectives and priorities for the study area (including export production targets, employment goals, and the like) and a profile of the region's productive capacity, employment levels, social services, and other definitive characteristics. In successive approximations, the interacting factors are analyzed and mapped.
- b. In smaller regions with variable potential, determine priority areas initially on the basis of physical characteristics.
  - Use "agricultural zoning" techniques to eliminate areas of high relief or unsuitable climate, and characterize the remaining areas in terms of land form, climate, and soils. To generate ideas for development programs and projects in the urban centers of these areas, consider social, economic, and agronomic factors.
- c. In relatively underdeveloped areas, identify local areas suitable for integrated rural development.
  - Where both development potential and investment capital are modest, select a small number of areas where agriculture, livestock, forestry, mineral and energy resources all hold development potential, and where existing settlements and infrastructure can accommodate further growth.

	MINISTRY OF URBAN DEVELOPMENT AND HOUSING	Document No:--- /MUDH/xx
REGIONAL URBAN DEVELOPMENT SPATIAL PLANNING MANUAL	Issue No.1	P-- of --

## Task 8. Identification and Resolution of Conflicts

A fundamental message of this casebook is that environmental issues must be dealt with as early as possible during planning to avoid unnecessary conflict in the development process. "Environmental impacts" arising out of development are frequently conflicts between different resource users. Identifying these potential conflicts early on and exploring alternative development solutions to minimize or avoid the conflicts are therefore important goals of regional development studies

### A few basic guidelines are included here:

- a. Look for interactions within and among ecosystems.  
Some form of systems analysis, such as the development of a regional systems model of the area's major ecosystems and their significant components and processes, is essential. Since the value of the model is in helping each participant understand when and to what degree the sectors relate to one another, such a model is best constructed by the team as a group
- b. As part of the modeling exercise, identify the natural goods, services, and hazards of each major ecosystem.
  - Even under the best multiple-use plans (in which resource assumptions and ecosystem interactions are made explicit), some natural goods and services will be destroyed or impoverished or their use as such will be precluded, while other natural goods and services will be used but will benefit some individuals or groups more than others. Since, by definition, all natural goods and services - just like all economic goods and services - have value because some specific group wants to use them, identifying them serves to spotlight all the groups that will be affected by a given development activity.
- c. Include even the smallest interest groups' concerns in the analysis.
  - Once a project has been executed, alliances between small interest groups that were left out can become formidable and can effectively oppose or even defeat significant support for a development project.

	MINISTRY OF URBAN DEVELOPMENT AND HOUSING	Document No:--- /MUDH/xx
REGIONAL URBAN DEVELOPMENT SPATIAL PLANNING MANUAL	Issue No.1	P-- of --

d. Resolve conflicts through project coordination, negotiation between parties, and third-party mediation

- During the early stages of planning, the results of arbitration are not as traumatic, since all study team members are playing by the same rules and share a common perspective on the planning objectives. Also, at this stage, the positions of local interest groups have not yet hardened.
- Resolution of conflicts is far easier to negotiate during Phase I when the parties are "equals" than it would have been if these conflicts will be discovered later, after investments in time, funds, and prestige will be made.
- Experience of different developing countries indicate that when groups competing for the canyon's resources included urban recreationists, residents and industries who wanted to use the water supply, university researchers, conservationists, and the farmers, identifying the need of each group and showing how those needs could be harmonized helped the study team resolve the conflicts and arrive at solutions acceptable to all.

e. Seek a strategy that will promote an equitable and just distribution of the costs and benefits of development.

- A plan or strategy that does not do this merely postpones conflicts.

f. Take a neutral view of potential conflicts in resource use but highlight the conflicts so as to facilitate decisions.

#### **Task 9. Inventory of Existing Global and National Development Targets**

- Identify all Global Development Targets on Each Sectors
- Identify all National Development Targets on Each Sectors
- Identification International and National Standards for different sectors

#### **Task 10. Inventory of Existing Plans and Projects**

Most studies of regional development must, therefore, take account not only of what exists on the ground but also of what is planned. The development context of a region is as important as its resources and population dynamics. The quantity of existing plans and proposed projects in some regions, however, is truly awesome.

	MINISTRY OF URBAN DEVELOPMENT AND HOUSING	Document No:--- /MUDH/xx
REGIONAL URBAN DEVELOPMENT SPATIAL PLANNING MANUAL	Issue No.1	P-- of --

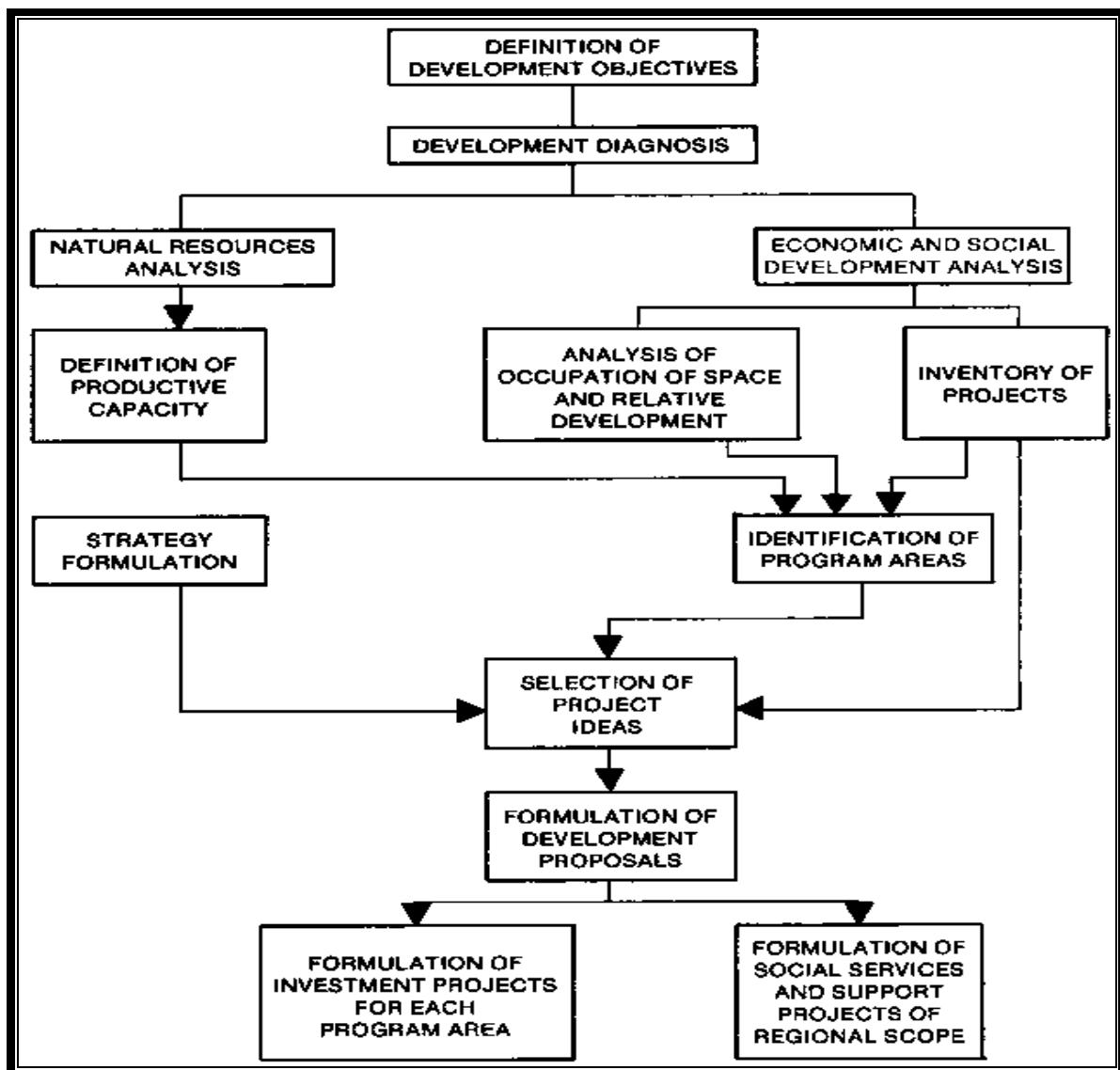
Making an inventory of existing plans and projects is exceedingly important, but it can be overwhelming. (The danger of the effort getting out of hand is seen in the experience of developing countries in different projects o.)

Some tips on how to avoid problems include:

- a. Identify all significant development plans and projects in the region, no matter what agency - public or private - is involved, but collect detailed information only about those that serve or contradict the proposed development objectives.
- b. Organize planned projects in a time sequence, and avoid including projects that fall outside the time horizon of the study.
- c. Be sure to identify projects with high-level political support that have already gained momentum.

### **Task 11. Identification of New Project Ideas**

A key objective of Phase I, as indicated, is to identify new project ideas based on the analysis of socio-economic development needs and development potentials. This process should begin early in the study, even during the preliminary mission, and proceed throughout Phase I. Project ideas need not be comprehensive at the outset since only a few will eventually be selected for full-scale elaboration during Phase II. (The process of identifying, selecting, and formulating projects in relation to the development study of a region is illustrated in Figure 4.)

**Figure 9. Generation of Program/Project for regional Development.****Some practical guidelines include:**

- Collecting information on natural resource development potential with existing uses of resources to identify project ideas.

	MINISTRY OF URBAN DEVELOPMENT AND HOUSING	Document No:--- /MUDH/xx
REGIONAL URBAN DEVELOPMENT SPATIAL PLANNING MANUAL	Issue No.1	P-- of --

b. Analyze population growth and projected demands for economic goods and services as new project ideas are generated. Particular care should be taken to project needs for social services.

- Investment projects for development of agriculture, forestry, mining, and industry coupled with projects for infrastructure (such as transportation, communications, and energy) are vulnerable to failure without the associated social services (education, health, urban services, etc.). Analyses of human needs must accompany surveys of development potentials.

c. Interview local people during field studies in Phase I as a means of identifying new project ideas.

d. Determine which needs are being partially or fully satisfied by available natural goods and services and how.

- Projects that improve or protect these amenities may be significant for the development of the region.

e. Identify early in the study a small number of projects suitable for immediate implementation.

- Such projects should be pushed forward to implementation long before the study is complete.

f. Early involvement of the private sector will also facilitate prompt action on promising investment projects.

### **Task 12. The Preliminary Regional Urban Development Strategy**

#### **Design alternative development strategies.**

Phase I involves careful analyses of socio-economic conditions, surveys of physical and human resources as well as infrastructural development coverage analysis. Alternative development strategies become evident when all these variables are analyzed.

- The development strategy of the region can be:
  - To establish an open, refined, balanced, and diversified urban system
  - To strength the large and medium size cities and urban groups.\

	MINISTRY OF URBAN DEVELOPMENT AND HOUSING	Document No:--- /MUDH/xx
REGIONAL URBAN DEVELOPMENT SPATIAL PLANNING MANUAL	Issue No.1	P-- of --

- Based on the rational division of function a proper development of corridors can be promoted (to enhance the coordination and controlled sprawl of cities).
- Selection of the development scenario: according to the regional economic growth model, the development scenario for the planning of urban system can be selected ( preserving development strategy, large and medium size cities development strategy and balanced urban development strategy).

