# The Urban Transformation in Asia

Policy Implications of Decentralization

**URBAN ASIA—**
Challenges of Transition
and Governance
SEMINAR SERIES

**EAST-WEST CENTER**
FORMING AND INFORMING LEADERS

# The Urban Transformation in Asia
## Policy Implications of Decentralization

Imin International Conference Center
East-West Center
Honolulu, Hawai'i USA
11–13 August 2008

A summary report of dialogue, insights
and issues edited by

Allen L. Clark
Meril Dobrin Fujiki
Mariko Davidson

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## About the Seminar

In August 2008, the East-West Center brought together a small group of mayors and other high-level government leaders, urban planning practitioners, civil society representatives, and urbanization scholars from the United States, Asia, and elsewhere to examine and reflect on current trends, implications, and long-term strategic visions for managing Asia's urban growth. This gathering took place at the Imin International Conference Center on the East-West Center campus in Honolulu, Hawai'i.  The primary purpose of the three-day seminar was to facilitate a common understanding of some of the challenges and policy options surrounding the rapid growth of cities in Asia. In an informal round-table format that encouraged peer-to-peer exchanges and one-on-one conversations, the participants shared ideas, information, and experiences. The lively group discussions explored a wide range of issues that reflected the diverse perspectives and interests of the participants. All discussions were nonofficial, frank, and not for attribution. This report summarizes the dialogue and highlights insights and issues identified by the participants.

For information about the seminar, please see our website or contact us via email:

EastWestCenter.org/UrbanizationAsiaSeminar
Seminars@EastWestCenter.org

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East-West Center
1601 East-West Road
Honolulu, Hawai'i 96848-1601 USA
Tel.: 808.944.7145 Fax: 808.944.7376
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# Preface

For more than four decades, the East-West Center has brought together scholars and policymakers from the United States and Asia to **exchange views on issues of mutual concern**

One of the most dramatic demographical trends in the contemporary Asia Pacific region is the rapid growth of urban areas. Urban environments provide enormous social opportunities and economic efficiencies. But the speed of urbanization creates severe strains on Asia's urban administrative systems as they strive to respond to new political, economic, social, and environmental challenges. Often fragmented or overlapping governance structures have greatly complicated these responses.

For more than four decades, the East-West Center has brought together scholars and policymakers from the United States, Asia, and the Pacific to develop a common understanding of issues of mutual concern and to exchange views and experiences for the purpose of strengthening policy responses. In August 2008, the Center convened a seminar of city mayors and other high-level government leaders, planning officials, and urban specialists to discuss the growing challenges to urban governance. The seminar examined the broad issues of decentralization and touched on many other relevant questions, including urban infrastructure, the role of civil society, and urban responses to environmental challenges such as climate change.

This report, *The Urban Transformation in Asia: Policy Implications of Decentralization*, provides a summary of rapporteur notes of the group's discussions. The report consists of the views of individual participants, but to facilitate uninhibited discussion, it adheres to the Chatham House Rule in not attributing these to particular contributors. We present it both as a record of a rich seminar and to help inform a broader public of these participant views. The East-West Center intends to convene future activities around other issues associated with urbanization trends.

Charles E. Morrison
President
East-West Center

## Executive Summary

Urban growth, migration, and the transformation of human settlements represent rapid and fundamental changes in the structure of Asian society and are key issues of common concern for the United States and the countries of Asia. In 1960, Asia had just one megacity, defined as an urban center with a population of 10 million or more. Today, there are at least a dozen sprawling megacities in Asia. By 2015, 12 of the 22 megacities projected to develop worldwide will be in Asia, and, by 2030, Asia will account for more than half of the world's urban population—2.66 billion people out of a total global urban population of 4.94 billion. This shift in human living patterns produces new challenges in virtually every aspect of Asia's human organization.

These challenges were the focus of discussions among a small group of mayors and other high-level government leaders, urban planning practitioners, civil society representatives, and urbanization scholars from the United States, Asia, and elsewhere. The discussions took place during the East-West Center's new seminar series, *URBAN ASIA—Challenges of Transition and Governance*. The purpose of the series is to facilitate open discussion on policy options that can improve the quality of life for the people who live and work in Asia's urban areas. Through this seminar series the East-West Center hopes to make a contribution to the many ongoing efforts to address these changes and to strengthen the region's stability and viability.

The inaugural seminar, *The Urban Transformation in Asia: Policy Implications of Decentralization*, was held at the East-West Center in Honolulu, Hawai'i, 11–13 August 2008. Over a three-day period, this diverse, high-level group engaged in informal, nonofficial, frank, and non-attribution discussions of current trends, implications, and long-term strategic visions for managing Asia's unprecedented urban growth. Four key elements of importance in Asia's urban transformation were discussed: democracy and decentralization, urban infrastructure, the role of civil society, and urban climate change. The key issues, concerns, and observations of the assembled experts included:

### Democracy, Decentralization, and Urbanization in Asia: The Challenges of New Policies, Strategies, and Institutional Frameworks

It is critical to understand the following:

- Decentralization is dependent on *partnerships* among all levels of government; a top-down approach is no longer acceptable.

- The trend toward shifting the planning and implementation of infrastructure and social services from the national governments to local municipal governments is increasing rapidly in many Asian countries. Along with these actions come numerous challenges.

- In the shift from national to local, a realignment of policies should reflect the interests of all levels of government (national, provincial, regional, municipal, district).

- A partnership between the national and local governments is needed to develop funding programs designed to meet the specific needs of each municipality. Elected and appointed officials at both levels must be accountable for the proper utilization of these funds.

- The experiences and models of Western cities, e.g., those of Canada and the United States, can be problematic in terms of application to contemporary Asian municipalities, particularly in terms of financing and programs for the poor.

- Cities need economic and population growth to be able to support poverty alleviation programs, but they also need to make sure that a meaningful amount of money generated by growth actually goes into programs and projects that directly benefit the poor.

## Asia's Urban Infrastructure: Challenges and Opportunities

Major considerations in infrastructure development should include:

- *Accounting needs.* Accounting—beyond the narrow focus of financial accounting—that measures the risk and larger impacts of infrastructure development on sustainability and equity must be facilitated to ensure positive action by all stakeholders.

- *Finance as a flexible tool.* Finance is neither a rigid tool nor does it operate in a vacuum. For it to be a tool for supporting sustainable infrastructure, however, it is necessary to provide financial information in a format that facilitates decision making.

- *Planning capacity/governance capacity.* The capacity to plan and the capacity to govern are almost always the critical missing components in any attempt to create viable infrastructure. Education and information exchange are both critical for the development of planning and governance capacity.

- *The role of the private sector.* The private sector is a double-edged sword. On one hand, private investment is the lifeblood of a vibrant local economy. At the same time, however, private developers and speculators often push development onto paths that are destructive, over the long term, to the physical environment and to social equity.

- *Comprehensive planning of infrastructure.* Infrastructure planning should include provisions for both capital and operating support during and after development.

- *High costs of outside consultants.* Countries and metropolitan governments should not be overly dependent on international consultants in the development of their infrastructure. Whenever possible, local expertise should be encouraged and used.

## The Evolving Role of Civil Society in the Urban Transformation Process

To forge true partnerships between civil society and local government it is necessary to:

- Recognize and accept the value of civil society participation. Be understanding.

- Ensure broad-based representation and inputs. Be inclusive.

- Understand from the beginning that civil involvement in government is a messy, often complex, and frequently frustrating process. Be prepared.

- Involve civil society in government planning initiatives as early as possible. Be proactive.

- Ensure that civil society is involved throughout the entire process—from planning to implementation. Be complete.

- Be willing to accept that while some civil society and government ideas may be imperfect, they are meaningful to the groups involved. Be accepting.

## Urban Adaptation to Environmental Change: An Integrated Approach to Risk

To effectively deal with the impacts of climate change and variability:

- Integrate the concept of Disaster Risk Reduction into urban governance and planning.

- Risk identification is paying attention to the science and then standardizing, assessing, and sharing the information gained.

- Risk reduction is building resilient infrastructure, installing early warning systems, and developing preparedness.

- Risk transfer is getting the financial markets to accept a share of the risk and pooling it among larger communities, perhaps even across nations.

- Redefine success in disaster management from rapid restoration after disaster to a more measured approach to rebuilding that takes into account what happened and how it can be avoided in the future.

- Include in any disaster planning team many disciplines, such as economic development, social development, and health, among others.

- Ensure that the results of academic studies and research, particularly those regarding global climate change, are presented in such a way that they can be converted into practical applications.

## Insights and Issues

At the conclusion of the seminar, the participants identified several key issues, lessons learned, and ideas that resonated with them during the discussions, and that they felt merited further examination in future seminars. These "take-aways" are listed below:

- Urban planning and management policy is more than a technical issue and should incorporate the context of place—an understanding of each city's history, values, culture, and past urbanization and growth experiences.

