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## Notes

### Chapter 1

1. This is a very conservative projection. UN-HABITAT contends that “empirical evidence suggests that the proportion of urban poor will increase faster than the urban population growth, provoking a substantial increase in the slum incidence. In a rather moderate projection, it is estimated that by the year 2020, the current 30 percent level of urban poverty in the world could reach 45–50 percent of the total population living in cities, that is 381–455 million households, as compared to 128 million households in 2000, a growth that represents 297–355 percent in absolute numbers” (2003d, p. 12).

2. The definition was developed by the UN Statistical Office in partnership with the Cities Alliance. A distinguished group of international experts, one of whom served on the task force that prepared this report, developed the definition.

3. Even apparently technical definitions lead to controversy. The definition of “improved” water supplies, for example, is not equivalent to that of “adequate” supply. Even more challenging is the definition of “security of tenure.” For the purpose of the enumeration, security of tenure was defined as “the right of all individuals and groups to effective protection by the State against arbitrary unlawful evictions,” measured by “evidence of documentation that can be used as a proof of secure tenure status” and “either de facto or perceived protection from forced evictions.” (UN-HABITAT 2003d).

4. Some assessments also include data on access to services, although these data are often lacking.

5. For more on the stigma of slum life, see Perlman (2002).

6. See [www.measuredhs.com](http://www.measuredhs.com).

7. See [www.unfpa.org/sustainable/urbanization.htm](http://www.unfpa.org/sustainable/urbanization.htm).

8. One example of the monitoring problem is the fact that the latest Secretary-General’s monitoring report (UN Secretary General 2004) had to make recourse to the percentage of slum dwellers in the urban population as a proxy for security of tenure.

9. This figure represents 43 percent of the projected overall urban population in less developed regions of 3.2 billion in 2020 (United Nations Population Division 2004). Although UN-HABITAT uses a different estimation method, the estimate reached is the same as that of the UN Population Division.

## Chapter 2

1. The information on the role of the urban poor presented in this chapter is based on a background paper commissioned by the task force (d’Cruz and Satterthwaite 2004).
2. The idea of housing exhibitions with life-size models goes back to 1986 in Mumbai; it has been replicated in many cities in India and elsewhere in the world.
3. See [www.sparcindia.org](http://www.sparcindia.org).

## Chapter 3

1. Social movements, NGOs, professional associations, and local authorities have been promoting a World Charter for the Right to the City (Brazil, Ministry of Cities 2004).
2. Preparation of São Paulo’s new “strategic master plan” took a little more than a year. It included many consultations with civil society actors, citizens’ groups, and local residents associations.
3. One interesting example is offered by the city of Curitiba, Brazil, which is negotiating the resettlement of slum dwellers in assisted self-help housing schemes in a nearby municipality in exchange for the transfer of building rights.

## Chapter 4

1. The examples that follow are taken from two background reports prepared for the task force. The cases on Benin, Colombia, India, and South Africa are cited in Serageldin, Solloso, and Valenzuela (2003). The cases on Angola, Bangladesh, and Pakistan are cited in d’Cruz and Satterthwaite (2004).
2. In Buenos Aires in addition to supporting housing improvement and providing advice on construction techniques, the building material bank disseminated information about the relationship between habitat and health, and it developed a credit system to allow residents to purchase materials on credit (Plummer 2002).
3. A natural monopoly exists when an industry market cannot support more than one firm.
4. Information on the Curitiba experience was gathered during a fact-finding mission to the city in March 2004.

## Chapter 5

1. The focus here is on financial resource and investment pools rather than the specific sectors requiring capital.
2. See, for example Stein (2001) and d’Cruz and Satterthwaite (2004).
3. As noted in chapter 1, this is in part because national development strategies have traditionally failed to recognize urban poverty as a critical obstacle to improved development or to acknowledge the crucial link between urban and rural poverty reduction strategies.
4. For more on this point and the need for greater subnational financing, see Rajivan (2004).
5. Although all countries could benefit from such an international dialogue, it is of particular relevance for middle-income countries, given that low-income countries need grants rather than loans.
6. In the short term, this observation is more relevant for middle-income countries than for low-income countries.
7. Official donors do support local governments, although many national governments are reluctant to allow them to do so.