1. **Planning for Hierarchical structure:** this emphasizes the planning of rank- size structure,
  - The planning of **rank- size structure** is planning the urban development pattern of the region.
  - At the same time the other task is to analyze the development potential of towns of the region. (Factors to be considered are Urban population, concentration of economic resource, environmental capacities, size of the hinterland as well as the distance of cities of the same rank. According to the ratio of primate city population to the total urban population and the prediction of population based on the rate of urbanization and distribution among urban, the organizational structure of urban can be depicted.
2. **Planning of the functional combination structure :**  
The planning process should include **the clustering of towns** for economic linkage and **identification of functional role** of clusters and towns.
3. **Planning spatial structure:** These aspects of planning emphasize the frame work of spatial structure, developing axis and combination of group of towns/ cities within the whole system  
**Planning spatial structure as a scenario may include different strategies**
  1. **Corridor development**
  2. **Polycentric ( selection of growth poles and identification of influence area)**
  3. **Dispersed**
  4. **Highbred of some of the above .....**

	MINISTRY OF URBAN DEVELOPMENT AND HOUSING	Document No:--- /MUDH/xx
REGIONAL URBAN DEVELOPMENT SPATIAL PLANNING MANUAL	Issue No.1	P-- of --

### **Task 13. Develop The Existing Regional land use map**

Activity 1. Prepare existing thematic maps for selected land use categories

Activity 2. Prepare existing general map of the region

### ***PHASE II- Regional Urban System Plans/ Project Formulation And Preparation Of Action Plan***

Phase II is more comprehensive in the preparation of regional development plan than others. The level of detail of the regional urban system plans and the required development projects being formulated depends principally on the availability of financing for the study. Programs/ projects may be posed as mere ideas or developed to the level of project profiles as defined by international financial institutions.

On the other hand, significant numbers of projects are formulated to the level of pre-feasibility. (Compare "project profile" and "pre-feasibility study" in the Glossary.) In rare cases, full-scale feasibility studies are carried out. When pre-feasibility or feasibility studies are completed, the country is in a position to implement the projects with loan financing - a highly desirable situation.

Commonly, banks will finance feasibility studies once pre-feasibility studies are done. They are more reluctant to finance pre-feasibility studies because the risks are greater that the project may not turn out to be economically viable.

**The major tasks of phase II are:**

**Tasks 1. Setting growth Targets**

**Task 2. Design Strategy To Meet The Target**

**Task 3. Planning for regional urban system**

**Task 4. Prepare The proposed Regional land use map**

**Tasks 5. Project Formulation Criteria**

**Task 6. Developing Packages of Plans/Projects**

**Task 7. Conduct Program budgeting.**

**Tasks 8. Find the sources of fund for each project**

**Tasks 9.The Action Plan**

	MINISTRY OF URBAN DEVELOPMENT AND HOUSING	Document No:--- /MUDH/xx
REGIONAL URBAN DEVELOPMENT SPATIAL PLANNING MANUAL	Issue No.1	P-- of --

### **Tasks 10. Training and Institution-Building**

### **Tasks 11. The Final Report**

#### **The Major Deliverables / Outputs of the Phase are:**

- Regional Growth Targets
- Development strategies
- Formulated Programs/projects
- Action plan
- Specific and general maps
- Supporting actions
- Final Report

#### **Responsible Bodies for the tasks in the Phase:**

- The Regional Council
- The top leader of BoFED
- National Plan Commission
- MUDH/FUPI and EMA/INSA
- Regional Urban Development bureau
- Technical team of BoFED
- Sector bureau planning department
- MoFED ( Supporting and Capacity building, Consultation, for planning bi-lateral development programs with neighbored regions)
- Sector Ministries
- Sector departments of zonal, woreda and town administration
- Development forums
- Community in all level

*The required Time Frame for this : 3 to 6 months*

	MINISTRY OF URBAN DEVELOPMENT AND HOUSING	Document No:--- /MUDH/xx
REGIONAL URBAN DEVELOPMENT SPATIAL PLANNING MANUAL	Issue No.1	P-- of --

The major activities of each tasks in phase II:

### **Tasks 1. Setting growth Targets and Planning for regional urban system**

#### **Activities**

##### **Activity 1. Set Growth target for all sectors**

Set development targets for the region in each sector creating cohesion with national and global targets and having in mind improving the quality by trying to make to the standard.

- Set regional economic growth target
- Set regional social and physical infrastructure growth target .....
- Set Urban growth target ....

##### **Activity 2. Set Target for urbanization**

- Set regional demographic growth target

##### **Activity 3. Conduct public discussion on the set targets on different sectors.**

The need for the formulation of the strategy is to achieve these targets in each sector.

### **Task 2. Design Development strategy To Meet The Targets**

- Preparation of the development strategy should include urban development, the socio - economic development strategy for the whole region based on the analyses made on situation of the region.
- The strategy must comprise
  - The source of finance for each development issues of the region
  - About development partnership direction
  - The other development tools such as monitoring and evaluation, good governance, democracy...

Acceptance of one strategy signals the initiation of Phase II of the study, some

Practical guidelines follow:

#### b. Carefully link the development strategy to national goals and priorities.

- Experience of developing countries indicate that, the regional development planning team had been scrutinizing the National Development Plan to assess the region's role

	MINISTRY OF URBAN DEVELOPMENT AND HOUSING	Document No:--- /MUDH/xx
REGIONAL URBAN DEVELOPMENT SPATIAL PLANNING MANUAL	Issue No.1	P-- of --

in national development and the impact that planned national development programs would have on the region. The national goal of integrating regions was given particular attention in formulating the strategy for region of these regions.

- c. Include in the strategy only those sectors and sub regions that have significant problems or potentials for development and for which development action has a reasonable possibility of success.
  - The strategy should provide the basis for concentrating effort and should avoid the comprehensiveness of some forms of traditional development planning.
- d. Express initial strategies succinctly and clearly.
- e. Allow government agencies adequate time to evaluate the proposed strategy and projects.

The end of Phase I and the presentation of the report containing the initial development strategy should be a break point in the overall study. Evaluation of the proposed strategy of the Phase I have to be conducted by executive commission before giving the go ahead for Phase II. A long break between Phases I and II is not usually desirable, but if serious political issues are unresolved it is safer to wait than to move ahead on false assumptions. The lag period can sometimes be used for training counterpart personnel and disseminating information on the study's technical findings.

### **Task 3. Planning for regional urban system as development strategy**

#### **Refine Regional Urban System plan proposal for the coming 30 – 40 years**

**Activity 1. Propose the spatial structure of the urbans:** These aspects of planning emphasize the frame work of spatial structure, developing axis and combination of group of towns/ cities within the whole system.

	MINISTRY OF URBAN DEVELOPMENT AND HOUSING	Document No:--- /MUDH/xx
REGIONAL URBAN DEVELOPMENT SPATIAL PLANNING MANUAL	Issue No.1	P-- of --

a. **Planning spatial structure may include different scenario strategies**

1. **Corridor development**
2. **Polycentric ( selection of growth poles)**
3. **Dispersed**
4. **Highbred of some of the above**
5. **.....**

**Activity 2. Plan Hierarchical structure of the urbans:**

**Plan to avoid primacy influence and to meet to the normal rank - size curve.**

**Activity 3. Planning of the functional combination structure :**

**Planning of the functional combination structure** includes the economic linkage of the region taken as a strategy to meet the economic growth target of the region. It is the identification of the functional role of the urban based on the assessment made in the diagnosis.

- a. **Plan for intra regional** and inter regional linkage
- b. **Plan for intra clusteral** and inter **clusteral** linkage
- c. **Plan for global economic linkage**

**Task 4. Prepare The proposed Regional land use map**

***Activity 1. Prepare the proposed thematic maps for selected land use categories***

***Activity 2. Prepare the proposed general land use map of the region***

**Tasks 5. Identify Project Formulation Criteria**

Not all the new projects identified in Phase I will be fully formulated in Phase II. When a government evaluates the Phase I report, it rejects many project ideas as too expensive or too far afield from its development objectives; it must also decide which projects will be formulated to the pre-feasibility study stage and which will remain as project profiles. The projects to be formulated must all fit the selected development strategy.

**A few practical considerations follow:**

	MINISTRY OF URBAN DEVELOPMENT AND HOUSING	Document No:--- /MUDH/xx
REGIONAL URBAN DEVELOPMENT SPATIAL PLANNING MANUAL	Issue No.1	P-- of --

- a. Consider the probable source of financing for each project from the outset, whether it will be a government agency, the private sector, or an international lending agency
  - If international loan financing is contemplated, formulate projects according to the criteria of the World Bank, the African Development Bank, or other potential funders, This will save time and money later when loan applications are drafted,
- b. When private sector financing is contemplated, identify possible investors early.
  - Taking this step can substantially reduce the later costs of project preparation. With government knowledge and participation, private sector interests can be consulted from the outset and persuaded to shoulder part or all of the costs of investment project formulation.
- c. When a government agency will be involved in implementation, invite it to join in project formulation.
- d. Help would-be implementing agencies develop a parental view toward projects and to incorporate them into their future plans and budgets.
  - Blithely assuming that project execution will come about automatically has been the undoing of many regional development planning projects: commitment of the financing and executing agencies must be tested early in the planning process and repeatedly thereafter.
- e. Consult the intended beneficiaries of development projects early in project formulation so as to avoid some unpleasant surprises later.
  - Support from the people of the region and other intended beneficiaries may be critical to later implementation efforts.
- f. Give special attention to projects that make use of technologies and practices already being utilized in the development area.
  - Projects based on both are likely to be implemented promptly and with relatively predictable results.

	MINISTRY OF URBAN DEVELOPMENT AND HOUSING	Document No:--- /MUDH/xx
REGIONAL URBAN DEVELOPMENT SPATIAL PLANNING MANUAL	Issue No.1	P-- of --

g. Formulate the projects that governments have designated as high priority through the stage of pre-feasibility if time and money permit.

- Projects that have reached the pre-feasibility stage are bankable - that is, governments can obtain loans to finance the next stage, which is the feasibility study. Since loan financing is much more likely to be available than grant financing for studies, this is a very important consideration. Many good projects have been stalled for years at the stage of project idea or profile for lack of money to take the next step.

## **Tasks 6. Developing Packages of Plans/ Projects**

Although development activity is the goal of regional development planning, the planning process itself focusses largely on the identification and formulation of packages of coordinated and mutually reinforcing development projects. These projects must both avoid resource-use conflicts and contribute to sustained development.

Simultaneously formulating interrelated projects in many sectors is the core of regional development planning - perhaps its greatest challenge. Packages of projects can, for example, connect economic sectors -development projects to roads, telecommunications, and other infrastructure projects aimed at linking producers to markets. At the same time, they can link production to health and education projects and other basic services. Industrial and agro-industrial processing projects in the package can guarantee that the area does not merely export raw materials (thus forfeiting the profit to be made in processing).

Having water supply and electrical power projects in the package, as well as new urban facilities, can further strengthen the foothold of employment-generating industries.

### **Activity 1. Design the required Development Programmes**

### **Activity 2. Develop a Package Projects**

### **Activity 3. Plan for the required social and Physical infrastructural developments at regional and Urban level**

	MINISTRY OF URBAN DEVELOPMENT AND HOUSING	Document No:--- /MUDH/xx
REGIONAL URBAN DEVELOPMENT SPATIAL PLANNING MANUAL	Issue No.1	P-- of --

#### **Activity 4. Plan for the required Capacity building and Good Governance development at regional and Urban level**

**The key to successful integrated development is coordination and timing. More specifically:**

- Where appropriate, keep development areas or zones small enough to permit the formulation of packages of projects for integrated rural development.
- In packages of projects, balance investments in production, infrastructure, and social services. Production projects should generate the wealth needed to support the social services.
- In packages of projects, balance the distribution of physical and social services among the urban centers of the region.
- Make sure that the overall benefits of a package of projects justify the costs.