- Urban planners should investigate whether Asian cities are different in their evolution, design, and function than other cities and urban areas around the world. If so, how can Asian cities learn from these differences to enhance their own urban development?

- New paradigms for urban development are necessary to address the current pace and magnitude of the growth of Asian cities. A key challenge to government leaders and planners is creating new, more appropriate models of development outside of the traditional, largely Western models.

- Urban planning initiatives tend to be focused on short-to-intermediate–term challenges, such as responding to urban growth or to natural disasters. Greater emphasis should be placed on a longer-term approach, even though this may be more difficult to implement politically.

- While urban centers are, overall, economic drivers of national growth and prosperity, more focus should be placed on a sustainable prosperity approach to ensure the well-being of the marginalized inhabitants of any large city.

- In order to improve urban governance, planning, and development, all city stakeholders must acknowledge and address the disconnects within and among government agencies, multilateral lending institutions, the private sector, civil society organizations, and poor urban populations.

- Natural disasters can provide cities with the opportunity to "build back better" through improved vision and planning and to create new disaster-resilient urban centers.

- Climate change is ultimately everyone's problem. A significant challenge to implementing adaptation strategies in urban centers is determining how best to inform and empower the public to support new policies.

# Introduction

Across Asia, a massive demographic shift is underway. From booming South Asia to fast-growing China, people are moving to the cities in search of work, opportunities, and a better way of life.

In 1960, Asia had just one megacity, defined as an urban center with a population of 10 million or more. Today, there are at least a dozen sprawling megacities in Asia. By 2015, 12 of the 22 megacities projected to develop worldwide will be in Asia and, by 2030, Asia will account for more than half of the world's urban population—2.66 billion people out of a total global urban population of 4.94 billion.

This shift in human living patterns produces new challenges in virtually every aspect of human organization. It demands a new look at urban planning strategies, infrastructure, lifestyles, welfare needs, employment, housing, health care, food, shelter, water, and basic social interactions. At the same time, this surge in urbanization is changing the social fabric of countries, forcing a rethinking of the relationship between national and local governments and creating new power centers outside of the traditional political hierarchy. In addition, the rapid growth of megacities and midsize cities in Asia has strained existing urban administrative systems, which are struggling to respond to unprecedented political, economic, social, and physical changes. Government, civil society, and corporations must learn to adapt and innovate—while simultaneously preparing for future growth.

These issues are being examined in the East-West Center's new seminar series, *URBAN ASIA—Challenges of Transition and Governance*. The interdisciplinary, multicountry seminar series focuses on current trends and the implications of rapid urbanization using a knowledge-based approach that integrates experience and data. Each seminar asks the following core questions:

- How do cities learn?

- What twenty-first century tools will help shape our responses to the urban transformation?

- How do we build sustainable prosperity into the urban growth process?

- How do we mobilize populations, governments, institutions, and civil society to forge a common plan of action?

- What are the building blocks of effective urban planning?

- How can innovation be utilized to address the challenges of rapid urbanization?

The inaugural seminar examined the urban transformation in Asia and the trend toward decentralization. Some countries have, by necessity, shifted political and administrative responsibilities from central governments to regional, municipal, and local governments. This raises some fundamental questions as to whether these newly empowered entities are ready for what lies ahead. If decentralization is an inevitable trend, what governance policies and structures are key to realizing a more measured approach to future urban development in Asia?

The seminar participants explored these and other issues, sharing their own diverse perspectives and interests. There was agreement, however, that the shift of social, political, and economic power is real and must be dealt with.

The following synopsis of all seminar discussions is presented within the framework of the agenda. While each session proffered three key topics for discussion—prepared in advance to provide some structure—the lively conversations around the table sometimes covered wider ground.

**SESSION I**

**Democracy, Decentralization, and Urbanization in Asia: The Challenges of New Policies, Strategies, and Institutional Frameworks**

Asian nations have undergone massive changes in virtually every aspect of governance and development during the last four decades. This process of change is not only continuing but also accelerating, with most national governments struggling to keep up with policy, legislation, and institutional development. In Asia, as in many other parts of the world, achieving effective governance across all levels of government is a large and critically important challenge. The nature of the challenge varies from nation to nation, as does the objective of the process. For some nations, the form and substance of its framework for governance may be dictated by political, economic, and/or social imperatives. Similarly, the governance framework may span several strategic areas, including policy, state and local institutions, finance, participation, and capacity development. Regardless of the complexity of motivation and the diversity of objectives to be achieved, effective governance in Asia is largely being driven by a response to the processes of democratization and decentralization—both of which are rapidly evolving.

**Topic 1**

**Decentralization and the Democratic State in Asia—Devolution with Accountability**

*How can participatory mechanisms be made to enhance both efficiency and effectiveness in government?*

*What organizational arrangements should be made to coordinate decision-making and resource utilization between different levels of government, adjacent territories, and nonstate actors?*

*How can national and local officials ensure the accountability of urban municipal governments?*

Four fundamental transformations are occurring simultaneously in Asia, all of which have impacted, both positively and negatively, the issues of governance, decentralization, and urbanization. These four transformations are:

- Democratization—the sharing of power, or people power

- Urbanization—the accumulation of megacities as centers of growth

- Globalization—the advancement in the rate and amount of trade, knowledge exchange, services, and money

- Technology—including the Internet revolution, in which time and space are shrinking

**Four fundamental 'transformations' occurring simultaneously** and impacting decentralization and governance practices in Asia are: democratization, urbanization, globalization, technology

Although the four transformations are not exclusive to the issues of urbanization and decentralization, they strongly impact the way these issues manifest themselves within a nation. The challenge becomes how—in the context of these four transformations—to examine  the growth of cities and the trend of decentralization of authority from central to local government. Dealing with this challenge is particularly critical as power and authority are simultaneously flowing upward to central governments (to handle nationwide and international problems) and downward to city governments (to strengthen local capacity to manage municipal problems).

Decentralization is a political and demographic reality in Asia. One can see its origins in various places, such as the local government code imposed in the Philippines in 1991, or the rise of economically independent cities and urban regions in China.

While most agree that democratization and decentralization are overall positive transformations in Asia, when people are asked what they think of the performance of their government, the response changes dramatically. It appears that the more democratic (and decentralized) a nation becomes, the more its citizens grow disillusioned with the performance of their government. In most cases, this reflects not so much a lingering nostalgia for strong military leaders and/or technocratic experts, but rather an uncertainty that surrounds the initial decentralization process.

One of the core criteria for successful democratic decentralization is involving people in a way that makes their participation meaningful. Participation should be real; it should increase efficiency and effectiveness. In a successful democratization and decentralization process, participation must be both recognized and accommodated, requiring more than just handing authority and power from one sector to another. It is one thing to shift power from the central government to urban regions and cities; it is another thing to make the process work. Paralysis is as likely as effective coordination. Organizational arrangements must be put in place to coordinate decision making among the various levels of government and nonstate actors. It is important that this framework include institutionalized accountability, as this is not always assured.

### Topic 2
### Urban Decentralization in Asia—Trends and Issues

*How can local governments overcome the impasse with central governments and assume more autonomy in decision making and spending if they do not have the ability to prove themselves?*

*Can current national legislation that affects all local governments indiscriminately (rich and poor, strong and weak) be rewritten to give more autonomy to large urban centers?*

*How can nations and cities best strengthen local professional management capacity and merit-based public employment certification systems (e.g., public law, civil service, and private contract law) that offer career professional employment and mobility at the local government level?*

As Asian nations grow, cities and urban regions are rising in importance, and central governments are slowly letting go of their authority. In examining this process, the issues of democratization, decentralization, and urbanization cannot be understood in a vacuum that excludes their social impacts. These issues include:

- Appropriate level of governance (small cities/towns versus large urban agglomerations)

- The natural drift toward metropolitan areas and their perceived opportunities

- Finding the right balance of centralization and decentralization

- The continued appropriateness of existing social norms that stress honoring and obeying authority and accepting hierarchical structures

How do we **effectively manage our development to ensure a balance** of the 'Three Es'—Economy, Environment, and Equity—in governance, decentralization, and urban development?

From the perspective of urban managers, a critical question becomes "How do we effectively manage our development to ensure a balance of the 'Three Es'—Economy, Environment, and Equity—in governance, decentralization, and urban development?" However, applying the Three E standard may not be appropriate to Asian cities and urban regions. The disconnect results because many Asian cities rely on central government-based planning and support, rather than on locally based planning and support. In many cases, urban decision makers are motivated by extrinsic issues, such as responding to popular demand or simple pride of city (glamour projects), that do not support long-term, sustainable growth. Also, local authorities may not be actively involved in the development process, which can lead to land speculation and the lack of affordable housing. While one measure of successful urban management and development in the context of the Three Es may be rising incomes and land prices, this might not be an appropriate measure if there is, in fact, unfair distribution of income and opportunity. In many Asian cities, where squatters and slum dwellers comprise 35–50 percent of the urban population, fiscal resources are now being used primarily to prevent or control social unrest resulting from these inequities.

