

C&RP 597 - CITY PLANNING IN THE CONTEMPORARY WORLD

**SYLLABUS**

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Prerequisites: History 111 and 112, or 131 and 132, or 151 and 152 or 171 and 172, and 5 cr. hrs. in social sciences or instructor approval  
Credit: 5 hours  
Time: Tuesday, 6:30-10:00 p.m.  
Room: 35X Hitchcock Hall  
Instructors: B. von Rabenau  
Office Hours: B. von Rabenau (Brown 289C) Tuesday and Wednesday 2-5 p.m. or by appointment  
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**INTRODUCTION AND GOALS**

Historically, only a small share of the world's population has lived in cities. In recent years however, urban areas have grown rapidly in size and number, as a result of overall population growth and rural-urban migration. Close to 40 percent of the world's population now lives in urban areas, and urban areas grow by more than 10 percent annually, so city size doubles every 7 years.

In general, urban areas grow because they are centers of economic vitality and strength. The higher a country's level of urbanization, the greater its income, education, and overall development.

Still, there are unresolved problems. Some of the fastest growing cities lie in the poorest countries of the world, where squatter settlements are common, population densities can be extreme, shelter and services do not keep up with need, and health conditions are poor. People may lack employment, their jobs may be far from their place of residence, and income may be irregular and low. Problems in high income countries differ but are also real. Downtown areas must be adjusted to changing land use, an old stock of housing and infrastructure needs repair and replacement, and a shifting economic base may require retooling and retraining of workers.

The course looks at these urban problems with focus on housing. It is based on the premise that all cities must deliver a common set of services to satisfy their citizens' basic needs; many of them encounter similar problems and issues in attempting to deliver these services; and despite all their differences, there by and large is a common set of instruments by which cities can address their planning problems. In particular, the course will:

- (1) introduce students to the urban system as related to the delivery of basic housing needs, including:
  - **shelter** to provide safety, privacy and protection from nature;
  - physical services to provide **water** safe to drink, **streets** for access, **fuel** for warmth and food preparation, and **waste disposal** for environment safety; and
  - social services for minimum **health care** and basic **education**.
- (2) describe, compare and classify the main problems encountered in the delivery of shelter and services including:
  - lack of **institutional capacity** in local government and urban organizations designed to assist in service delivery;
  - **inappropriate policies**, sometimes creating the very problems and shortages they were designed to overcome;
  - lack of **financial** resources to develop, maintain and operate urban services.
- (3) acquaint students with the main instruments by which governments and their planners can hope to improve basic need delivery, including:

- **institutional development** through the upgrading of skills, and improved organization and administration;
- **fiscal instruments** to improve revenue collection and cost recovery;
- **direct public sector provision** of shelter and services;
- **policies, incentives and regulatory instruments** that permit a smooth and efficient operation of urban markets and that limit market failures.

The challenge for the urban planner is to identify bottlenecks and problems in shelter and service delivery; to identify the reasons for the lack of performance in the urban system; and to develop a rational planning response that would improve system performance. While there are differences among countries in national income, physical resources, culture, and climate, the principal urban services to be provided remain the same; and while there are differences in the emphasis that different countries place on different instruments of housing delivery, the broad categories remain constant for all of them. The course illustrates both the common elements in the nature of urban planning and its variations across the contemporary world.

## **COURSE ORGANIZATION**

The initial two weeks of the course introduce students to (1) the concept of urbanization and (2) the major world regions. The next seven weeks are organized by planning issue (rather than by country or world region). Each urban issue is illustrated by reference to country/city cases held constant throughout the course. The final week is devoted to a summary and outlook. In particular:

Part I (1 week) sets the stage and examines the characteristics and functions of urban areas, the process of urban development, and government's efforts to manage urbanization, including its sources, reasons and role in national development.

Part II (1 week) provides an overview of the urban situation in prototypical countries around the world. The contemporary world is classified along regional lines, in addition to being characterized according to such criteria as development status (more or less developed), economic system (planned vs. market economy), and urban government form (local vs. centralized system of urban administration). The principal aim here is to provide an overview and orientation of typical country cases that can be used for illustrative purposes throughout the course.