If some projects have a marginal internal rate of return, others in the package must compensate. For instance the production projects of agricultural, forestry, and agro-industry should be able to support the costs of the social service projects in the packages.

- Conduct public discussions with different stakes and formulated forums.
- Conduct discussion on different stages of the government.
- Get approval and ratification.

#### **Task 7. Conduct Program Budgeting**

- Conduct program budgeting for the projects of the plan years (GTP period)
- Conduct discussion on different stages of the government.
- Get approval and ratification.

#### **Task 8. Find the sources of fund for each project**

- Identify the projects fund source of the regions for different sectors based on the direction designed in the strategy.
- Try to get the funds.

#### **Tasks 9. The Action Plan**

The refinement of the regional development strategy and creation of an action plan represents the culmination of a regional development study. The action plan is the

	MINISTRY OF URBAN DEVELOPMENT AND HOUSING	Document No:--- /MUDH/xx
REGIONAL URBAN DEVELOPMENT SPATIAL PLANNING MANUAL	Issue No.1	P-- of --

framework and rationale for the projects that are finally recommended. Usually, the projects are summarized in a form specified by the international lending agencies. The action plan is usually the final chapter of the integrated regional development study. It contains an investment timetable that shows the interrelated projects over time and in relation to supporting activities. Policy recommendations constitute an important part of this plan, They are usually presented by sector, but sometimes program areas or development zones are also used.

The coordination of policy recommendations by geographic area is a demanding task, far more complicated than presenting traditional sectoral recommendations. Institutional recommendations, enabling legislation, and incentive programs are also incorporated into the action plan.

**Some practical tips gleaned from experience follow:**

- a. Prepare action plans that contain both a set of projects and programs and a short-term development program with a timetable that clearly shows the sequence of actions needed for efficient implementation. Timing of the execution of interrelated projects is particularly critical.
- b. Include project maps that show the physical location of all recommended projects in the urban areas of the region. Such maps are very useful for illustrating the spatial strategy of the action plan.
- c. During preparation of the action plan, evaluate each proposed project or action in terms of its physical resources, and its economic, social, cultural, administrative/institutional, and spatial (or regional) implications. The evaluations-quantitative, when necessary - should be presented systematically, at a depth commensurate with the level of detail of the projects (profile, pre-feasibility, feasibility, etc.). However, there is no need to attempt to reduce all such considerations to economic terms: the goal is to provide a complete but simple basis for making value judgments. Project idea selection for inclusion in the action plan thus involved a test of each idea against the overall study objectives.
- d. Evaluate the set or packages of proposed projects using the same approach as above, In

	MINISTRY OF URBAN DEVELOPMENT AND HOUSING	Document No:--- /MUDH/xx
REGIONAL URBAN DEVELOPMENT SPATIAL PLANNING MANUAL	Issue No.1	P-- of --

the process of producing this combined evaluation, project modifications that will strengthen the impact or mitigate undesirable effects of the package as a whole often suggest themselves.

- e. Create a project-evaluation framework that will help decision-makers analyze the action plan. Since decision-makers have different interests and orientations, action plans should contain evaluation tools that reveal and appeal to these interests. A simple procedures and graphics can be used to analyze the impacts of alternative projects on the use of natural resources, the development of public infrastructure, the local and regional economy, the technology, the use of space and the organization of production and marketing. They also helped to gauge public, private and social costs. Decision-makers will be able to rate each project according to the mixture of criteria they considered important: social, spatial, environmental, or economic.
- f. Include supplementary actions necessary to make the action plan work. Changing food prices initially set to benefit urban dwellers may have a much greater impact on agricultural production than increasing agricultural production with new projects. Although it is difficult to adjust pricing mechanisms, action plan proposals that include pricing changes can work if the analysis of the associated political costs and benefits is astute. Likewise, proposed changes in legislation and in regulations that might otherwise inhibit implementation of the action should be included. Tax amendments, subsidies and other incentives should also be included where appropriate.
- g. Examine the conclusions reached about the study region for their applicability to other areas.

#### **Task 10. Training and Institution-Building**

A critical goal of any regional urban development study undertaken with the support of a technical cooperation agency is the strengthening of regional capacities.

**TECHNICAL ASSISTANCE SHOULD BE VIEWED AS A SHORT-TERM SUBSTITUTE FOR LOCAL TECHNICAL CAPABILITY.**

	MINISTRY OF URBAN DEVELOPMENT AND HOUSING	Document No:--- /MUDH/xx
REGIONAL URBAN DEVELOPMENT SPATIAL PLANNING MANUAL	Issue No.1	P-- of --

It should provide a good environment for on-the-job training, as well as opportunities for formal training for in-regional technicians (regional planners). Training should be part of a carefully conceived program and should be available for personnel who will be responsible for follow-up actions in the study region, as well as for those who will conduct similar development studies in other regions. The growth of the operational capability of counterpart agencies is usually a fair measure of the success or failure of technical assistance.

Although training and institution-building techniques are well documented elsewhere, certain pitfalls common to multidisciplinary studies warrant mention here:

a. For training during regional urban development studies, rely primarily on seminars, on-the-job training of counterparts, and workshops. Long-term training sessions that take team members away from the study site seldom compensate for the disruption and loss of momentum they cause. In the experience of some developing countries, training is given extensive treatment. Particular note should be taken of the training techniques used.

b. Take care to schedule formal training courses for periods of minimal study activity.

Before Phase I, between Phases I and II, and after completion of the final report are ideal times to provide training.

c. Ensure the use of the technical results of the study by training potential users to interpret the data. Agencies and individuals who are not involved in preparing the study, but who might have use for its findings should be informed of the results and how to use them.

Whenever possible, the staff of these agencies should be involved in seminars and training courses.

d. Hold a final seminar to help national sectors implement the results of the study. This seminar can be used to link study goals to sectors/ agency goals, as well as to provide a planning model of broad use to the sectors/agency

	MINISTRY OF URBAN DEVELOPMENT AND HOUSING	Document No:--- /MUDH/xx
REGIONAL URBAN DEVELOPMENT SPATIAL PLANNING MANUAL	Issue No.1	P-- of --

## Task 11. The Final Report

The final report, although not the end goal of regional urban development planning, is a key product. The final reports of regional urban development plans usually contain a summary of the development diagnosis (Phase I) and a presentation of the proposed strategy and the action plan (Phase II) with the set of recommended projects in abbreviated form. It must summarize large quantities of material and present it in a concise and balanced way. Most of all, it must generate forward motion. A summary of the contents of the final report of the regional urban development plan is indicated below in Table .....

**Table 5. Summary of the Final Report.**

Component	Presentation
Presentation	Summary of the report's recommendations
	list of the study's participants
Introduction	Background:
	History of planning regional urban development.
	The present situation of urban system of the region.
	(a) Objectives and socio-economic development policy and Legal Frame Work of Ethiopia
	(b) The ....region's urban areas in the regional development policy framework
	(c) The regional/ national program of technical cooperation
	- Execution of the technical cooperation agreement:
	(a) Operations
	(b) Results
	(c) Contents
The National Context	- <b>Contents of the report</b>
	The national ambience and the Ethiopian population
	- Economic activities
	- Geography and natural resources
	- Production sectors
	- Regional development and its interrelation to national development
Bases for the Formulation of a Proposal for the ...Regions Urban Development	Objectives
	- The diagnostic:
	(a)The ...region as a resource - the context
	(b) Physical aspects
	(c) Population aspects

	MINISTRY OF URBAN DEVELOPMENT AND HOUSING	Document No:--- /MUDH/xx
REGIONAL URBAN DEVELOPMENT SPATIAL PLANNING MANUAL	Issue No.1	P-- of --

	<ul style="list-style-type: none"> <li>(d) Economic aspects</li> <li>(e) Social aspects</li> <li>(f) municipal service aspects</li> </ul>
An Integrated Program for the Development of ....region	<ul style="list-style-type: none"> <li>- Background and criteria</li> <li>- The strategy for development: <ul style="list-style-type: none"> <li>(a) The relation between the objectives and the diagnostic</li> <li>(b) The proposed strategies</li> <li>(C) The Future Urban System Plan</li> </ul> </li> </ul>
	<ul style="list-style-type: none"> <li>- Programs and Projects - a detailed discussion of specific sectoral actions and project components: <ul style="list-style-type: none"> <li><b>Infrastructure sectors::</b> <ul style="list-style-type: none"> <li>(a) roads program</li> <li>(b) Population centers electrification program</li> <li>c)ICT program</li> <li>d)potable water program....etc</li> </ul> </li> <li><b>Social service sectors:</b> <ul style="list-style-type: none"> <li>Preventive health care program</li> <li>Educational program</li> <li>Housing program...etc</li> </ul> </li> <li><b>Economic activities sectors: :</b> <ul style="list-style-type: none"> <li>a) Urban Agriculture program</li> <li>(a) Agro-industrial program</li> <li>(d) Zonal market program</li> <li>(e) Agricultural credit program</li> <li>(f) technology transfer program</li> </ul> </li> <li><b>Municipal service sectors:</b> <ul style="list-style-type: none"> <li>Municipal service program</li> </ul> </li> <li><b>Environment protection sectors::</b> <ul style="list-style-type: none"> <li>Natural resource conservation program</li> </ul> </li> </ul> </li> <li><b>- Conclusions and Recommendations for the short and mid-term:</b> <ul style="list-style-type: none"> <li>(a) The development program by sectors</li> <li>(b) Global evaluation</li> <li>(c) Proposal for the institutional structure for the area</li> <li>(d) Principal recommendations for the short and mid-term</li> </ul> </li> </ul>

### Some hard-earned tips on report writing include:

- a. Keep the final report short. Use annexes for detailed sectoral reports if they are required.
- b. Use maps to present important data, analyses, and conclusions. Well-prepared maps can

	MINISTRY OF URBAN DEVELOPMENT AND HOUSING	Document No:--- /MUDH/xx
REGIONAL URBAN DEVELOPMENT SPATIAL PLANNING MANUAL	Issue No.1	P-- of --

portray a large quantity of information and sharply reduce the amount of text.

- c. Produce Phase I reports to force the early integration of data and present well-reasoned preliminary conclusions. This takes pressure off the final report-writing and can streamline the product. In the interim report try to answer so many of the basic questions about development potential, strategy, and mechanisms for implementation that it permits a more schematic final report.
- d. Produce ample quantities of final reports. At least 100 copies should be produced for national, regional, sectoral and research use.
- e. Where important original maps of natural resources are a major product of the study, produce at least 50 copies, in color, if possible. High-quality maps enhance the prestige of the final publication and definitely influence reactions to the study's recommendations. The trade-off is higher cost and a possible delay in presentation of the final report.

### **STAGE THREE**

**The Regional Urban Development Spatial Plan is implemented with its own implementation strategy.**

#### **PROPOSAL OF TASKS FOR THE IMPLEMENTATION Of RUDSP**

The **IMPLEMENTATION STAGE**, includes both planning for implementation and executing the implementation process.