Of the Three Es, equity is arguably the most difficult to address because its benefits are not always immediately apparent. Conversely, inequity is often not recognized until it has become a major problem. While assessing equity may work well in the corporate world, it is not always possible to measure the direct and indirect costs in the public (government) sphere. For example, how does one completely and correctly measure the cost of political dissent or the true cost of water for all citizens?

Recent history has shown that some cities and urban regions in Asia are finding the resources to properly meet and develop all Three Es. To a large extent, this is attributable to municipal leaders who work within a sound fiscal structure, while being creative and flexible in terms of funding development. ("There are always ways for smart mayors to find money.") These municipal leaders understand that the role of the local authority is to create the demand and space for development, and not  to act as the land developer. The challenge to local authorities, however, is finding the right balance to deal with the broad issues of poverty, the breakdown of social structures due to migration and population shifts, and the need to undertake creative and socially responsible planning and development.

### Topic 3
### Fiscal and Administrative Capacities of Local Governments

*Are the constraints imposed by central governments on levying local taxes (e.g., taxes on land, property, sales, income, etc.) and retaining the proceeds a significant issue for local authorities?*

*How can municipalities use infrastructure fees and charges to influence urban development, improve services, and enhance the quality of life? Overall, can municipalities derive more benefits (e.g, lower costs, better maintenance, superior facilities) from outsourcing services?*

*What are the most efficient mechanisms (e.g., grants, private lenders) available to local governments to obtain financing for major capital expenditures and specific services, assuming the central government allows them access to the financial markets?*

**The megacity** is the one unit of government that is growing more powerful in Asian countries where the national or central government is increasingly unable to control the economy

Urban managers face the challenge of working on a range of complex issues within an evolving governance structure. One major challenge is the ability to raise and spend money efficiently and effectively—central to ensuring a balance of the Three Es. Without this ability, virtually every city faces insurmountable obstacles. In many metropolitan regions in Asia, even with decentralization, the central government controls more than 70 percent of the revenues. Therefore, the experiences and models of most Western cities are generally not applicable to contemporary Asian municipalities. This is particularly true in U.S. and Canadian cities, where municipal infrastructure has been developed through debt financing, a strategy not available to the municipalities in most of Asia.

Asian cities will almost certainly continue to grow at even faster rates in the future, and their need for fiscal resources will increase equally dramatically. The approach to decentralization by many central governments, however, has been to delegate responsibility and costs to lower levels of government without providing them with fiscal autonomy, including the authority to raise money. This has only exacerbated the problems faced by cities. Effective fiscal decentralization is required for achieving social equality and a democratic society. Spending city money on infrastructure for slum dwellers, for example, could

lead to a population of squatters who could eventually become taxpayers. The importance of this issue cannot be overstated.

This situation is unlikely to change as long as central governments associate devolution of authority with a loss of power. In many countries in Asia, the capacity to raise money and make decisions is still largely in the hands of the central government. In the case of the Philippines, the government has decentralized spending, but has not decentralized revenue generation. An unfortunate consequence of this type of fiscal decentralization is that "you sometimes decentralize corruption right down to the lowest level of government."

Some countries in Asia have only recently begun to experiment with the devolution of central authority through the popular election of local officials at the village and small town levels. South Korea and China are examples of this new approach. In Vietnam, alternatively, there is only the state budget, and the central government continues to be the ultimate authority.

The growing importance of city regions or megacities further compounds these fiscal decentralization issues. The megacity is the one unit of government that is growing more powerful in Asian countries where the national or central government is increasingly unable to control the economy. In such cases, central government involvement in city governance remains critical, particularly where there is a need for significant national investment, such as in infrastructure development and disaster management and mitigation activities. One solution to this problem might be to convince national-level governments to generate information and plans, and local governments to convert the information into action.

The most successful municipalities have addressed these issues and challenges by developing and implementing a strong municipal financial system that provides for a mixture of the following strategies:

- Sound use of available "tax handles."

    - Taxes on land and property (using a system that tracks land ownership and values on a real-time basis).

    - User charges that are carefully applied (congestion pricing might make sense, but may interfere with the movement of goods and services).

    - Business taxes (but not at a level that drives businesses away).

    - Public-private partnerships (where developers/land owners help finance infrastructure). This requires strong urban governance, so private parties have a reasonable expectation of profit.

- Fiscal balance and discipline (expenditures in line with revenue).

- Accountability (based on accepted accounting, auditing, and money management standards).

- Creative and appropriate use of financing from various sources (government grants, bond financing, international loans, direct foreign assistance).

- Utility maximization (where municipal fiscal resources are expended on high value-added development projects).

A strong municipal financial system also needs a future-oriented agenda that enables the municipality to avoid slipping into catch-up management of daily problems. This agenda should ideally be designed to encourage city leaders to anticipate and plan for urban development challenges before they are confronted by them.

The responsibility for fiscal accountability and balancing the budget at the local level is relatively new to many Asian cities and urban regions. It is essential to strengthen the capacity of local governments to provide good fiscal governance, as there is still a tendency to focus on outcomes and ignore the need for strong auditing, accounting standards, and fiscal transparency.

## SESSION II
# Asia's Urban Infrastructure: Challenges and Opportunities

Despite great growth and economic success, there are "two faces to Asia." One reflects a rapidly developing and prosperous urban area with an emerging middle class; the other is a place where millions of people live in absolute poverty (lacking access to clean water, sanitation facilities, housing, transportation). The development of Asia's urban infrastructure provides a particularly important opportunity to significantly bridge the gap between rich and poor and address the challenges resulting from this economic disparity.

Both old and new urban areas of Asia face major challenges. For example, many of the largest and oldest cities (Mumbai, Dhaka, Beijing) must provide for new infrastructure, while simultaneously replacing and/or improving existing and outdated infrastructure in the older urban core. There are also a large number of infrastructure "legacy problems" brought about by cheap energy (roads and transportation), cheap labor (housing and social services), and rapid growth (inadequate existing infrastructure).

For Asia to effectively maximize the opportunities presented by rapid urbanization, its cities must avoid the mistakes of the past by undertaking more comprehensive and future-focused urban infrastructure initiatives. There is arguably funding available for such development, and cities have opportunities to build new infrastructure that will better support consistent economic growth, an expansion of the middle class, and a stronger role in the global market.

**Topic 1**
**Governance and Finance—Challenges of Urban Infrastructure Development**

*Why and how is urban infrastructure critical for the economic development of countries in Asia?*

*How can both national and local governments finance the huge cost of critical urban infrastructure?*

*How can local governments strengthen their governance systems to make the financing of urban infrastructure development commercially more attractive to public-private partnerships?*

As urban regions agglomerate, the **need for formal coordinating structures** will become increasingly important

Although infrastructure may appear to be the most direct nuts-and-bolts aspect of urban governance and development, it entails far more than just providing physical services. When designed to deliver quality service that supports both the privileged and disadvantaged, infrastructure can have a far-reaching and positive social impact on a city. Infrastructure development must be viewed as an integral part of the government's social policy, providing equal access to all levels of society. It is critical, therefore, that when planning infrastructure, urban leaders and planners work with all existing systems and social organizations, including those of the urban poor.

To address the interrelationship between infrastructure development and social policy, a tool-kit approach consisting of experiences and best practices should be utilized to foster ideas that can be scaled, modified, and incorporated as needed into a variety of urban settings. In developing a new bus-rail transit system, for example, planners should incorporate the lessons learned from smaller-scale, successful models of local transportation. Such models might include the robust, informal transportation system in Nairobi, Kenya, built around minibuses which service all sectors of society. Overall, the tool-kit approach provides a mechanism by which good ideas can be scaled-up and lets pragmatism rather than ideology guide infrastructure development. This approach should be promoted, as most governments and large funding agencies today prefer, or are constrained, to fund proven concepts.

When designed to deliver quality service that supports both the privileged and the disadvantaged, **infrastructure can have a far-reaching and positive social impact** on a city

Securing the enormous amount of funding required for urban infrastructure projects is a major problem for many of Asia's megacities. While many megacities may have larger populations and economies than many sovereign nations, they are still regarded and directed as subgovernmental units. Large lending banks—such as The World Bank and the Asian Development Bank—lend primarily to national or central governments, not to municipalities. One challenge for these cities is to persuade infrastructure lending organizations to loan funds directly to them, while national governments could continue to serve as the loan guarantors.