Part III (7 weeks) looks at typical urban planning problems around the world, organized by sector:

- Urban Employment and Income
- Urban Housing Delivery
- Land Delivery
- Human Aspects of Housing Form
- Housing Finance
- Construction and Technology
- Physical and Social Infrastructure
- Municipal Administration

For each sector it first describes typical issues and problems; it then examines their reasons and determinants; it finally suggests possible planning interventions and their expected outcome -- both as actually tried in the field and possible alternatives. Part III represents the core of the course and each topic is illustrated by reference to the country cases and regions introduced in Part II.

Part IV (1 week) provides a summary and outlook over the urban problems, by regions of the world.

## **TEXTS**

No single book exists that covers all course materials. While there are numerous books on housing which treat the U.S. and developing countries individually, there are almost none that simultaneously review all regions of the world, including Eastern European/former Socialist countries, Western Europe, North

America, and the various regions of the Third World. The following two books were prepared for the 1996 HABITAT Conference on Housing and Urban Settlements in Istanbul:

World Bank      World Bank, **Housing: Enabling Markets to Work**, Oxford University Press (1993)  
HABITAT 96      HABITAT, **An Urbanizing World: Global Report on Human Settlements 1996**,  
Oxford University Press (1996)

Both are required texts, though an effort will be made to have both in the Science and Engineering Library too. Both are paperback and in the past were available at reasonable prices. In addition, you may find some of the following books useful.

HABITAT 87      HABITAT: **Global Report on Human Settlements**, Oxford University Press (1987)  
Rodwin          Lloyd Rodwin, **Shelter, Settlement and Development** Boston: Allen & Unwin (1987)  
Linn              Johannes Linn, **Cities in the Developing World**, New York: Oxford University Press  
(1983)  
Nafziger          E. Wayne Nafziger, **The Economics of Developing Countries**, Prentice Hall,  
Englewood Cliffs (1990)

The volume by Nafziger is useful for the first paper assignment. Linn's book deals almost exclusively with urban and housing issues. All books will be placed on reserve at the Science and Engineering Library to help you with your paper assignments.

## COURSE OBJECTIVES

Upon completion of the course the student should be able to:

- a) define terms and state important principles and facts with regard to the following areas covered by readings, lectures and class materials:
  - **urbanization**: its sources, reasons, and role in development; the recent urbanization experience in the main world regions;
  - **people's incomes and jobs**: the organization of the urban job market in different regions of the world, including the distinction between formal and informal markets; reasons for rural-urban migration; government's efforts in generating employment;
  - **the spatial organization of cities around the world**: the new 'downtown' vs. traditional market areas; the location of jobs and housing; where the urban poor live in the city; central versus suburban living of higher income groups;
  - **urban change and evolution**: historic preservation of buildings and lifestyles; on the need/desire of other countries to follow Western trends; different countries' approach to preserving their urban identities; how higher incomes and new transportation technology change the city;
  - **urban poverty and inequality**: how they are measured and how they manifest themselves in different world regions; how poverty influences people's ability to afford shelter and urban services;
  - **urban housing conditions and issues**: the homeless, squatter housing, slums and urban renewal, gentrification, land invasions;
  - **construction methods and housing styles**: how people build -- traditional methods, their advantages, cost and appropriateness; rediscovery and adaptation of traditional methods by modern architecture; modern technologies and their adaptation by the people; how culture shapes housing style;
  - **human aspects of housing form**: how housing preferences vary with life cycle and family structure as well as physical affordances for informal interaction, friendship formation, sense of community and safety; how participatory processes, programming and post occupancy evaluation can yield evolutionary improvements in housing;
  - **the housing development process**: progressive housing development over time, vs. one-stage development; self-help development; reasons for different development processes;