The Major Tasks of this stage are:

- Tasks 1. Cascading projects for the sectors
- Tasks 2. Assistance for specific programs and projects
- Tasks 3. Assistance in incorporating proposed investments into national budget
- Tasks 4. Advisory services for private sector actions
- Tasks 5. Support to executing agencies
- Tasks 6. Support in inter-institutional coordination
- Tasks 7. Monitoring and Evaluation

	MINISTRY OF URBAN DEVELOPMENT AND HOUSING	Document No:--- /MUDH/xx
REGIONAL URBAN DEVELOPMENT SPATIAL PLANNING MANUAL	Issue No.1	P-- of --

## REPORTS

Text  
Photo

**The Major Deliverables / Outputs of the stage are:**

- Cascaded projects for the sectors
- Government execution
- Feasibility and final design studies
- Implementation of projects
- Monitoring and evaluation reports
- Improved operational capability of institutions

**Responsible Bodies for the tasks in the stage:**

## **3. PART THREE- POLICY AND LEGAL FRAME WORK OF ETHIOPIA AND CAPACITY REQUIREMENT**

### ***3.1. Relevant Policy and Legal Frame Work of Ethiopia***

#### **3.1.1. The Constitution of Ethiopia**

The 1994 constitution of Ethiopia established a Federal and Democratic State structure comprising nine Regional States and two City councils.

This constitution in chapter five article 52 stated about powers and functions of states.

According to this article States are given the following powers and functions:

- a. To establish a State administration that best advances self-government, a democratic order based on the rule of law; to protect and defend the Federal Constitution;
- b. To enact and execute the state constitution and other laws;
- c. To formulate and execute economic, social and development policies, strategies and plans of the State;
- d. To administer land and other natural resources in accordance with Federal laws;
- e. To levy and collect taxes and duties on revenue sources reserved to the States and to draw up and administer the State budget;

	MINISTRY OF URBAN DEVELOPMENT AND HOUSING	Document No:--- /MUDH/xx
REGIONAL URBAN DEVELOPMENT SPATIAL PLANNING MANUAL	Issue No.1	P-- of --

- f. To enact and enforce laws on the State civil service and their condition of work; in the implementation of this responsibility it shall ensure that educational; training and experience requirements for any job, title or position approximate national standards;
- g. To establish and administer a state police force, and to maintain public order and peace within the State;

### **3.1.2. National Urban Development Policy of Ethiopia**

The 2006 urban development policy document of the country stated that the direction and speed of urban development is determined by degree of rural development. It emphasizes the need for integrating rural and urban development, for strengthening links between towns, and for inserting Ethiopian towns into the global economic network.

This policy document briefly identified the main urban problems of the country such as: the lack of physical and social infrastructure development; shortages and degraded inner-city neighborhoods; the weak linkages between towns and their rural *hinterlands*; the unbalanced growth and distribution of towns; weak economic growth, poverty and inability to satisfy the basic needs of the residents; the lack of political and fiscal independence and of adequate leadership in the towns.

The goal of the policy is to “enable towns to become development centers contributing to rural and national economic growth, while enabling the residents to participate in urban government and to accede to living standards similar to those of medium-income nations”. In detailing its goals and objectives, the policy again strongly emphasizes rural-urban and urban-urban linkages, as well as the need to expand the urban network and to broaden its interface with the rural areas. Large towns are to become industrial centers, the smaller-town economies will process agricultural products using surplus rural labor, and all towns are to serve as market and service centers. Among other policy principles it stresses the need for complementary relations among towns and for strong partnerships with private investors.

	MINISTRY OF URBAN DEVELOPMENT AND HOUSING	Document No:--- /MUDH/xx
REGIONAL URBAN DEVELOPMENT SPATIAL PLANNING MANUAL	Issue No.1	P-- of --

The document also identified the focuses on strategic action in key areas: the development of micro and small enterprises, low-cost housing, the supply of land and infrastructure, health facilities, urban grading, urban planning, environmental protection, democracy and good governance (MWUD, 2006).

### **3.1.3. Urban Planning Proclamation**

The FDRE Urban Planning Proclamation No. 574/2008 declared in 2008 in part one stated the two principal objectives: These principal objectives focus on establishing a legal framework in order to promote planned and well developed urban centers and regulating and facilitating development activities in urban centers and thereby enhance economic development of the country.

This proclamation in part two has clearly stated basic principles of urban plan:

Any process of urban plan initiation and preparation in accordance with this Proclamation shall comprise the following basic principles;

1/ conformity with the hierarchy of plans; 2/ sharing the national vision and standard as well as capable of being implemented; 3/ consideration of inter-urban and urban-rural linkages; 4/ delineation of spatial frame for urban centers in view of efficient land utilization; 5/ ensuring the satisfaction of the needs of the society through public participation, transparency and accountability; 6/ promotion of balanced and mixed population distribution; 7/ safeguarding the community and the environment; 8/ preservation and restoration of historical and cultural heritages; 9/ balancing public and private interests; 10/ to be found ensuring sustainable development.

The same proclamation in part two number 7 also stated Hierarchy of Plans.

The national and regional development strategies and schemes shall considered the following hierarchy of plans:

- 1/ National urban development scheme;
- 2/ Regional urban development plan;

	MINISTRY OF URBAN DEVELOPMENT AND HOUSING	Document No:--- /MUDH/xx
REGIONAL URBAN DEVELOPMENT SPATIAL PLANNING MANUAL	Issue No.1	P-- of --

3/ Urban plans.

Based on this proclamation all regions of the country ordered to lead consciously the socio economic development of the region preparing regional urban development plan.

### ***3.2. Capacity Requirement for the Implementation of the Manual***

#### **3.2.1. The Required Composition and Abilities of the Study Team**

Although the composition of the study team is determined primarily by the technical tasks at hand, some generalizations still hold. Long-term regional development planning teams usually involve a large mix of disciplines, but regional planners, economists, Demographers, geographers, natural resource specialists, and engineers predominate. Project-formulation and evaluation experts are also needed, and depending on the nature of the study area and the counterpart agencies, rural sociologists, other social scientists, and public administration specialists are also used in certain phases of the project. Striking a balance among all mitigates professional biases.

#### **3.2.2. Logistic and Finance Requirement**

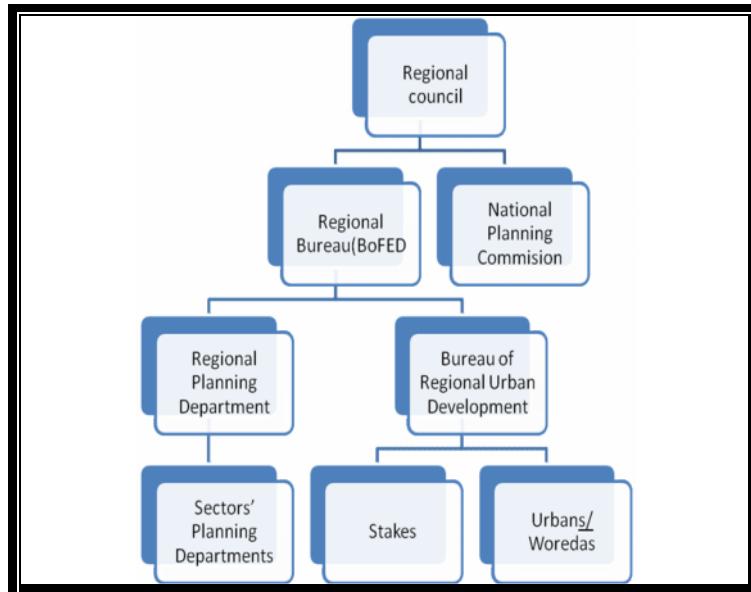
The Regional urban development Spatial Plans takes from one to two years to complete, and it involves from 15 to 75 professionals (national and regional), and costs from 10 to 20 million birr. For such studies, the final products is a regional /urban/ development strategy and a package of interrelated development projects within a proposed action plan. Most investment programs can be proposed for five to ten-year periods and cost from a few million birr to several hundred million.

#### **3.2.4. Institutional Arrangement**

The required institutional arrangement for preparing Regional Urban Development Plan is shown in the following diagram.

	MINISTRY OF URBAN DEVELOPMENT AND HOUSING	Document No:--- /MUDH/xx
REGIONAL URBAN DEVELOPMENT SPATIAL PLANNING MANUAL		Issue No.1 P-- of --

**Figure 10 Institutional arrangement for planning Regional urban Development**



### **3.2.3. Information Technology**

The required information technology for the development of regional urban development Plan are:

1. Computer
2. I CT
3. Computer soft ware's (basic computer, SPSS, AutoCAD, GIS etc).

## **PART FOUR- MISCELLANEOUS CONSIDERATION**

### ***b. Effective Date***

This manual shall enter into effect since the date of Minister of the ministry put his sign for approval till the next five plan years.

### ***c. Review of the Manual***

The manual can be updated in every five to ten years.

	MINISTRY OF URBAN DEVELOPMENT AND HOUSING	Document No:--- /MUDH/xx
REGIONAL URBAN DEVELOPMENT SPATIAL PLANNING MANUAL	Issue No.1	P-- of --

#### ***4.3. Approval***

**Approved by-----**

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	MINISTRY OF URBAN DEVELOPMENT AND HOUSING	Document No:--- /MUDH/xx
REGIONAL URBAN DEVELOPMENT SPATIAL PLANNING MANUAL	Issue No.1	P-- of --

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	MINISTRY OF URBAN DEVELOPMENT AND HOUSING	Document No:--- /MUDH/xx
REGIONAL URBAN DEVELOPMENT SPATIAL PLANNING MANUAL	Issue No.1	P-- of --

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	MINISTRY OF URBAN DEVELOPMENT AND HOUSING	Document No:--- /MUDH/xx
REGIONAL URBAN DEVELOPMENT SPATIAL PLANNING MANUAL	Issue No.1	P-- of --

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	MINISTRY OF URBAN DEVELOPMENT AND HOUSING	Document No:--- /MUDH/xx
REGIONAL URBAN DEVELOPMENT SPATIAL PLANNING MANUAL	Issue No.1	P-- of --

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	MINISTRY OF URBAN DEVELOPMENT AND HOUSING	Document No:--- /MUDH/xx
REGIONAL URBAN DEVELOPMENT SPATIAL PLANNING MANUAL	Issue No.1	P-- of --

## Annexes

### ***Annex one - Questionnaire designed for the manual preparation***

**Ministry of Urban Development, Housing and Construction**

**Urban Planning, Sanitation and Beautification Bureau**

**This Questionnaire is designed to collect experience on regional urban development planning or Regional Strategic Planning and different socio economic data of the sample regions for the preparation of Regional Urban Development Planning Manual of Ethiopia.**

The Ministry of Urban Development, Housing and Construction Urban Planning, Sanitation and Beautification Bureau has been preparing different documents to support the plan preparation and implementation of the urban areas of the country. Likewise the preparation of **Regional Urban Development Planning Manual** is one of the bureau's ongoing documents targeted to be achieved in this year. The main purpose of this questionnaire is therefore **to** collect different socio economic data of the sample regions and experience on regional urban development planning or Regional Strategic Planning for the preparation of Regional Urban Development Planning Manual of Ethiopia. So we kindly request you to give us your genuine responses to this questionnaire to support the manual preparation. Thank you in advance for your cooperation.

Thank you!