This constraint on lending for urban infrastructure development projects also precludes many cities and regions from accessing funding from other sources, including, most importantly, the private sector. Unlike central governments, urban governments have limited or no internal fiscal capacity and can spend only what they earn. As a result, many potential private lenders see a moral hazard in making loans to cities, as there is little recourse if they default. This situation is changing, however, as large lending institutions are becoming more willing to provide loans at a subnational level for activities that have predictable risks and returns. These include projects that focus on energy efficiency, disaster planning, sanitation, and innovations such as carbon trading. In addition, large lending institutions are becoming more active in funding the public portion of public-private partnerships for infrastructure development.

Another key funding issue that often goes unaddressed is planning for the longer-term development and use of urban infrastructure. There is a need to encourage cities to plan on a long-term basis, perhaps even 50 to 100 years in to the

future. While some infrastructure can be expected to last at least 50 years, current planning decisions are generally based on a much shorter time frame. For example, infrastructure designed around current water-use rates—based on the assumption that demand will not change—may prove inadequate in the future.

## Topic 2
## Multi-Source Urban Infrastructure Planning, Finance, and Development

*Can a city enhance its competitiveness by strengthening its systems and processes for urban infrastructure planning, finance, and development?*

*How can city leaders build community support (e.g., multiple stakeholders from public, private, and independent sectors) to improve the city's urban infrastructure planning, finance, and development?*

*What are some of the advantages/challenges of working with various financing modalities, such as direct finance, revenue schemes/improvement contributions, public-private partnerships, municipal bonds, soft approaches, and others?*

City leaders should generate proactive policies that **share best practices among governments** from around the world

The key challenge facing many urban administrators and planners in Asia is how to develop infrastructure that can effectively sustain the rapid growth of their cities. In order to maintain the cities as engines of economic growth in the region, infrastructure planning, investment, and development strategies must incorporate practical, comprehensive, and long-term vision. Short-term, politically expedient initiatives—such as rebuilding obsolete infrastructure—will not adequately address the complex growth issues facing cities in Asia. City leaders must build the political will to plan today for a different city of tomorrow. They must show courage and advocate for future development that may or may not support existing national or local policies.

The nature of the growth of many cities in Asia creates another challenge to carrying out comprehensive, long-term infrastructure planning. Urban populations are increasing exponentially throughout the region, but most cities are not becoming more compact. Instead, they are growing spatially larger, with rings upon rings of settlements clustered around an urban core. This sprawling growth increases the demand for more urban infrastructure, which, in turn, demands more financing. The spread of urbanization—facilitated by government policies, such as the continued building of highways and the emphasis on the automobile as a growth leader—is a common experience for many urban areas within the United States and Asia. If these and similar policies continue to drive the development process, it will be very difficult to contain horizontal expansion.

To foster political support for sound planning, decision makers need to have access to high-quality information. City leaders should work closely with multilateral and international organizations and others to generate proactive policies and strategies that identify, share, and teach best practices among and between governments from around the world.

## Topic 3
## Regional Planning of Infrastructure Development and Access

*Are strong regional planning frameworks for addressing large-scale infrastructure out of the question in Asia?*

*In the absence of strong regional planning, how can cities prevail over jurisdictional fragmentation, bureaucratic inertia, and the fierce competition for scarce public funding and build broad-based coalitions that successfully advocate for needed but expensive regional infrastructure investments (transit, water and sewer, environmental remediation)?*

*To what extent are the financing and equitable delivery of large-scale infrastructure constrained by conventional ways of thinking?*

A successful regional planning effort requires that government entities give something in order to gain something, **creating a common good** from which everyone sees a net benefit

As urban centers expand, they tend to overlap one another. While this has been true in the United States for some time, it is becoming increasingly common in Asia. In the greater Tokyo region, for instance, there has been a significant blending of municipal borders. This growth pattern presents a new set of challenges, since infrastructure planning and development are no longer contained within discrete political boundaries. A fundamental political problem resulting from this trend is that most governmental entities are not naturally inclined to share power, responsibilities, and fiscal resources.

Another example is the tri-state area of New York, New Jersey, and Connecticut in the United States. Over the years, as this region grew more densely populated, it faced widespread institutional fragmentation. As more and larger infrastructure and development projects began to cross over the boundaries of the 140 municipalities in the tri-state area, city officials and planners recognized the need for a formal regional planning mechanism. A regional planning association was established. While it is breaking down some of the existing institutional and political barriers, it is a slow process. In Indonesia, on the other hand, changes in governance structure can actually work against sound regional planning. Under the country's authoritarian rule, the central government was able to impose regional plans such as the "One River, One Plan" effort. Now, with democracy, every province has its own power base, and, as a result, there is no single body that can plan and implement such large projects.

Can cities prosper without an established cross-jurisdictional structure? It is generally agreed that coordination and cooperation among cities is possible, but requires fresh thinking on the part of urban administrators. While they recognize that some problems have no respect for borders—such as environmental concerns and disaster planning—they also realize that gaining the political support to tax and spend on a regional basis to address these problems is difficult. Such an effort requires compromise and cooperation from the central government, as well as from local governments. Each must give something in order to gain something, creating a common good from which everyone sees a net benefit.

In addition to coordination and cooperation among cities in planning and infrastructure development, there is a need to encourage an even broader, regional approach that transcends local, provincial, and even national boundaries. Such a large, multiregional approach might be undertaken through sector-based planning, where a nation (or a group of nations) develops a water plan, a transportation plan, or other such infrastructure that naturally crosses political boundaries. The European Union is a good example of nations joining together for the common good of the region, while realizing their own economic benefits. As urban regions agglomerate, the need for formal coordinating structures will become increasingly important.

**SESSION III**

# The Evolving Role of Civil Society in the Urban Transformation Process

If civil society and nongovernmental organizations (NGOs) are creatures of government, should civil groups facilitate government planning and development activities if government fails to act?

Or should they serve as the bridge between those with the greatest needs and the institutions with the greatest power to positively impact Asia's urban challenges?

### Topic 1
### Forging Civil Society and Local Government Partnerships

*Do civil society organizations lose anything by partnering with government?*

*Do government bureaucratic mechanisms and traditional ways of thinking prevent or support the building of effective partnerships with civil society?*

*How can civil society evolve to become a more active participant in the management of a city that is "for the people, by the people"?*

**Modern urban planning is like a bicycle**, one wheel (government) powers the bicycle while the other (civil society) largely steers.

Civil society is an increasingly important actor in urban governance, and it is particularly important to recognize its role in the planning and development arena. Government is responsible for establishing developmental and societal standards private industry innovates and creates jobs and civil society groups give voice to communities and often coordinate and provide services. While the involvement of civil society in issues of governance and urban planning is relatively advanced in many nations (the Philippines and India) and growing in others (Thailand, Indonesia, and South Korea), it is still a relatively new concept in some countries (Vietnam and Laos).

Forging a civil society and local government partnership can be both a difficult and time-consuming process due to overlapping concerns on both sides. Some uncompromising civil society organizations, for example, feel that they are being co-opted by the government if their agendas are not successfully realized. The government, on the other hand, may be concerned about relinquishing authority and appearing weak if it chooses to accept civil society's demands.

Together, civil society and local government must 'think for the city' and **establish a new framework of cooperation** for governance and urban planning.

Civil society's advocacy for the poor presents a particular problem when building partnerships with the government. Poor people do not have the luxury of time, and any delays in action only exacerbate the problems they face. This must be taken into consideration when determining and implementing new policies. Another obstacle in building effective partnerships between civil society and government are those special interest groups that participate in the process only to further their own vested interests. To resolve these concerns, governments must be genuinely willing to seek and act upon the inputs of civil society, and civil society must be prepared to support constructive government inputs, to move the processes forward.

To build workable partnerships, Asia's government and urban leaders need to embrace a more democratic power-sharing model that makes use of existing civil society institutions. In addition, individual civil society organizations should approach their agendas from a broader perspective and encourage coalition building, rather than focusing too narrowly on their specific population or issue.

Together, civil society and local government must "think for the city" and establish a new framework of cooperation for governance and urban planning, where civil society can work in the same space—not necessarily always in agreement, but in the same space.

### Topic 2
### The Role of Civil Society in Improving Urban Governance

*How can civil society persuade cities to include the very poor in their governance systems?*

*Can civil society bridge the gap between middle-income and poor communities when it comes to influencing urban development policies?*

*How can civil society build the capacity of urban poor communities to create a collective voice and convince city leaders to view them as a resource rather than a liability?*

Civil society groups can serve as a key communication bridge between national and local governments and special interest organizations involved in urban development initiatives. In this capacity, civil society can inform decision makers about on-the-ground issues that might otherwise not be known to them. These groups can also quickly and effectively mobilize communities to convince the government to meet their immediate needs.