- **the role of land in development:** why people value owning their own land; different types of land ownership systems around the world; how owning land may lead to improved housing; illegal land occupation and impact on housing;
  - **housing finance:** its elements in formal and informal systems of finance; the problem of inflation; impact of finance on housing consumption and development; Islamic banking; lack of finance as a source of poor housing;
  - **urban services:** water, wastewater, transportation and electricity; their condition around the world; impact of income and relative prices on type of service provided;
  - **municipal government:** the role of government at the local level; possible forms of government administration; problems of administrative capacity; cooperative and self-help organizations;
- b) analyze the following urban problems; describe planning solutions followed in different regions of the world and their likely effectiveness:
- **providing housing for the poor:** physical construction vs. policy approach; public housing experience in developed, developing and socialist countries; rent control, interest subsidies; price controls;
  - **land use conflicts and high densities:** land use planning and control; acceptability in different societies; government methods and people's methods of land use planning; why Western land use patterns are often inappropriate elsewhere;
  - **improvement of existing housing:** urban renewal in the U.S.; upgrading vs. relocation of squatter housing; stimulating progressive development through self-help; legislating improvements through building codes and design standards;
  - **urban water and sanitation:** alternative ways of delivering safe water; private vs. public collection of wastewater; impact on health;
  - **urban transportation:** improving access by limiting it; demand for roads and streets; public transport;
  - **appropriate building methods:** formal vs. informal sector construction; industrialized housing--the experience in western, socialist and developing countries; use of local materials and traditional methods -- advantages and disadvantages;
  - **crime and fear of crime in housing:** prevention through environmental design vs. other approaches (police, punishment, community control); defensible space principles;
  - **improvement of land delivery:** who owns the land; means of improving land distribution; the importance of knowing who owns the land; means to make land accessible to the poor;
  - **cost recovery for urban services:** why it is important and how it can be improved; why good service requires cost recovery;
  - **upgrading municipal administrative capacity;**
  - **project design issues:** how to reach the poor; replicability; technical and financial feasibility;
  - **improvements in housing finance and savings mobilization.**

## TEACHING METHODS

Materials will be presented through lectures, readings, videos and slides. These sources of information are designed to complement and enrich each other. Videos and slides in particular are used to assist students to visualize urban problems around the world and to strengthen their understanding of the urban physical environment under alternative conditions of income, climate and cultural heritage.

A further important teaching tool is the writing component of the course. Students will be given a list of paper topics requiring them to describe and analyze a particular urban issue or policy, and to compare it across countries or regions. The writing process and discussions with the instructor/teaching assistant will deepen the students understanding of the course material.

In addition, the course will rely on class discussions to involve students in the course material. In addition students are encouraged to consult individually with the instructor and/or teaching assistant on paper assignments.

## **ACADEMIC MISCONDUCT**

All students are held responsible for following and abiding by the University's policies on plagiarism and academic misconduct.

In determining cases of possible plagiarism, City and Regional Planning uses the document below, which was originally prepared by OSU's Department of English [modifications to the original statement are indicated in brackets]. Every student will be held responsible for reading and understanding the following statement:

"Plagiarism as the English Department defines it, can take several forms. The most obvious form is a word-for-word copying of someone else's work, in whole or in part, without acknowledgment, whether that work may be a magazine article, a portion of a book, a newspaper piece, another student's essay, or any other composition not your own. Any such verbatim use of another's work must be acknowledged by (1) enclosing all copied portions in quotation marks and by (2) giving the original source either in the body of your essay or in a footnote [or end note]. As a general rule, you should make very little use of quoted matter in your themes [or reports].

A second form of plagiarism is the unacknowledged paraphrasing of the structure and language of another person's work. Changing a few words of another's composition, omitting a few sentences, or changing their order does not constitute original composition and therefore can be given no credit. If such borrowing or paraphrasing is ever necessary, the source must be scrupulously indicated by footnotes.

Still another form of plagiarism is more difficult to define. It consists of writing a theme based solely on the ideas of another. Even though the language is not the same, if the thinking is clearly not your own, then you have committed plagiarism. If, for example, in writing a theme you reproduce the structure and progression of ideas in an essay you have read or a speech you have heard, you are not engaging your own mind and experience enough to claim credit for writing your own composition.

... To protect conscientious students, and to guarantee the quality of their education, the University assesses heavy penalties against those who plagiarize. By Faculty Rules, penalties for plagiarism range from an "E" grade in your course to dismissal from the University. If these penalties seem severe, remember that your integrity and the integrity of the University itself are at stake.