Address

Name of the region\_\_\_\_\_

Name of the bureau\_\_\_\_\_

Tel\_\_\_\_\_

Email\_\_\_\_\_

	MINISTRY OF URBAN DEVELOPMENT AND HOUSING	Document No:--- /MUDH/xx
REGIONAL URBAN DEVELOPMENT SPATIAL PLANNING MANUAL	Issue No.1	P-- of --

## **Part I**

1. The administrative structure of the your region
  - a. four ladders of administration: the region, zone, woreda  
\_\_\_\_\_, \_\_\_\_\_, \_\_\_\_\_, \_\_\_\_\_
  - b. No of Zones \_\_\_\_\_
  - c. No of Woredas/districts \_\_\_\_\_
  - d. No of urban administrations.
  - e. No of lowest administrative units /villages/kebele in the region. \_\_\_\_\_.
2. What are the major Organs of the Regional State of region :  
\_\_\_\_\_
3. Would you please describe the planning system of you r region based on the following points?
  - a. Responsible stakes for planning development issues of each sectors
  - b. The actual process of plan preparation at regional and district level
  - c. Approval and of the plan and budget
  - d. Budget allocation  
\_\_\_\_\_  
\_\_\_\_\_
4. In your region do you have the experience of planning regional urban development system? If yes, would you please share us your experience on the overall process of plan preparation describing the major activities in the plan initiation, preparation and implementation stages.  
\_\_\_\_\_  
\_\_\_\_\_
5. Who are the stakeholders involved in the preparation of regional urban development plan /regional urban system plan?  
\_\_\_\_\_  
\_\_\_\_\_

	MINISTRY OF URBAN DEVELOPMENT AND HOUSING	Document No:--- /MUDH/xx
REGIONAL URBAN DEVELOPMENT SPATIAL PLANNING MANUAL	Issue No.1	P-- of --

6. If there is no experience of preparing regional urban development plan in your region, what are the major problems encountered in the urban development works, in overall regional economic development and urban system of your region?

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7. What are your solutions for the problems or challenges that you stated above?

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8. In your region do you have a manual or a guide which help the preparation of regional urban development plan?

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9. What are the core issues which should be considered in the preparation of the regional urban development plan?

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10. Which are your local or international best practices that you took for planning and implementing regional urban development of your region?

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11. What is the institutional and organizational structure framework to prepare the regional urban development plan/ regional urban development strategy in your region?

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12. How can we employ public participation in the preparation and implementation of regional urban development plan?

	MINISTRY OF URBAN DEVELOPMENT AND HOUSING	Document No:--- /MUDH/xx
REGIONAL URBAN DEVELOPMENT SPATIAL PLANNING MANUAL	Issue No.1	P-- of --

13. What is the role of the federal and the neighbor regional governments in the process of planning and implementing regional urban development plan?

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14. What is the appropriate Plan period for regional urban development plan?

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15. What are the important data needed to prepare regional urban development plan?

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16. Can you please list the required professional composition needed to prepare regional urban development plan?

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17. What is the average time required to prepare regional urban development plan?

Write your estimate in different phases.

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18. In your region what are the opportunities of planning and implementing regional urban development plan/ regional urban development strategy?

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19. What are the financial sources for planning and implementing regional development issues?

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	MINISTRY OF URBAN DEVELOPMENT AND HOUSING	Document No:--- /MUDH/xx
REGIONAL URBAN DEVELOPMENT SPATIAL PLANNING MANUAL	Issue No.1	P-- of --

20. What is the process of intra-regional allocation of grants in your region

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21. What are your recommendations to bring balanced regional urban system in your region

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22. List the urban development planning issues in their order of priorities in your region.

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## **Part II**

### **1. Degree of Urbanization**

#### **1.1. Level and trends of urbanization**

##### **Level**

Name of the Sample regions	Total urban population and percentage of the total population of the region		
	2007		
	No of towns	Popn No	%
Oromiya			
SNNPR			
Harar			
Somali			
Tigray			
Amhara			
Total			

**1.2.G.R**

Name of sample Regions	G.R.of regions in the year of census
	Projected result from 1994 and 2007 Census data
Oromiya	
SNNPR	
Harar	
Somali	
TIgrai	
Amhara	

**1.3. Data to measure Primacy in different indexes and urban hierarchical distribution**

Name of the region \_\_\_\_\_

Region	Urban population
	CSA, 2007
Regional urban centers with Popn above 2000	
-----ZONE Urban population	
-----ZONE Urban population	
-----ZONE Urban population	
Total	



***Annex two - Recommended questionnaire for collecting socio economic data in the preparation of regional urban development plan.***

**1. Degree of Urbanization**

**1.1. Level and trends of urbanization**

**Level and Trend**

Name of the Sample regions	Total urban population and percentage of the total population of the region											
	1984			1994			2007			2013		
	No of towns	Popn No	%	No of towns	Popn No	%	No of towns	Popn No	%	No of towns	Popn No	%
Oromiya												
SNNPR												
Harar												
Somali												
Tigray												
Amhara												
Total												

**1.2.G.R and Trend**

Name of sample Regions	G.R. of regions in the year of census			
	1984	1994	2007	2013
Oromiya				
SNNPR				
Harar				
Somali				
Tigray				
Amhara				

**2. Data to measure Primacy in different indexes and urban hierarchical distribution**

**2.1. Data to measure level and trend of urban hierarchical Distribution, Primacy in different indexes and density.**

Name of the region \_\_\_\_\_

	MINISTRY OF URBAN DEVELOPMENT AND HOUSING	Document No:--- /MUDH/xx
REGIONAL URBAN DEVELOPMENT SPATIAL PLANNING MANUAL	Issue No.1	P-- of --

Region	Urban population	Urban Land Area		
	CSA, 2007	CSA, 2013 projected result	2007	2013
Regional urban centers with popn above 2000				
-----ZONE Urban population				
-----ZONE Urban population				
-----ZONE Urban population				
Total				

### 3. Spatial Distribution of Urban

#### 3.1. Total Land Area and Average Density of Urban Centers at Regional Level

Name of the region \_\_\_\_\_

Names of the zones	2007			2013		
	No. of the towns	Total land area of the urban	Average density	No. of the towns	Total land area of the urban	Average density

#### 3.2. The spatial distribution of urban centers In the region

- a. Linear   b. dispersed   c. Nucleated   d. mixture

	MINISTRY OF URBAN DEVELOPMENT AND HOUSING	Document No:--- /MUDH/xx
REGIONAL URBAN DEVELOPMENT SPATIAL PLANNING MANUAL	Issue No.1	P-- of --

3.3. If linear, along with what. a. rivers b. road c. any other.....

3.4. Map of Regional Urban Distribution

1. Soft Copy\_\_\_\_\_

2. Hard Copy\_\_\_\_\_

#### 4. Linkage Analysis

4.1. Transport Linkage

4.1.1. Coverage Data at regional level

Type of road	length	% of the total length	Road Transport coverage
Dry weather road			
All weather road - gravel			
All weather road - asphalted			
Total			

4.1.2. Transport net work analysis in large and small towns

Analysis of Beta and Gama Indexes –

a.. The total number of towns (nodes)\_\_\_\_\_

b. number of transport links between nodes\_\_\_\_\_

4.1.3. The state of rural to urban road linkage in your region?

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4.1.4. What are the major constraints of road transport in your region?

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4.1.5. What is your comment on the measures to avoid these constraints and to result in efficient transport linkage in your region?\_\_\_\_\_

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	MINISTRY OF URBAN DEVELOPMENT AND HOUSING	Document No:--- /MUDH/xx
REGIONAL URBAN DEVELOPMENT SPATIAL PLANNING MANUAL	Issue No.1	P-- of --

#### 4.2. Communication Linkage between Large and Secondary towns

##### 4.2.1. Tele communication service and links

Study Region	Coverage in %	
	Total coverage	
	No. Of towns	%

##### 4.2.2. ICT service and its linkage

Study Region	Coverage in %	
	No. towns which has access	coverage % of the total

##### 4.2.3. Access of Electric services

###### Electric services coverage

Study Region	Coverage in % of the total urban centers of the region	
	HEP	
	No. of towns	% of the total

##### 4.2.4. Pipe line water supply in the towns of the region

###### Water supply coverage at regional level

Study Region	No. of towns	% of the total



MINISTRY OF URBAN DEVELOPMENT AND HOUSING

**Document No:---**  
**/MUDH/xx**

REGIONAL URBAN DEVELOPMENT SPATIAL PLANNING MANUAL

## Issue No.1

P-- of --

### 3. Social services

#### **a. Educational services coverage**

**Name of the region** \_\_\_\_\_

## Data on primary and secondary schools



MINISTRY OF URBAN DEVELOPMENT AND HOUSING

**Document No:---**

/MUDH/xx

REGIONAL URBAN DEVELOPMENT SPATIAL PLANNING MANUAL

## Issue No.1

P-- of --

## Data on higher commission distribution



## **b. Health services**

**Name of the region** \_\_\_\_\_



## Housing facility

**Name of the region** \_\_\_\_\_

**C. others**

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## 15.12. Economic Sector

### 15.12.1. Banking Service Linkage

Name of the region \_\_\_\_\_

	Bank of all type		Insurance	
Name of the zone	No.	Coverage %	No.	Coverage %




**15.12.2. Industrial Sector****1. List the most important small scale industries in your region**

1. \_\_\_\_\_ 2. \_\_\_\_\_  
3. \_\_\_\_\_ 4. \_\_\_\_\_  
5. \_\_\_\_\_ 6. \_\_\_\_\_  
7. \_\_\_\_\_ 8. \_\_\_\_\_

**2. List the most important medium scale industries in your region**

1. \_\_\_\_\_ 2. \_\_\_\_\_  
3. \_\_\_\_\_ 4. \_\_\_\_\_  
5. \_\_\_\_\_ 6. \_\_\_\_\_  
7. \_\_\_\_\_ 8. \_\_\_\_\_

**3. Zonal Distribution of industries**

Name of the zone	Small scale		Medium scale	
	No.	Coverage %	No.	Coverage %




**15.12.3. Economically active population of the study towns at zonal level****15.12.3.1. No. of population evolved in the sector at zonal**

The Major sectors	No. of population evolved in the sector at zonal level										
	1	2	3	4	5	6	7	8	9	10	Total
Agricultural, Forestry, Fishing industries											
Mining and Quarrying											
Manufacturing											
Gas and water supplies											
Trade											
construction											
House hold goods											
Hotel and restaurant											
Repair of Vehicles											
Transport storage and communication											
Financial intermediation											
Real state renting and business activities											
Public administration and defense											
Educational service and social work											
Other Socio – cultural Households with employed person											
Private Households with employed person											
Extra territorial bodies											
Total											

**15.12.3.2. Indexes of local specialization****a. Data to calculate indexes of local specialization of each towns in your region**

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**15.12. 4. The major tourist sites in the region**