Civil society groups can also serve as an information bridge between government, aid agencies, and their recipients by providing key data on the quantitative and quality-of-life outcomes of urban aid programs. They can provide this valuable service because of their day-to-day presence in the community and their unique relationship with the local people.

**The use of one powerful statistic**—a ratio of one toilet per 800 people—was enough to spur officials into action

In the city of Mumbai, for example, people living in the slums had serious concerns about the appalling lack of sanitation infrastructure. One of the most immediate concerns was the need for clean, functional toilets. The traditional approach of civil society organizations would have been to work with the government to plan for massive sewer and sanitation projects, then launch the process of obtaining funding, and, ultimately, await the implementation of the plan. In this instance, however, the slum dwellers recognized that in order to more quickly address the problem, they needed a voice of their own outside the many civil society organizations and NGOs who were already working with them. The slum dwellers did their homework by organizing and collecting data before they met with government officials. The use of one powerful statistic—a ratio of one toilet per 800 people—was enough to spur officials into action. Soon after, the slum dwellers obtained funds to build public toilets.

This example illustrates the fact that access to and use of key data is very empowering for both civil society and city governments. This example also shows that political dialogue with the poor is in the best interest of the cities themselves.

## Topic 3
## Capacities and Accountability of Civil Society Organizations

*To create a new culture of participatory management and accountability, what kinds of support and intervention are necessary?*

*How can civil society organizations build large-scale capacity to tackle large-scale problems, especially those of the urban poor?*

*What are the natural limitations on civil society involvement in government decision making?*

Within the broad spectrum of civil society involvement in urban development and governance, the role and responsibility of local government becomes a critical issue. While civil society groups and local government together can effectively address a wide range of concerns, the task of organizing and governing the urban environment ultimately falls to those elected. One of the primary responsibilities of civil society is to hold government accountable.

The involvement of civil society in the urban planning decision-making process is essential to its success and effectiveness. Civil society organizations cannot just serve as powerless sounding boards that do little more than meet and talk. Their participation must be real; otherwise, the planning and development process will breed cynicism, antagonism, and—as has been shown in many urban areas—disruptive civil disobedience. It is important to include both formal and informal groups, especially those that address the needs of the poor. Both civil society and government should:

• Recognize and accept the value of civil society participation. Be understanding.

• Ensure broad-based representation and inputs. Be inclusive.

**When civil society is left out** of the urban planning process, it can breed cynicism, antagonism, and even civil disobedience

- Understand from the beginning that civil involvement in government is a messy, often complex, and frequently frustrating process. Be prepared.

- Involve civil society in government planning initiatives as early as possible. Be proactive.

- Ensure that civil society is involved throughout the entire process—from planning to implementation. Be complete.

- Be willing to accept that while some civil society and government ideas may be imperfect, they are meaningful to the groups involved. Be accepting.

SESSION IV
# Urban Adaptation to Environmental Change: An Integrated Approach to Risk

As a result of global climate change and variability, weather-related events are changing in terms of location, scope, and intensity. Additionally, the human and economic impacts of natural disasters are increasing dramatically. This is particularly true in Asia where, with rapidly increasing populations and urbanization, there is a steady movement of people to coastal areas, along river systems, and into previously undeveloped zones—all vulnerable, high-risk areas susceptible to increased impacts, particularly for the marginal slum populations.

This expansion into risk-prone areas is not always accompanied by appropriately designed infrastructure, including improved sewage and solid waste disposal, water distribution, and flood control. This presents new challenges for urban managers who must plan for, mitigate, and ultimately cope afterward with the impact of natural disasters. The pace of development in Asia exacerbates the problem, as building and planning standards fall behind in the rush to build cities and house people.

Coping with natural disasters through Disaster Risk Reduction adaptation strategies, however, is not part of the normal mind-set of urban planners. This is largely attributable to the fact that there is little understanding of the linkages—at the city or urban regional level—of climate change, natural disasters, and their impacts. There is little coordination between levels of government, and information rarely gets passed down to the local level.

All of this adds up to perhaps the single greatest urban planning challenge in Asia today, where we are literally "building for disaster."

Topic 1
## Globalization of Urban Risk

*Why does addressing urban risk require international attention?*

*What are the challenges and opportunities of using international cooperation to address urban risk nationally?*

*What are the international developments for addressing urban risk and how effective have these been?*

Within the last five years, Asia has experienced the Indian Ocean tsunami, widespread earthquakes, and unprecedented flooding and landslides. Hundreds of thousands of people were killed and millions displaced as a result of these natural disasters. These events severely stressed international, national, and local response and recovery efforts and highlighted the need for a new global approach to disaster management.

As 'risk multipliers,' cities must **create the political will** to include adaptation strategies in their overall governance and development planning

There is now a major and ongoing paradigm shift occurring—away from response and recovery to a focused strategy (Disaster Risk Reduction) of preparedness, adaptation, and mitigation—to reduce the impact of natural disasters. This new strategy needs to be incorporated into the overall governance and planning of urban areas worldwide, especially in cities identified as "risk multipliers" due to population concentrations in high-risk areas. Key components are:

- Risk identification—paying attention to the science and standardizing, assessing, and sharing information

- Risk reduction—building resilient infrastructure, installing early warning systems, and developing preparedness

- Risk transfer—convincing financial markets to accept a share of the risk through "insurance pooling" among larger communities or even across nations

The challenge is to find the political will to develop and enforce risk-reduction strategies. Most governments continue to support post- rather than pre-disaster policies. They have an easier time justifying a disaster as an "act of God" than planning for a low-probability event that may or may not happen in the near future. This attitude reflects a reluctance among government leaders to be proactive in the face of risk.

### Topic 2
### Urban Society and Adaptation Challenges—An Integrated Approach to Risk

*What major institutional constraints and opportunities are available to urban governments today to manage climate risks?*

*What options and windows of opportunity exist for building better local responses to climate change in cities?*

*What adaptation responses are currently utilized by cities in Asia in response to floods, heat waves, and other climate hazards?*

The concentration of people in vast urban settlements can intensify vulnerability and risk. This can take many different forms, from the rapid spread of infectious and communicable diseases to the devastating effects of an earthquake. City and regional officials face huge challenges integrating such risks into the complexities of urban development. Unfortunately, they are largely unequipped for this task. While there is some good information at the international and national levels,

Perhaps as few as 26 cities worldwide have adequate information on how **risk reduction strategies can impact** their population

such as the widespread impact of climate change on society, there is very little useful information at the local level—perhaps as few as 26 cities worldwide have adequate data on how hazard mitigation and related issues impact their populations. The challenge is to downscale existing global data from the scientific community to the point where it is understandable and applicable at the subregional-to-local level. At this time, however, municipal managers and urban planners can take some actions, such as:

- Redefine the success of disaster management policies to acknowledge a more measured approach to restoration, where rebuilding takes into account what happened and how it can be avoided in the future

- Implement a multidisciplinary approach to disaster planning by involving experts from many sectors, such as economic and social development, health, and others

- Seek out practical applications of academic studies and research

- Enforce strict building and construction codes in high-risk areas

- Establish early warning systems using technology such as a "reverse 911" system

- Empower local communities to implement their own mid- and long-term strategies for disaster mitigation and management

- Create pricing and regulatory mechanisms that are designed to persuade communities to make rational choices with regard to hazard mitigation standards

### Topic 3
### Practical Applications and Strategies

*How do we ensure that over the intermediate term (the next 5–15 years) the issues/risks we define today will be integrated into both the political and planning processes in such a way that they will be effectively mitigated and/or dealt with in the future, once the full impact (and cost) becomes known?*

*What are the major new concepts of urbanization that could potentially change the nature of the urbanization process overall and the vulnerability of urban populations to both natural and man-made disasters?*

*What are the key missing pieces (concepts, actions) to the puzzle of how to protect the environment while still fostering development, particularly in rapidly developing economies? What new concepts of "green development" are needed?*

Most city leaders want credible options for action on urban adaptation to environmental change. These options should be based on analysis and integration of sound information provided by scientists, planners, and other experts. This requires a clear understanding of the linkages between climate change, natural disasters, and their impacts at the city and regional levels. For example, even

the best levees in the world will not protect against rising sea levels if there is no action to curb carbon emissions.

Even where there is an understanding of the linkages between climate change and risk, the ability to adapt does not always translate into action. In the case of Hurricane Katrina and New Orleans, for example, the government had plenty of adaptive capacity, but failed to take appropriate action to mitigate risk. Arguably, the government is still failing to implement appropriate, comprehensive Disaster Risk Reduction strategies in the communities along the Gulf Coast of the United States.