The English Department [and the City and Regional Planning Program] cannot prevent students from plagiarizing, but it can make sure that they know what plagiarism is, what the penalties for it are, and in what jeopardy it places future careers. If you do not fully understand this statement on plagiarism, consult your instructor. **IF YOU HAVE DOUBTS ABOUT THE ORIGINALITY OF A PAPER YOU HAVE WRITTEN, SEE YOUR INSTRUCTOR BEFORE YOU TURN IT IN.**"

## **METHOD OF EVALUATION**

Attendance will be taken during each class and contributes 10 percent to the total grade. The remainder of the grade is made-up of four activities: a mid-term, a final and two papers, each counting 22.5 percent of the total grade.

The mid-term covers class and reading materials of the first half of the course, the final covers the materials of the second half. Both examinations last 60 minutes and are closed book. Each consists of a series of question intended to assess the student's knowledge of course material and ability to analyze housing issues and planning problems in the contemporary world. Up to 20 percent of the questions (in terms of their points) are multiple choice. The remainder are essay type questions requiring short answers ranging in length from one sentence to three or four paragraphs.

The two papers should be at least 8 pages in length each (based on 11pts, Times New Roman, double spacing) and typewritten. You can hand the paper in single-spaced as it looks better. The first paper calls for a comparative country profile on a country of your choice. A more detailed description of this assignment will be given to you in the first week of class. The second paper is on a topic of your choice. You will be provided with further instructions and a list of topic ideas during the fourth week. However,

no matter what your topic choice, the paper must be on one of the generic housing and urban themes covered in weeks 4 - 9 of the class, and it must involve some international comparative analysis.

Students are encouraged to meet with the instructor and/or the teaching assistant for comments on a paper outline and first draft. The following is the schedule of mid-terms and deadlines associated with paper assignments:

### **MID-TERMS**

1. Week 5: 6:30-8:30, First term exam covering materials of week 1-4.
2. Week 10: 6:30-8:30, Second term exam covering materials of week 5-9.

### **ASSIGNMENT DATES**

1. Week 1: Handout of topics for first paper.
2. Week 4: Students hand in completed first paper.
3. Week 4: Handout of topics for second paper.
4. Week 9: Students hand in the final version of their second paper (in duplicate if one copy is to be returned).

### **READING ASSIGNMENTS AND CLASS SCHEDULE**

#### **Week 1 Urbanization and Settlement Planning**

Rapid urbanization is a recent phenomenon, related to changes in industry structure, income growth, and education. The recent urbanization experience is discussed, including the reasons for urbanization, sources of urban growth, and the challenge it poses to settlement planning and the provision of shelter and services for people's basic needs.

#### **READ:**

HABITAT 96, Ch. 1, The Global Context  
Nafziger, Ch. 3-6

#### **Week 2 Urban Problems by World Regional and Country Type**

Countries are classified by their level of development, level of urbanization, market structure (planned, market or mixed economy), population growth, and socio-economic characteristics. The impact of country characteristics on urban problems and planning approach is discussed. Country cases are introduced to be used for illustrative purposes throughout the course.

#### **READ:**

HABITAT 96, Ch. 2, Regional Perspectives on Population and Urbanization  
Nafziger Ch. 7-11

#### **Week 3 Urban Economic Base, Employment and Income**

- Increasingly, the job generating task falls on the urban economies of the world. Yet a lack of jobs, un- and underemployment, and low wages remain among the chief **problems** that limit households' ability to satisfy basic needs.
- Macro-economic policies and labor market rigidities are some of the **reasons**; other factors include a lack of skills, labor market segmentation and a lack of physical access to jobs, particularly among the poor.
- Possible types of **intervention** include job guarantees, minimum wage rates, sector and locational incentives, though all of these could be counterproductive.

#### **READ:**

HABITAT 96, Ch. 3, Social Conditions and Trends  
HABITAT 96, Ch. 4, Environmental Conditions and Trends

#### Week 4 **Urban Housing Overview**

- The section looks at housing **problems** such as lack of shelter and services, and a lack of housing affordability. Manifestations are homelessness, crowding, waiting lines, squatter and slum housing, and housing deterioration.
- Possible **reasons** include lack of income or demand, inappropriate (i.e. high) government standards and regulations.
- Possible **planning intervention** includes rent control, public housing construction, and subsidies among others, though none of these typically are particularly successful.