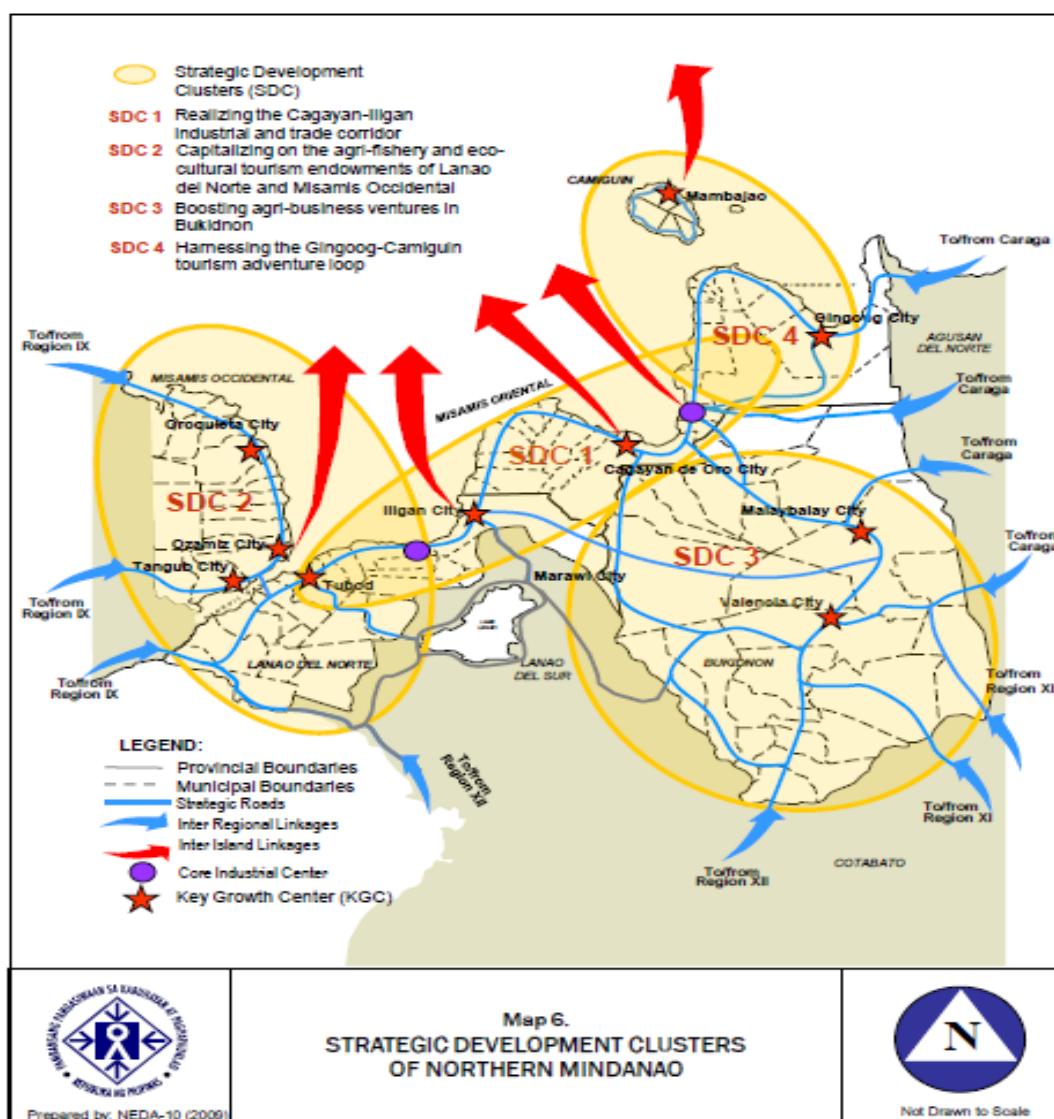
Types of tourism	Location		Access of infrastructure Yes/no			
	zone	town	road	tell	water	Hotel to the Standard



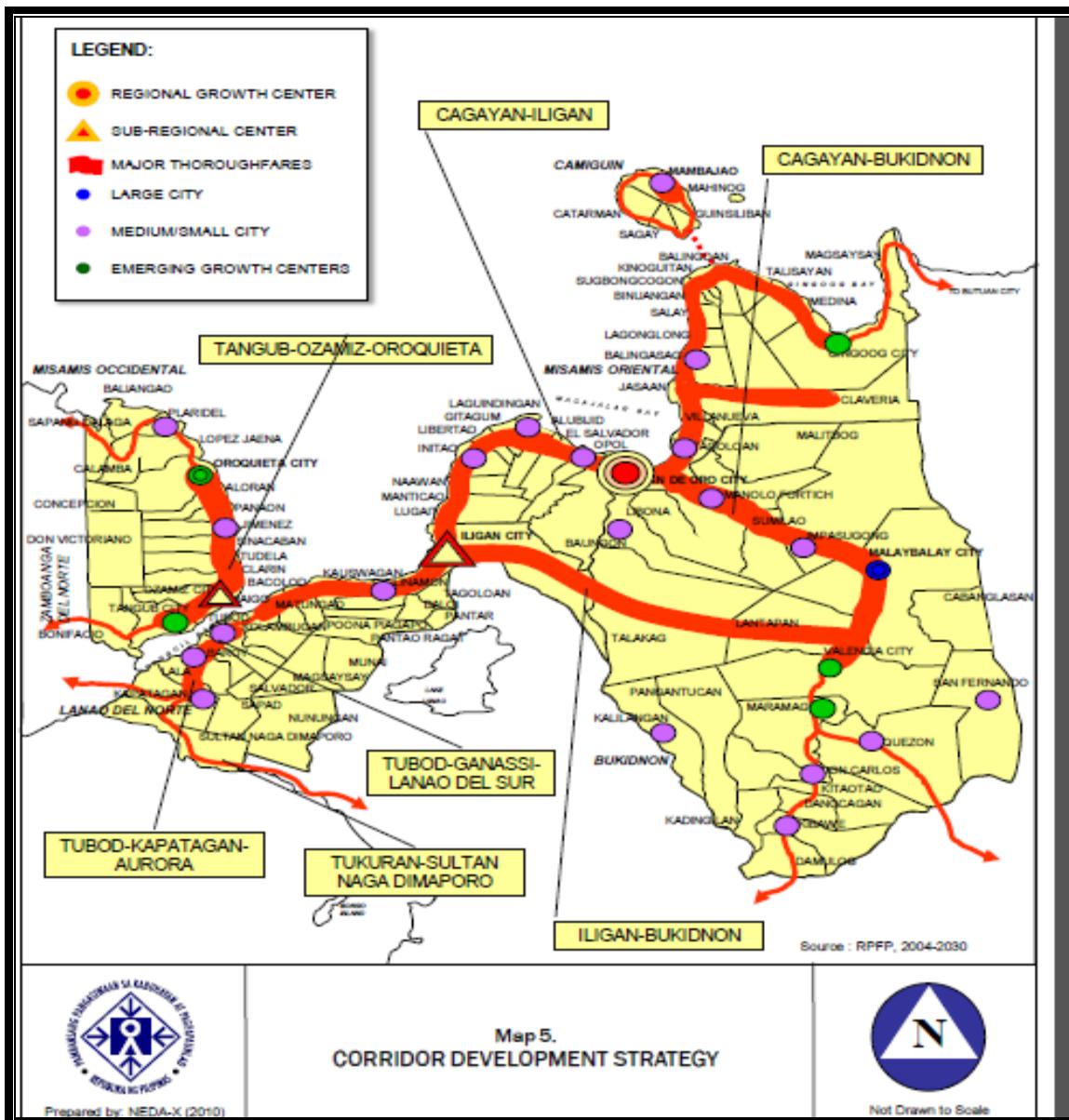
## Annex – three

## International and National Experiences

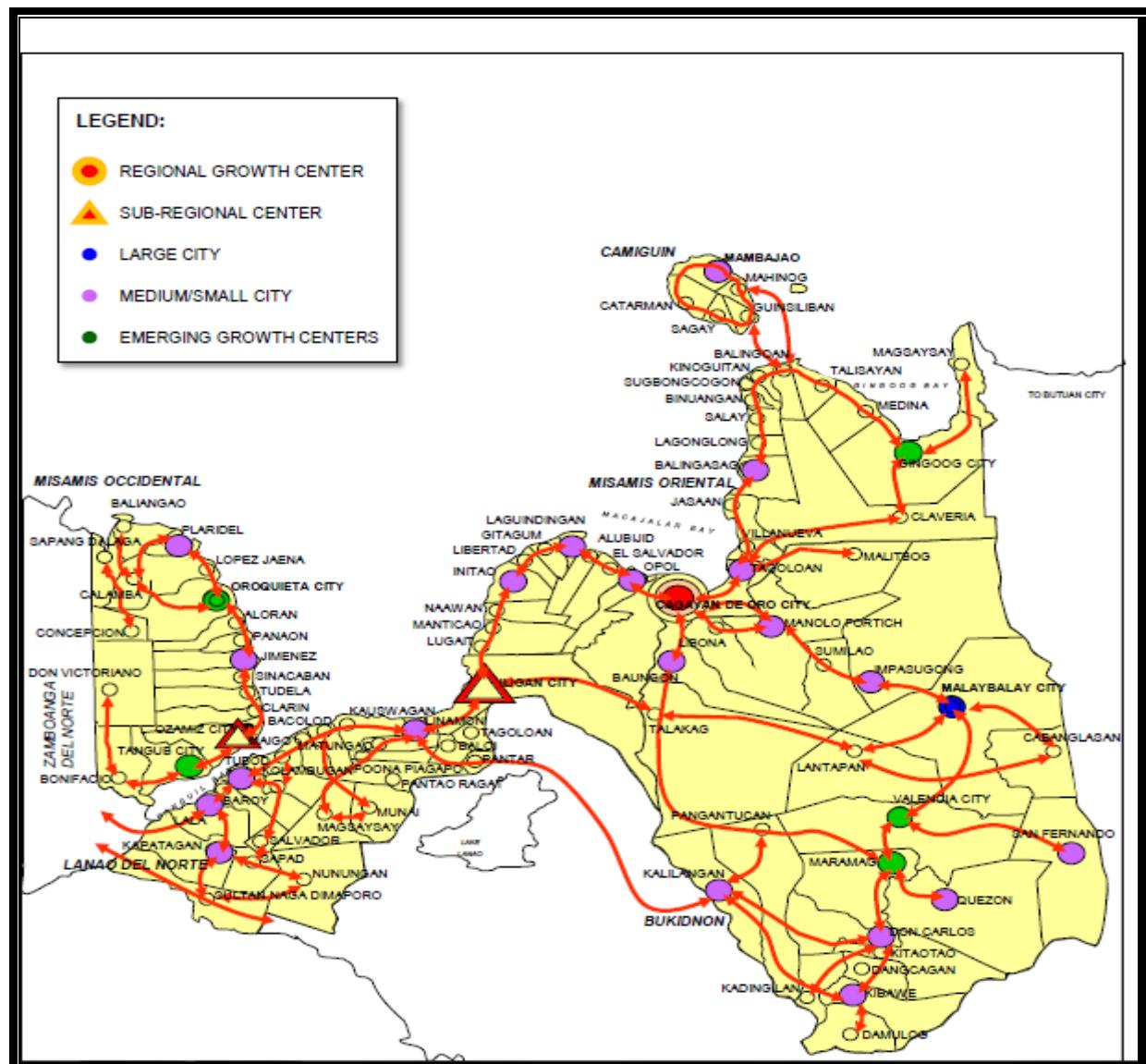
## A. International Experiences



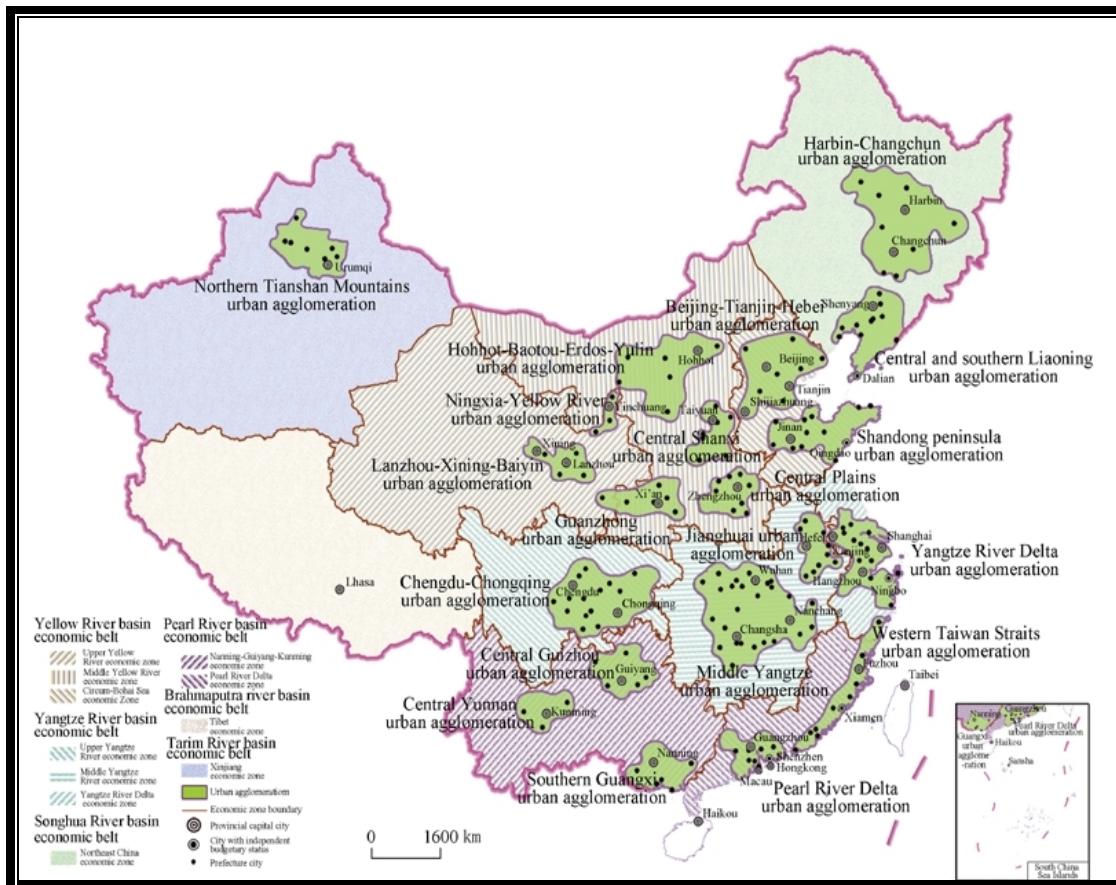
## Clusters For Regional Development in Philippine