Central to developing and implementing a successful Disaster Risk Reduction strategy is gathering the right information, putting it into actionable form, and ensuring that it is delivered into the hands of the right people. While hazards cannot be avoided, they can be managed with concrete information that can be used at all levels of government. This information is critical, for example, to financial lenders who must be convinced that there is value in providing loans to retrofit poorly constructed buildings and develop new infrastructure that can withstand natural disasters. Information is also of great importance to civil society groups, which can use it to create public awareness and mobilize communities to action.

National and local governments **must align their policies and prioritize their needs** by linking basic decisions about population and infrastructure to long-term risk

Generating actionable information is a major challenge, however, due to the diversity of user communities and their needs. To bridge the gap between information, sound planning, and results, decision makers at all levels of government need to work within a risk-reduction framework using specialized tools. Tools such as information technologies and observation systems can assess risk and vulnerability, communicate the implications of these risks, and evaluate appropriate countermeasures to reduce risks.

A major difficulty in bridging the gap is garnering the political support and financial resources needed to implement a comprehensive Disaster Risk Reduction strategy. For example, Jakarta has 13 rivers feeding into the central city. For reasons of access and convenience, people have built illegally along the riverbanks for years, leaving them directly exposed to the impacts of annual flooding. Due to climate change and rising sea levels, flooding has become more frequent and severe. There is a strong move on the part of the government to resettle these vulnerable communities, but because it is not a popular option, it has become a politically difficult decision. This demonstrates the vast gap between having good plans and achieving good results. The challenge becomes how to mobilize public opinion to create the capacity to mitigate the problem. In Colombia, South America, there was the political will to build greater resilience to weather-related events. The government relocated people living in flood-prone areas and reforested the land that they used to inhabit.

Ultimately, it will take national and transnational institutions (i.e., the United Nations, climate science organizations, and lending banks) to produce accurate information on the threats and implications of climate change and natural hazards.

Transnational agreements will need to be prepared to create financing systems to help pay for risk reduction and mitigation and the sharing of risk. Once this is done, national and local governments can step in, align their policies, and prioritize their needs. This will mean linking basic decisions about population movement and infrastructure to the long-term risk that everyone recognizes but few are willing to confront directly.

The convergence of today's knowledge bases, along with current technical tools and sharing of best practices, gives governments the capabilities they need to address the challenges of urban adaptation to climate change. What is still needed to truly succeed is a paradigm shift in how people think about buildings and infrastructure, human settlements, and lifestyles.

## Insights and Issues

At the conclusion of the seminar, the participants identified several key issues, lessons learned, and ideas that resonated with them during the discussions, and that they felt merited further examination in future seminars. These "take-aways" are listed below.

- Urban planning and management policy is more than a technical issue and should incorporate the context of place—an understanding of each city's history, values, culture, and past urbanization and growth experiences.

- Urban planners should investigate whether Asian cities are different in their evolution, design, and function than other cities and urban areas around the world. If so, how can these cities learn from the differences to enhance their own urban development?

- New paradigms for urban development are necessary to address the current pace and magnitude of the growth of Asian cities. A key challenge to government leaders and planners is creating new, more appropriate models of development outside of the traditional, largely Western models.

- Urban planning initiatives tend to be focused on short-to-intermediate–term challenges, such as responding to urban growth or to natural disasters. Greater emphasis should be placed on a longer-term approach, even though this may be more difficult to implement politically.

- While urban centers are, overall, economic drivers of national growth and prosperity, more focus should be placed on a sustainable-prosperity approach to ensure the well-being of the marginalized inhabitants of any large city.

- In order to improve urban governance, planning, and development, all city stakeholders must acknowledge and address the disconnects within and among government agencies, multilateral lending institutions, the private sector, civil society organizations, and poor urban populations.

- Natural disasters can provide cities with the opportunity to "build back better" through improved vision and planning and to create new disaster-resilient urban centers.

- Climate change is ultimately everyone's problem. A significant challenge to implementing adaptation strategies in urban centers is determining how best to inform and empower the public to support new policies.

## Acknowledgments

We would like to acknowledge the many individuals and organizations that contributed to the development, launching, and facilitation of the East-West Center's *URBAN ASIA* seminar series. This was a joint effort of the East-West Center's Seminars Program and Research Program, and we thank program Directors Raymond Burghardt and Nancy Lewis, respectively, for their continued support.

We want to especially recognize the expertise, guidance, enthusiasm, and dedication of the East-West Center's Senior Fellows Shabbir Cheema and Allen Clark. Without their constant encouragement and assistance, and the generous amount of time, effort, energy, and commitment that they put into the development of this project, there would have been no seminar. In addition, we thank Allen Clark for agreeing to the large task of editing this report.

We also wish to extend a very special thanks to Ray Shirkhodai, Executive Director of the Pacific Disaster Center, for his organization's financial support for the inaugural seminar. Over the years, the East-West Center has benefited greatly from its relationship with the Pacific Disaster Center, particularly in regard to developing a deeper understanding of the critical issues of vulnerability and risk associated with climate change, and the need for adaptation policy in the Asia Pacific region.

The session chairs provided the necessary structure for the seminar by delivering contextual presentations, facilitating discussion around the questions, and summarizing the key points. The session chairs were David Cadman, President, International Council for Local Environmental Initiatives–Local Governments for Sustainability (ICLEI) and Councillor, City of Vancouver; Elliott Sclar, Director, Center for Sustainable Urban Development, The Earth Institute at Columbia University, and Professor, Urban Planning and International Affairs; Shabbir Cheema; and Allen Clark.

We greatly appreciate the efforts of Jerry Burris, consultant to the East-West Center, who served as the lead rapporteur throughout the three days of the inaugural seminar and who synthesized all discussion notes into a coherent document. We also extend our sincere appreciation to eight outside professionals who generously volunteered their time to participate as expert rapporteurs. They are: James Bell, Principal, Belt Collins Hawaii Ltd.; Mai Tuyet Chu, former East-West Center Graduate Fellow, Public Administration Program, University of Hawai'i at Mānoa; Tom Dinell, Professor Emeritus and former Chair, Department of Urban and Regional Planning, University of Hawai'i

## Seminar Participants

### The Honorable Feliciano BELMONTE Jr.
Mayor, Quezon City, the Philippines

The Honorable Feliciano Belmonte Jr. has served as Mayor of Quezon City, a part of Metropolitan Manila, since 2001. In the past seven years, he has introduced fiscal changes and aggressive tax management strategies that have made Quezon City one of the best-managed local governments in the Philippines and the most bankable local government unit in the country, with increased efficiency and discipline in the management and use of the city's resources. The Mayor sees the city as a center of economic competition in a new global era when cities are like new nations, able to obtain their own investments, business opportunities, and resources. Prior to his term as Mayor, he served as President and Chief Executive Officer of Philippine Airlines.

### Ms. Somsook BOONYABANCHA
Secretary General, Asian Coalition for Housing Rights, and Director, Community Organizations Development Institute, Bangkok, Thailand

For the past 20 years, Ms. Boonyabancha has served as secretary general of the Asian Coalition for Housing Rights in Bangkok, Thailand, a regional organization of nongovernmental organizations (NGOs), community-based organizations, and professionals working in the field of human settlements. Working with the Thai government, she helped to establish the Urban Community Development Office in 1992 and to bring participatory development to more poor urban neighborhoods. In 2000, this organization was merged with the Rural Development Fund to become the Community Organizations Development Institute, of which Ms. Boonyabancha is the Director.

### Mr. David CADMAN
President, International Council for Local Environmental Initiatives–Local Governments for Sustainability (ICLEI), and Councillor, City of Vancouver, Canada

Mr. Cadman became President of the International Council for Local Environmental Initiatives in 2006, after having served as the organization's Vice President for three years. He also serves as Councillor in the Vancouver City Council, elected in 2002. Mr. Cadman has been a social and environmental activist for over 30 years. He has served as president of the Society Promoting

Environmental Conservation at the national and international levels of the United Nations Association, and was awarded the United Nations Peace Medal and the United Nations 50th Anniversary Medal.

### Dr. Tim CAMPBELL

Chairman, Urban Age Institute, and former Urban Advisor, City Management and Urban Development, The World Bank, Washington, D.C., U.S.A.

Dr. Campbell has worked for more than 30 years in urban development, with experience in scores of countries and hundreds of cities in Latin America, Asia, Eastern Europe, and Africa. His areas of expertise include strategic urban planning, city development strategies, decentralization, urban policy, and social and poverty impacts of urban development. Dr. Campbell retired from The World Bank in December of 2005, after more than 17 years. His most recent positions at The World Bank were as head of the urban team and head of the Urban Team, as well as the organization-wide coordinator for city development strategies.