8. Paragraph 76 of the Habitat Agenda is very clear in this respect: “Governments at the appropriate level should . . . prepare comprehensive inventories of publicly held land and, where appropriate, develop programmes for making them available for shelter and human settlements development, including, where appropriate, development by non governmental and community-based organizations” (UN-HABITAT 1996b).

9. For further discussion of development strategies, land markets, and basic services, see Wils and Helmsing (n.d.).

10. Land use planning is only in small part a technical exercise. It is a policy and hence a political process, into which all those affected, especially the urban poor, need to be brought.

11. Transfer of building rights (or transferable development rights) refers to situations in which public authorities permit the transfer of a given development right from one location to another. The owner of the transferable development rights does not have to be the same party as the owner of the land now eligible for more intense development. All that is needed is a market that can facilitate an exchange of the development right.

12. The ILO has established a network of universities in Asia and Africa that have introduced labor-based technologies into civil engineering curricula. Course material developed by the ILO and its collaborators is available to interested universities and tertiary training institutions upon request (see [www.ilo.org/eiip](http://www.ilo.org/eiip) for contact information).

13. In most countries that have a legal framework for urban planning, this framework provides for a minimum level of public involvement in the preparation of legally enforceable urban plans (that is, the right to know in advance and formally comment on proposed development rules for a particular place) and for formal comment on development decisions that affect an individual’s property interests. There is usually also some recourse to legal appeal regarding the implementation of planning legislation. However, legal entitlements for public participation rarely extend to involvement in urban policy or budgetary decisions.

14. For a popular account of NGOs, see ABC Radio (2003).

15. “Emergence” is a scientific term that refers to a capacity to self-organize from the bottom and to move to a higher level of order; “development” needs structures and rules. The new professional exists in the space created by the potential conflict between the two (Hamdi 2004).

## Chapter 6

1. See [www.hic-net.org](http://www.hic-net.org).

2. See [www.unhabitat.org/wuf/2004/default.asp](http://www.unhabitat.org/wuf/2004/default.asp) for information about the most recent World Urban Forum, held in Barcelona, Spain, in 2004.

3. “Millennium City Conference,” “Millennium City Committee,” and “Vision 2020” are purely indicative terms, used to describe the steps of a process model other than MDG-related entities or projects.

4. The process would reflect the one adopted by the UN Millennium Project in prioritizing countries least likely to implement the Goals on the basis of their current means and resources. The model was adopted by Porto Alegre and about 100 other cities in Brazil and other regions of the world (notably Europe). The model is institutionalized by means of the participatory budgeting approach.

## Chapter 7

1. For a complete description of the Goals, targets, and indicators, see [www.unmillenniumproject.org/html/dev\\_goals1.shtm](http://www.unmillenniumproject.org/html/dev_goals1.shtm).

2. Many institutions, including UN-HABITAT, maintain that target 11 would be better placed under the broader goal of reducing poverty. The other two targets under Goal 7 are target 9 (integrating the principles of sustainable development into country policies and programs and reversing the loss of environmental resources) and target 10 (halving, by 2015, the proportion of people without sustainable access to safe drinking water and basic sanitation).

3. UN-HABITAT had to start developing an enumeration and monitoring model on this extremely complex target from scratch, while other agencies responsible for monitoring other targets had the advantage of being able to count on a much longer tradition and baseline data, often going back decades.

4. An update on survey progress was ascertained in November 2004 through a personal communication with Nefise Bazoglu, Head, Monitoring Systems Branch, UN-HABITAT.

5. That report called for development of “a slum index . . . through networks of activists, policymakers, scholars and practitioners” (UN-HABITAT and Global Urban Observatory 2003, p. 6).

6. Not all local officials welcome the participation of groups they wish did not exist. Where this is the case, the collaborative arrangements described here—and progress toward the Goals—are not possible. This report focuses on places where collaboration and progress are possible.