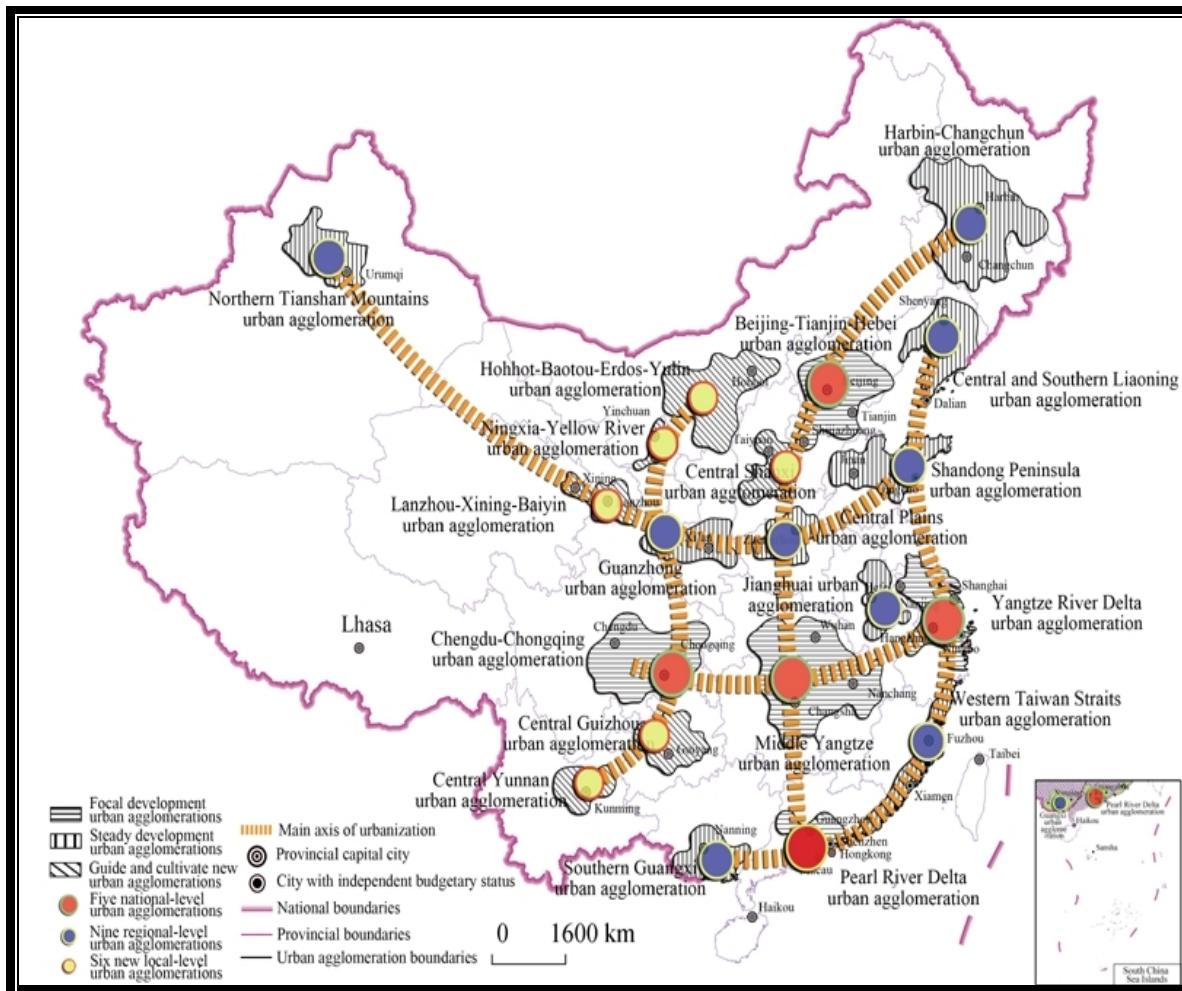
Corridor Regional Development Strategy in Philippine



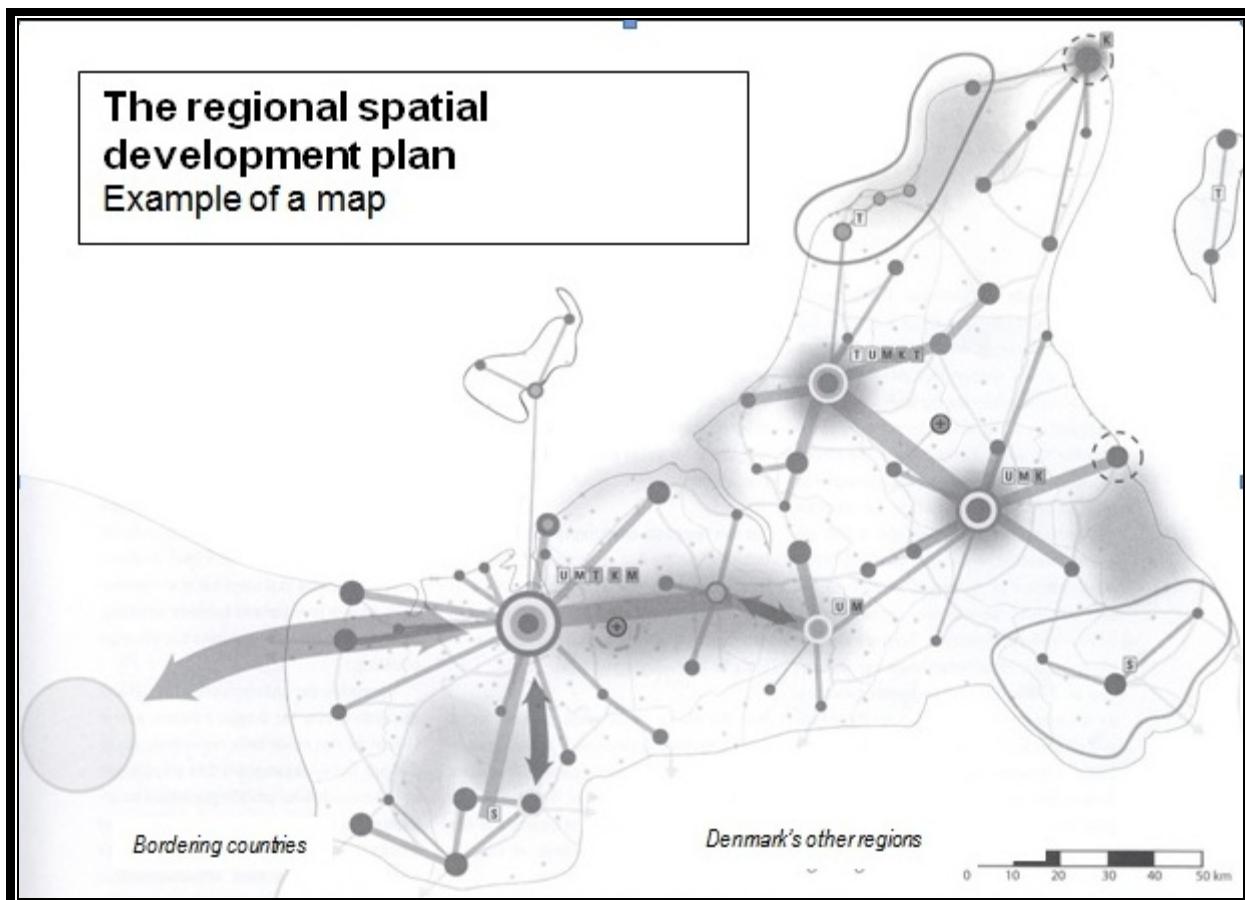
Model of Polycentric Regional Development Strategy in Philippine