### Dr. Shabbir CHEEMA

Senior Fellow, Research Program, and Director, Asia Pacific Governance and Democracy Initiative, East-West Center, Honolulu, Hawai‘i, U.S.A.

Dr. Cheema's current work focuses on governance and democracy in Asia and the Pacific. Before joining the East-West Center, he was Principal Adviser and Program Director for the Department of Economic and Social Affairs, United Nations. As a senior United Nations official, he provided leadership in crafting democratic governance and public administration programs at the country level, and designing regional and global research and training programs in electoral and parliamentary systems, human rights, transparency, and accountability of government, urban management, and decentralization. Dr. Cheema has also served as a Visiting Fellow at Harvard University's Ash Institute for Democratic Governance and Innovation since 2005. He has taught at the Universiti Sains Malaysia, the University of Hawai‘i, and New York University.

### Dr. Allen CLARK

Senior Fellow, Research Program, East-West Center, and former Executive Director, Pacific Disaster Center, Honolulu, Hawai‘i, U.S.A.

Dr. Clark's research interests include disaster management and humanitarian aid programs, global climate change on urban development, and project-level assessment of effects of social risks. He also serves as Project Manager of the Natural Disaster Policy, Legislation, and Management Project and Senior Development Consultant to the Pacific Disaster Center. He is the founder and former Director General of the International Institute for Resource Development and Chief of the Office of Resource Analysis of the U.S. Geological Survey. Dr. Clark is also a consultant for the Agency for International Development, The World Bank, Asian Development Bank, and the United Nations. He has worked directly in more than 90 countries, and is the author or coauthor of more than 250 publications.

### Ms. Celine D'CRUZ
Co-Coordinator, Slum/Shack Dwellers International, Mumbai, India

Ms. d'Cruz is currently one of the global coordinators of Slum/Shack Dwellers International, an umbrella organization formed by 15 national slum/shack/homeless people's federations. She was also one of the founding members, in 1984, of the Indian NGO Society for the Promotion of Area Resources. Ms. d'Cruz has been involved in planning and launching the United Nations Campaign for Secure Tenure in India, the Philippines, South Africa, and Namibia. She has also worked with the National Slum Dwellers Federation and Mahila Milan on a large grassroots-managed program of house construction and upgrading. During 2003–2004, she was a World Fellow at Yale University and spent six months as a Visiting Fellow in the offices of the International Institute for Environment and Development in London.

### Mr. Devendra DONGOL
Department Head, Physical Development and Construction, Kathmandu Metropolitan City, Nepal

Mr. Dongol brings 24 years of experience working in Kathmandu Metropolitan City in the field of urban planning and development and urban infrastructure to his current position. He currently serves as the Head of the Department of Physical Development and Construction, planning and coordinating urban projects with support from international funding agencies and cities such as the United Nations Economic and Social Commission for Asia and the Pacific (UNESCAP); The United Nations Human Settlements Programme, UN-HABITAT; the German Agency for Technical Co-operation (GTZ); the Japan International Cooperation Agency; the European Commission; and Stuttgart City and University, Germany.

### Mr. Gordon FELLER
Chief Executive Officer, Urban Age Institute, San Rafael, California, U.S.A.

Mr. Feller has been building partnerships around urban environmental and urban transport issues that link private sector, public sector, independent sector, and academia for more than 25 years. As a consultant to a wide variety of organizations, including Chevron, Citigroup, Bechtel, The World Bank, the government of Canada, and the World Urban Forum, he has brought key partners together around projects that cross boundaries and accelerate movement toward a more positive future. As Chief Executive Officer of the Urban Age Institute, Mr. Feller advises governments, foundations, and multinational companies on urban sustainability issues.

### Secretary Bayani FERNANDO
Chairman, Metropolitan Manila Development Authority, Manila, the Philippines

Secretary Fernando was appointed Chairman of the Metropolitan Manila Development Authority by Philippine President Gloria Macapagal-Arroyo in

2002. He concurrently holds the position of Secretary of the Department of Public Works and Highways for the National Capital Region. Prior to leading the Metropolitan Manila Development Authority, Secretary Fernando was a two-term mayor of Marikina City, transforming the city from a fourth-class municipality to one of the best-managed cities in the Philippines. He also served as President of the Metro Manila Mayors' League from 2000–2001.

### Mr. Gary GALLEGOS

Executive Director, San Diego Association of Governments, San Diego, California, U.S.A.

Mr. Gallegos was appointed Executive Director of the San Diego Association of Governments (SANDAG) in 2001. A nationally recognized urban policy and planning expert, he leads a staff of nearly 200 professionals who collaborate to develop public urban policy initiatives. Under his direction, SANDAG crafted the innovative $42 billion Regional Transportation Plan, Mobility 2030, to address the region's transportation needs. Mr. Gallegos also served as the catalyst for the creation and implementation of the first-ever Regional Comprehensive Plan, which balances population, housing, and employment growth with habitat preservation, agriculture, open space, and infrastructure needs.

### Ms. Gail GOLDBERG

Director of Planning, City of Los Angeles, California, U.S.A.

Ms. Goldberg was appointed Director of the Los Angeles Department of City Planning in 2006. As Director, she is responsible for organizing and directing the city's policies and planning activities. Prior to joining the Los Angeles Department of City Planning, Ms. Goldberg worked for 17 years in the Planning Department of the City of San Diego, the last five years serving as Planning Director. She oversaw the planning process to update San Diego's 20-year-old general plan—the adoption of a strategic framework plan that articulated a 20-year vision for the city and a long-term strategy for achieving that vision, known as the "City of Villages" plan.

### Dr. Maryam GOLNARAGHI

Chief, Disaster Risk Reduction Programme, World Meteorological Organization, Geneva, Switzerland

Dr. Golnaraghi joined the World Meteorological Organization in 2004 to head up its new Disaster Risk Reduction Programme. She developed the program's strategic goals and implementation plan, which was adopted by 188 countries during the World Meteorological Organization Congress in 2007. Dr. Golnaraghi serves on a number of international committees and advisory groups, including the Task Team for Global Early Warning Survey, commissioned by former United Nations Secretary-General Kofi Annan, and the Early Warning Systems to the Office of UN Envoy for Tsunami Reconstruction, former President Bill Clinton. In 1996, she founded Climate Risk Solutions, Inc., and served as its President until 2004.

### The Honorable Mufi HANNEMANN
Mayor, City and County of Honolulu, Hawai'i, U.S.A.

The Honorable Mufi Hannemann is the 12th mayor of the City and County of Honolulu, the 13th largest municipality in the United States. The Mayor is leading the planning and development of the county's first rail transit system, which is poised to break ground in 2009. The Harvard-educated leader served in the administrations of four U.S. presidents: Jimmy Carter, Ronald Reagan, Bill Clinton, and George W. Bush. Before his election, Mayor Hannemann held posts as Director of the State of Hawai'i Department of Business, Economic Development, and Tourism; Chief of the state's Office of International Relations; and Chairman of the Honolulu City Council. In the private sector, he was a corporate executive with one of the oldest and largest agribusinesses in Hawai'i, and created his own business consulting firm and nonprofit organization.

### Dr. Won Bae KIM
Senior Fellow, Korea Research Institute for Human Settlements, Seoul, South Korea

Dr. Kim is a Senior Fellow at the Korea Research Institute for Human Settlements and former Director of the Northeast Asian Regional Development Center. He has been working on urban and regional issues in East Asia for the past 25 years and has carried out a number of research projects with colleagues from the United States, China, and Japan that focus on future infrastructure development issues in North Korea and Northeast Asia. His recent research focuses on transborder regional development and urban strategy in Northeast Asia. From 1985 to1995, Dr. Kim served as a Research Associate and Program Coordinator on migration and urbanization at the East-West Center.

### Dr. Aprodicio LAQUIAN
Professor Emeritus, School of Community and Regional Planning, University of British Colombia, Vancouver, Canada

Before becoming Professor Emeritus of the University of British Columbia, Dr. Laquian was Director of the university's Centre for Human Settlements and, concurrently, Project Director of the Asian Urban Research Network. Dr. Laquian was a Visiting Scholar and Acting Director of the Special Program in Urban and Regional Studies at the Massachusetts Institute of Technology and a Fellow at the Woodrow Wilson Center for International Scholars in Washington, D.C. He has written 20 books on urban studies and more than 60 articles and book chapters, including *Beyond Metropolis: The Planning and Governance of Asia's Mega-Urban Regions* and *The Inclusive City: Infrastructure and Public Services for the Urban Poor in Asia*.