#### **READ:**

HABITAT 96, Ch. 6, Housing

World Bank, Enabling Markets, Ch. 1, An Overview of the Housing Sector

World Bank, Enabling Markets, Ch. 2, Understanding How the Housing Sector Works

Linn, Ch. 5 Urban Housing: Land, Services and Shelter (optional)

#### Week 5 **Land Delivery System**

- Households experience obtaining land at an affordable price; there may also be urban "blight" (limiting use of existing urban land), scattered land use, illegal and inefficient land development, land invasions, and loss of agricultural land.
- Possible **reasons** are the lack of government institutions, land speculation, ownership patterns, inappropriate government standards or lack of cadastre.
- Possible **planning instruments** include appropriate land use regulation, government land development through sites and services or incremental development, improvements in the title and cadastral system.

#### **READ:**

HABITAT 96, Ch. 7, Land, Land Markets, and Settlement Planning

#### Week 6 **Housing Finance System**

- Lack of ability to borrow makes it difficult for people to purchase shelter; it also limits the ability of utilities to provide urban services such as water, sewer and streets.
- Among the **reasons** is a lack of financial institutions, lack of appropriate financial instruments (mortgages and tariffs), high and variable inflation, or a lack of savings mobilization.
- Possible **intervention** includes new mortgage instruments, improved revenue collection by local government, greater self-financing by public utilities, cadastral development, or an improved interest rate structure.

#### **READ:**

HABITAT 96, Ch. 11, Finance for Housing, Infrastructure and Services

World Bank, Technical Supplement 1, How the Housing Sector Works

#### Week 7 **Construction Industry and Housing Technology**

- Possible **problems** include the high cost of new housing, lack of affordability and inefficient use of the existing housing stock.
- Among the **reasons** for these problems are construction sector bottlenecks, the use of inappropriate and expensive technologies, externalities in the housing stock, or the presence of rent control.
- Possible forms of **intervention** include the introduction of technologies appropriate to climate, culture and resource constraints, assistance to the informal construction sector, use of self-help or sometimes industrialized housing.

#### **READ:**

HABITAT 96, Ch. 10, Housing and Basic Services

Week 8 **Physical and Social Infrastructure**

- **Lack** of basic urban services including water and sewer remains widespread, with broad and adverse effects for health and welfare. Lack of basic health care and educational facilities also exists.
- Among the **reasons** are resource limitations and, inappropriate use of the resources that do exist.
- Possible **planning instruments** include establishing a financial basis for service delivery, appropriate choice of standards and technologies, improved maintenance and operation, staged service development in some cases, and up-front development in others.

**READ**

HABITAT 96, Ch. 8, Infrastructure and Services

HABITAT 96, Ch. 9, Settlement Planning and Management

HABITAT 96, Ch. 12, Environmental Protection and Resource Management

Week 9 **Municipal Administration and Community Organization**

- Local government often is **inadequate** to the tasks of urbanization.
- Among the **reasons** are a lack of administrative, planning and implementation capacity, low skill levels, inadequate financial resources, lack of tax and tariff instruments, or dependency on Central Government transfers.
- Possible **interventions** include the upgrading of local administrative capacity, and developing legal and fiscal instruments for the task of urbanization.

**READ:**

World Bank, Technical Supplement 2, Enabling the Housing Sector to Work

HABITAT 96, Ch. 5, Institutional Trends and the Crises of Governance

Week 10 **Outlook for Urban Problems and Planning**

This provides an assessment of the urban situation, as it relates to people's basic needs, including an outlook to future problems by world region and country type; planning priorities; and transferability of planning experiences across cultures, market systems and regions.

**READ:**

World Bank, Ch. 3, An Enabling Strategy for Housing

World Bank, Ch. 4, The Role of the World Bank

HABITAT 96, Ch. 13, New Directions for Human Settlement