City Clusters in China

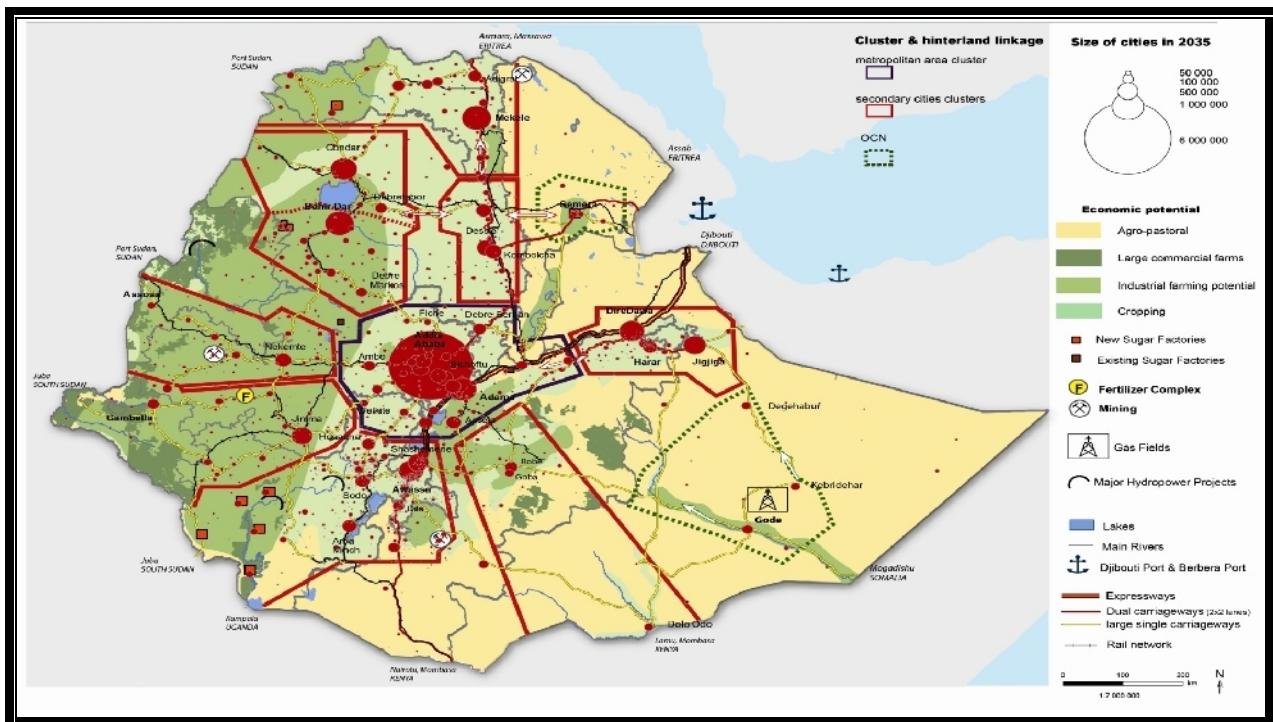


Urban agglomeration and City Clusters Linkage Line

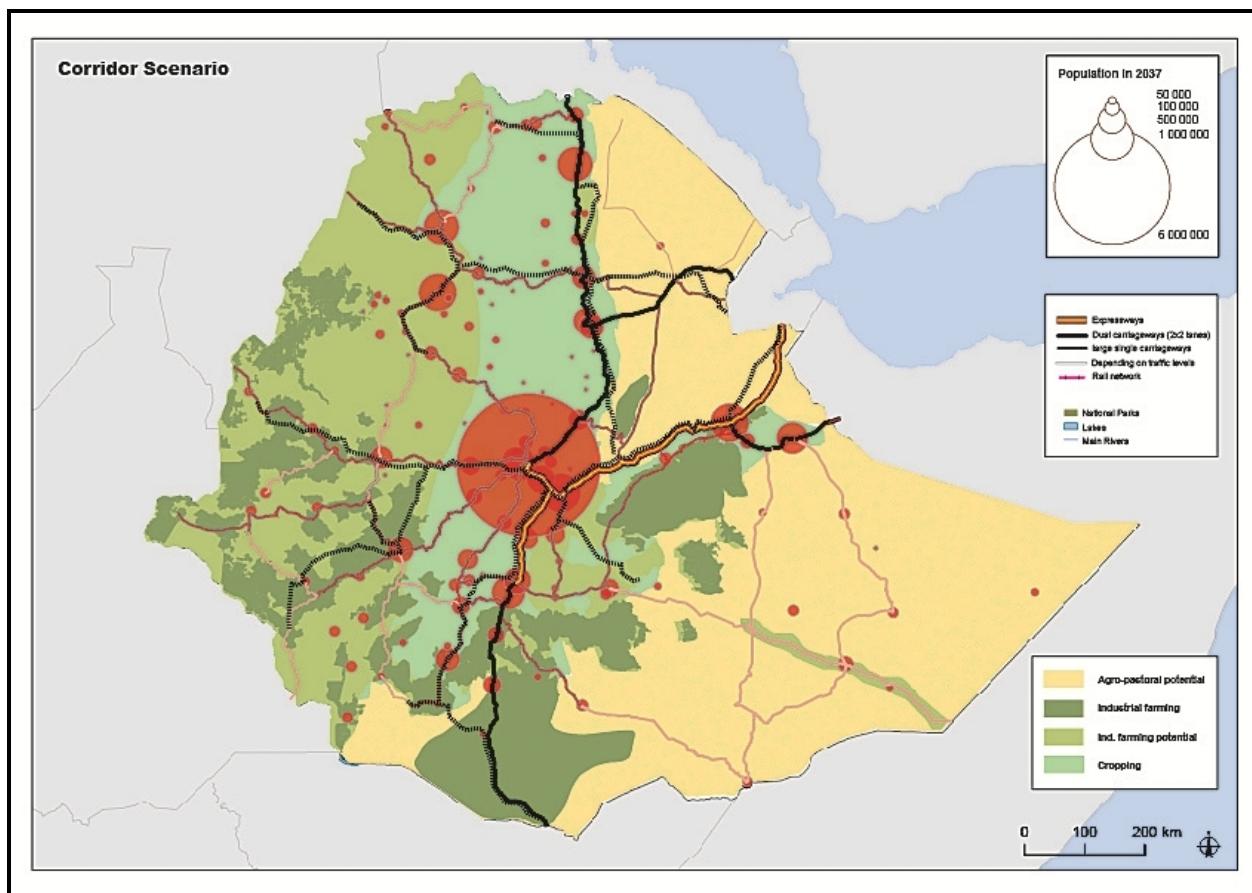




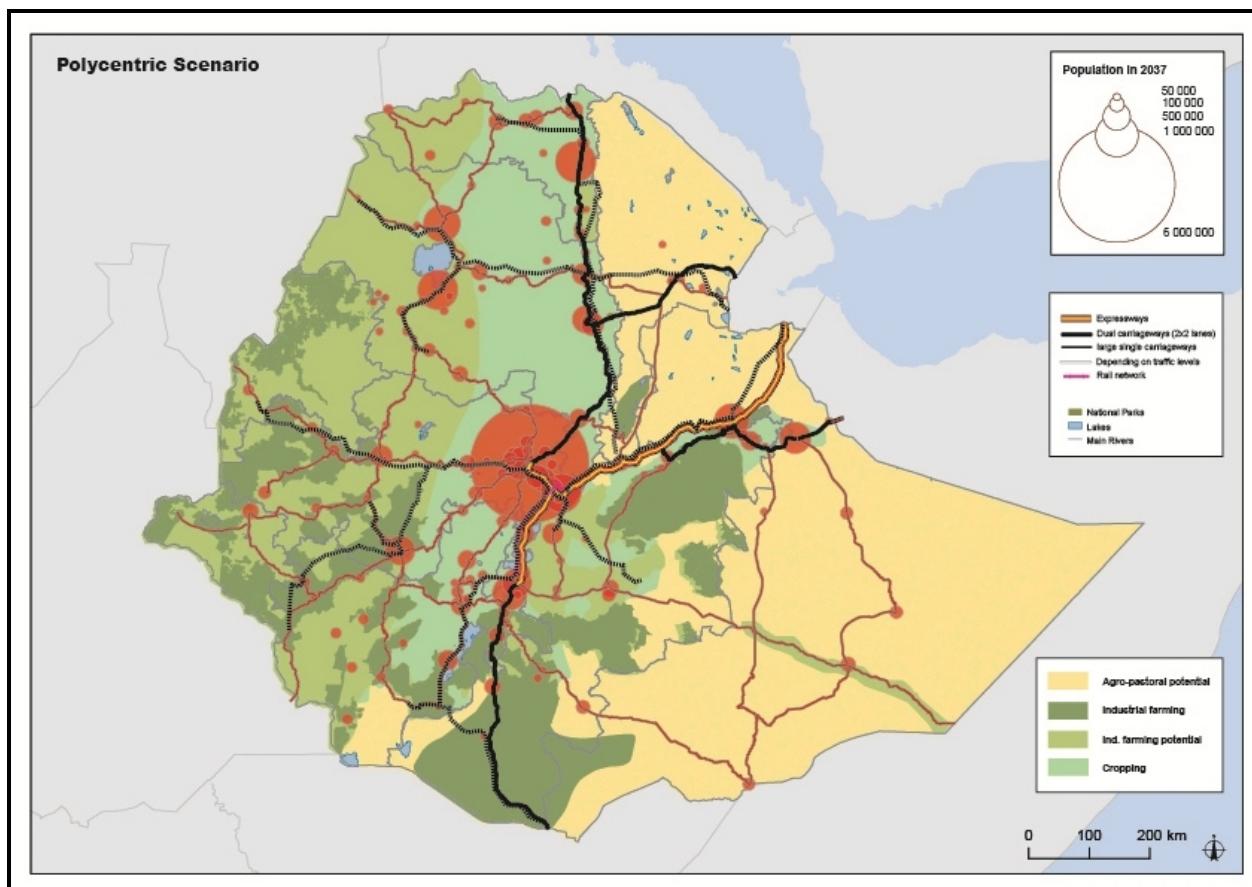
## B. National Experiences



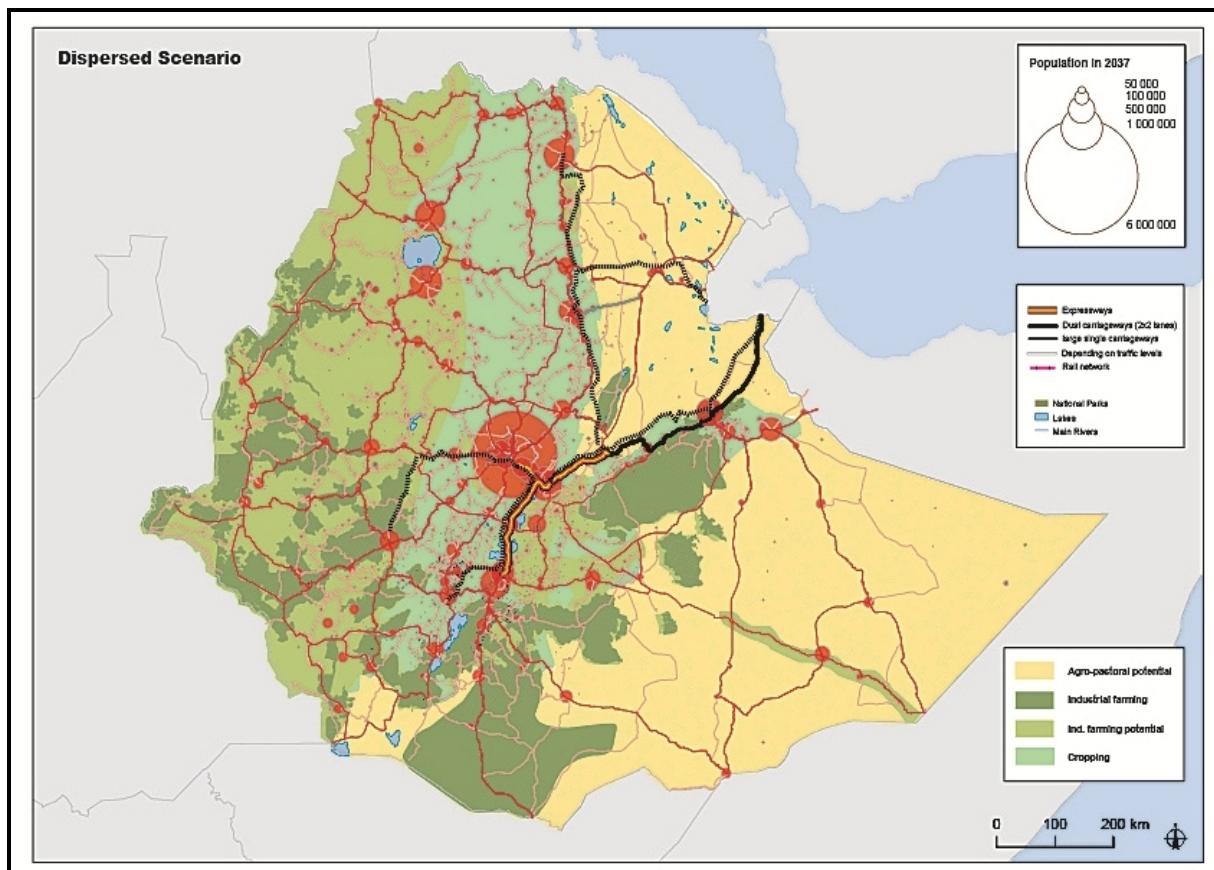
# National Strategic Development Clusters of Ethiopia



## Corridor Urban Development Strategy



## Polycentric National Urban Development Strategy



## Dispersed National Urban Development Scenario



## The Consolidated Urban Scenario – Transportation Links