### Dr. Michael LEAF
Associate Professor, School of Community and Regional Planning, and Research Associate, Centre for Southeast Asia Research, Institute of Asian Research, University of British Columbia, Vancouver, Canada

Dr. Leaf is an Associate Professor in the School of Community and Regional Planning at the University of British Columbia in Vancouver, Canada. He also serves as a Research Associate at the university's Centre for Human Settlements and was formerly Director of the Centre for Southeast Asia Research at the Institute of Asian Research. His work focuses on urbanization and planning in cities of developing countries, with particular interest in Indonesia, Vietnam, Thailand, China, and Sri Lanka. The courses he teaches at the School of Community and Regional Planning cover the theory and practices of development planning and the social, institutional, and environmental aspects of urbanization in developing countries.

### Dr. LE Van Thanh

Deputy Head, Department of Urban Development Studies, Institute for Economic Research, Ho Chi Minh City, Vietnam

Dr. Le's areas of specialization include internal migration, urbanization and human ecology, the labor force, and employment. As the institute's senior researcher, Dr. Thanh has been actively involved in research projects sponsored by several international organizations and the governments of Vietnam, France, and Germany. These projects include Livable Ho Chi Minh City 2020 and the Vision to 2025: Toward a Civilized and Modern Metropolis, in cooperation with the Globalization Research Center at the University of Hawai'i.

### Dr. LEE In-Keun

Director-General, Urban Planning Bureau, Seoul Metropolitan Government, South Korea

Dr. Lee has over 29 years of service in the Seoul Metropolitan Government. During this time, he has served in various departments and offices dealing with infrastructure-related projects for the capital city. Major positions he has held include Director for Subway Planning and Design, Director for Engineering Review, and Director for Urban Planning of Seoul. He worked for the Cheong Gye Cheon Restoration Project as Director-General until December 2005, and he is currently in charge of the Urban Planning Bureau of Seoul.

### Dr. Bindu LOHANI

Vice President, Finance and Administration, Asian Development Bank, Manila, the Philippines

Before assuming his current position at the Asian Development Bank (ADB), Dr. Lohani was Director General of the ADB's Regional and Sustainable Development Department and Chief Compliance Officer and Special Adviser to the President on Clean Energy and Environment. Before joining the ADB, he worked in the Departments of Housing and Physical Planning, Roads, and Local Development in Nepal. Dr. Lohani has authored more than 100 publications, including seven books. He has also served as consultant to several United Nations agencies and international consulting firms.

### Dr. Eduardo LOPEZ MORENO
Chief, State of the World's Cities Section, Monitoring and Research Division, The United Nations Settlement Programme, UN-HABITAT, Nairobi, Kenya

Dr. Moreno has over 20 years of academic and professional experience in housing and urban development policies, institutional analysis, and urban poverty alleviation issues. Before assuming his present position, Dr. Moreno was the Chief of the Global Urban Observatory, Senior Technical Adviser in the Bureau of Africa and the Arab States, and Chief Technical Adviser in Angola, UN-HABITAT. He is the principal author of the UN-HABITAT *State of the World's Cities Report 2006–2007* and *2008–2009* and has published more than 30 articles in national and international journals.

### Mr. Carlos RODRIGUES
Vice President and New Jersey Director, Regional Plan Association, Princeton, New Jersey, U.S.A.

As Vice President and New Jersey Director for Regional Plan Association, Mr. Rodrigues oversees a variety of statewide policy and legislative initiatives, including land use and environmental regulatory reform and climate change mitigation efforts. Previously, he spent 10 years with the New Jersey Office of Smart Growth, where he was responsible for physical planning and urban design issues statewide. He is the primary author of significant sections of the 2001 New Jersey State Development and Redevelopment Plan.

### Dr. Patricia ROMERO LANKAO
Deputy Director, Institute for the Study of Society and Environment, National Center for Atmospheric Research, Boulder, Colorado, U.S.A.

Dr. Romero Lankao serves as Deputy Director of the Institute for the Study of Society and Environment, a division of the National Center for Atmospheric Research's Societal-Environmental Research and Education Laboratory. Her current research focuses on the relationship between urban areas and climate change, exploring such questions as why some cities emit more greenhouse gases than others. She received the 2007 Nobel Peace Prize as part of the Inter-governmental Panel on Climate Change. Dr. Romero Lankao also served as a professor at the Autonomous Metropolitan University in Mexico, teaching courses on environmental issues and development.

### Dr. Elliott SCLAR
Director, Center for Sustainable Urban Development, The Earth Institute at Columbia University, and Professor, Urban Planning and International Affairs, Columbia University, New York, New York, U.S.A.

In addition to his appointments at Columbia University, Dr. Sclar holds senior appointments in the Graduate School of Architecture, Planning, and Preservation and the School of International and Public Affairs. As a professional economist,

Dr. Sclar has written extensively about the strengths and limitations of markets as mechanisms for effective public policy implementation. In recent years he has been a leading figure in a scholarly movement to reconnect the work of population health experts and urban planners in creating healthier cities.

### Mr. Reswan SOEWARDJO
Deputy Chairman, Economic Development, Regional Planning Board, Jakarta Capital City Government, Indonesia

Prior to his appointment to the Jakarta Regional Planning Board, Mr. Soewardjo served as Principal for the Jayakarta Nursing School, Head of the Department for Health of South Jakarta Municipality, Chairman for the Municipal Planning Board of South Jakarta, and Head of the Subdivision for General Affairs, Department of Health, Jakarta.

### Ms. Aurora TAMBUNAN
Assistant Secretary for Community Welfare, Jakarta Capital City Government, Indonesia

Ms. Tambunan has been working in the public sector as a civil servant for the Jakarta Capital City Administration since 1978. In 2008, she was appointed Assistant Secretary for Community Welfare by Jakarta Governor Fauzi Bowo. Her primary responsibilities include coordinating and managing a broad range of social affairs activities within the city administration. Other key positions that Ms. Tambunan has held in the Jakarta city administration include Director of the Intermunicipal Cooperation Bureau and Director of the Jakarta Culture and Heritage Office.

### The Honorable Dinesh Kumar THAPALIYA
Mayor/Chief Executive Officer, Kathmandu Metropolitan City, Nepal

The Honorable Dinesh Kumar Thapaliya was appointed Mayor/Chief Executive Officer of Kathmandu Metropolitan City in July 2006. He joined the Nepal Government Service in 1990 and has served in several ministries. Just prior to assuming his current mayoral duties, Mayor Thapaliya worked in the Ministry of Local Development as Undersecretary, where he was directly involved in urban policy and coordination, monitoring and evaluating the city's municipal plan and program.

### Mr. TRAN Du Lich
President, Institute for Economic Research, Ho Chi Minh City, Vietnam

Mr. Tran is President of the Institute for Economic Research and a member of the Parliament. As head of the Institute, he has focused on bringing its scientific findings to the attention of policymakers at both the city and national levels. During the past 10 years, many international organizations, such as the United Nations Development Programme, the United Nations Population Fund, and

the Institut de Recherche pour le Développement, have collaborated with the Institute on several research projects. He is the author of many publications on the transition of economic structure in Ho Chi Minh City, on urban funds for investing in urban infrastructures, and on the model of urban governance in Ho Chi Minh City.

### Dr. Mark TURNER

Deputy Director, Centre for Developing Cities, and Professor of Development Policy and Management, University of Canberra, Australia

Before joining the University of Canberra, Dr. Turner worked at the Australian National University and the Administrative College of Papua New Guinea. Dr. Turner has extensive experience in research, consultancy, and teaching in the Asia Pacific region, including Papua New Guinea, Vanuatu, the Philippines, Vietnam, Laos, Cambodia, Indonesia, Thailand, China, Afghanistan, Kazakhstan, Bhutan, and Maldives. Dr. Turner has undertaken numerous consultancy assignments for the United Nations Development Program, The World Bank, the Asian Development Bank, the European Union, AusAID, and other bilateral aid agencies and NGOs. He is a member of the United Nations Development Program Governance Advisory Panel for the Asia Pacific region.

### Dr. Shahid YUSUF

Economic Advisor, Development Economics Research Group, The World Bank, Washington, D.C., U.S.A.

In addition to his service as Economic Adviser on the Development Economics Research Group at The World Bank, Dr. Yusuf is the Team Leader for The World Bank–Japan project on East Asia's Future Economy and Director of the World Development Report 1999–2000, "Entering the 21st Century." Prior to that, he was Economic Adviser to the Senior Vice President and Chief Economist, Lead Economist for the East Africa Department, and Lead Economist for the China and Mongolia Department. He has also served The World Bank in several other capacities since he first joined the Young Professionals Program in 1974. Dr. Yusuf has written extensively on development issues, with a special focus on East Asia.

## Suggested Readings

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## URBAN ASIA Seminar Series at the East-West Center

The rapid growth of cities in Asia has strained urban administrative systems that are struggling to respond to unprecedented political, economic, social, and physical changes. Government, civil society, and corporations must learn to adapt and innovate—while simultaneously preparing for future growth.

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