## Chapter 8

1. Two papers (UN Millennium Project 2004a, b) describe the needs-assessment methodology.

2. The methodology was based on a study by Banes, Kalbermatten, and Nankman (1996), who calculated upgrading costs of slums to low, middle, and full standards (full infrastructure standards typically cost about five times basic provision). According to Banes (2001b), the cost of upgrading unplanned communities in Tanzania is \$86,000 per hectare for full service, \$37,000 per hectare for intermediate service, and \$18,000 per hectare for basic service.

3. This estimate assumes that all slum dwellers need the same entire package of services. In fact, many of them have one or more of the services already.

4. The allocation of spending by regions is based on data from the 2003 *Global Report on Human Settlements* (UN-HABITAT 2003a).

5. The discussion of the role of donors considers only contributions made specifically to meet target 11. It does not consider how much official development assistance should be provided. The appropriate level of official development assistance and the role of international financial institutions in financing development gaps are discussed in *Investing in Development: A Practical Plan to Achieve the Millennium Development Goals* (UN Millennium Project 2005).

6. In 2000, 60.3 percent of El Salvador’s population lived in urban areas, and the figure was expected to reach 75.6 percent by 2020. In Honduras 52.7 percent of the population lived in urban areas in 2000, and the figure was expected to reach 66.7 percent in 2020. In Nicaragua 56.1 percent of the population lived in urban areas in 2000, and the figure was expected to reach 65.1 percent by 2020 (UN-HABITAT 2003a).

7. These standards and costs should not be considered the only possible solutions or alternatives available in these or other countries.

8. Experience with low-income housing projects financed by the World Bank in El Salvador during the 1970s and 1980s demonstrates that the average plot for housing in new

settlements can be reduced to 60 square meters and still achieve high standards and levels of acceptance by participant families (see Bamberger, Gonzalez, and Sae-Hau 1982).

9. The programs do not provide bulk infrastructure. The cost of bulk infrastructure is assumed to be 30 percent of the total cost per person of the network infrastructure.

10. The investment cost per household of FUSAI was used by a recent study commissioned by UNDP to calculate the future resources needed to finance the construction of new formal housing for families earning less than four times the minimum wage per month during the next 15 years through assisted self-help methods in El Salvador (Acevedo and Pleitez 2003).

11. Stein and Castillo (2003) found that new low-income housing in a serviced site cost \$5,900 per household in Costa Rica and \$5,300 in Guatemala.

12. Using Davidson and Payne's (2000) method for calculating the relationship between density and land requirements for new settlements, average net densities in Central America are 463 people per hectare, with a proportion of land in private use of about 66 percent, a gross density of 306 people per hectare, and an average land area required for the new settlement of 8.2 hectares.

13. Flood (2004) estimates bulk investments at about 120 percent of the cost of network infrastructure. The experiences in Central America show that the cost for this new bulk infrastructure cannot be pro rated over the new low-income settlement, since it provides services for different types of income settlements. The estimates here are for the cost of bulk infrastructure at 30 percent of the cost of network infrastructure.

14. A variety of innovative efforts have been made in providing local authorities and communities with the financial incentives to maintain social investments. The Social Investment Fund in Nicaragua (FISE), based on the PRODEL model, created a preventive maintenance fund. For each \$1 spent by the national government it mobilizes \$.67 of local resources in urban areas for the maintenance of elementary schools and health clinics, reducing substantially the investments normally required to replace this social infrastructure every eight years. Maintenance is considered an investment not a recurrent cost. The average cost for preventive maintenance of a primary school of 12.5 classrooms in Nicaragua is about \$1,000 a year, of which the government provides up to \$600 (the rest is paid for by local counterparts). The cost of a health clinic is about \$500 a year, of which the government provides up to \$350 a year.

15. If the average loan per household is \$1,150 for an eight-year period at an annual interest rate of 12 percent and each family can afford to allocate 15 percent of its income to loan payments, the monthly household income required to repay the loan is \$125. This is just \$0.80 per person per day—less than the \$1 a day used as the traditional poverty line.

16. Donor assistance will vary across locales.

17. Sida has provided \$50 million in grants to set up five revolving funds in Central America. The funds have allowed about 100,000 urban low-income families to improve their living conditions over the past 10 years. The revolving funds have a current value of \$45 million from recovered loans. These funds will allow another 100,000 families to upgrade their housing in the coming years, without additional funds from Sida.

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