



The World Bank



UNCHS (Habitat)

**Special Summary
Edition**



Cities Alliance for

Cities Without Slums

Action Plan for Moving Slums
Upgrading to Scale...



Working together to change faces of poverty...

...working together to change lives.

Your comments and contributions to this dialogue on a global Action Plan for moving slum upgrading to scale are welcome. Please contact:

CitiesAlliance@worldbank.org

Fax: 202 522-2125

Tel: 202-473-0409

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I. The Challenge

Hundreds of millions of urban poor in the developing and transitional world have few options but to live in squalid, unsafe environments where they face multiple threats to their health and security. Slums and squatter settlements lack the most basic infrastructure and services. Their populations are marginalized and largely disenfranchised. They are exposed to disease, crime and vulnerable to natural disasters. Slum and squatter settlements are growing at alarming rates, projected to double in 25 years.

Slums are the products of failed policies, bad governance, corruption, inappropriate regulation, dysfunctional land markets, unresponsive financial systems, and a fundamental lack of political will. Each of these failures adds to the toll on people already deeply burdened by poverty and constrains the enormous opportunity for human development that urban life offers.

This Action Plan would improve the lives of 100 million slum dwellers by 2020. Its success will rest on the assumption that the international development community is prepared to create a new coherence of effort focused on improving the living conditions and livelihoods of the urban poor. It builds upon successful community-based upgrading programs, while addressing the broader policy and institutional issues which have often constrained their sustainability. By supporting those national and local authorities that are prepared to develop city-wide and nation-wide upgrading programs, the Plan promises to set in motion a global movement which would transform the lives of the most vulnerable and marginalized urban residents.

Slums are neglected parts of cities where housing and living conditions are appallingly poor. Slums range from high density, squalid central city tenements to spontaneous squatter settlements without legal recognition or rights, sprawling at the edge of cities. Some are more than fifty years old, some are land invasions just underway. Slums have various names, *Favelas*, *Kampungs*, *Bidonvilles*, *Tugurios*, yet share the same miserable living conditions.

Slums do not have:

- basic municipal services—water, sanitation, waste collection, storm drainage, street lighting, paved footpaths, roads for emergency access
- schools and clinics within easy reach, safe areas for children to play
- places for the community to meet and socialize

Slums are worsening:

- while the average age of city populations is increasing, the average age of slum dwellers is decreasing, so youths and children suffer most
 - visible disparities between slums and better-off neighborhoods increase the social tensions in poorer areas
 - unplanned growth of settlements makes conventional service provision complicated and costly



Rationale

This **Slum Upgrading Action Plan** addresses the urban side of the world community's poverty reduction mission to ensure a better quality of life for individuals—one that permits them to realize their human potential. While many urban poor live among better-off residents, the greatest spatial concentrations of the poor are found in slums and squatter settlements within cities and on the peri-urban fringes outside administrative boundaries.



These cities-within-cities are wellsprings of entrepreneurial energy, yet their brutal physical conditions limit residents' ability to realize welfare improvements from their own efforts alone. The contribution of these individuals to the broader economy is considerable, as they constitute the core of the urban labor force and have the potential to produce a significant share of domestic capital formation through self-built housing—yet their lives are made insecure by the absence of key public interventions that would catalyze and facilitate private investment.



Slum Upgrading consists of physical, social, economic, organizational and environmental improvements undertaken cooperatively and locally among citizens, community groups, businesses and local authorities. Actions typically include:

- Installing or improving basic infrastructure, e.g., water reticulation, sanitation/waste collection, rehabilitation of circulation, storm drainage and flood prevention, electricity, security lighting, and public telephones
- removal or mitigation of environmental hazards
- providing incentives for community management and maintenance
- constructing or rehabilitating community facilities such as nurseries, health posts, community open space
- regularizing security of tenure
- home improvement
- relocation/compensation for the small number of residents dislocated by the improvements
- improving access to health care and education as well as social support programs to address issues of security, violence, substance abuse, etc.
- enhancement of income-earning opportunities through training and micro-credit
- building social capital and the institutional framework to sustain improvements.

A typical slum...

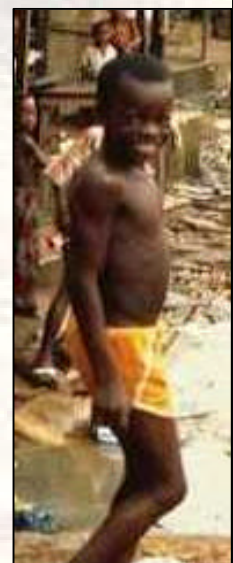


...transformed in Brazil.



Upgrading of unserviced settlements is justified as the *centerpiece* of a global strategy for improving the living conditions of the urban poor because:

- **Upgrading makes a highly visible, immediate, and large difference in the quality of life of the urban poor**—for example by correcting sources of communicable disease which impose a particular hardship on inhabitants of slums and squatter settlements. Thirty new infectious diseases have emerged over the last 20 years with disproportionate incidences in the urban areas of Africa, Asia and Latin America. Children in particular face constant threats to their lives in slums and squatter communities due to overall unhygienic conditions. Infant deaths in Manila’s squatter settlements are three times the level of serviced, legal settlements.
- **Investment in local public goods through upgrading catalyzes private investment by residents, unleashing their vast productive energy and leveraging private capital.** Past World Bank-supported upgrading projects have yielded rates of return of up to 25 percent. Households have invested \$7 of their own in housing improvements for every \$1 in public upgrading investments, particularly where tenure has been made secure, thus reducing the risks of eviction. Serviced plots acquire a value premium that can be ten times greater than that of comparable unserviced plots. To ensure that the poor residents, including tenants, enjoy these benefits and are not simply edged out into newer slums, upgrading efforts need to extend beyond a few favored sites to address all unserviced areas of a city—that is, scaled-up citywide.
- **The international community has successful experience supporting upgrading.** Upgrading not only has significant benefits, it is also a community-based strategy that development agencies know how to support. Experience has taught us that the problem of getting basic services to slums can be solved at very reasonable costs if done properly. Indonesia, for instance, has had twenty-five years of experience with its local government-initiated urban Kampung Improvement Program (KIP). From its beginnings in Jakarta, the Bank-supported share of KIP reached nearly 5 million people in fifteen years (the total program reached 15 million over 30 years). Through KIP, 300 local government units across Indonesia provided water, sanitation, shelter and roads. Similar efforts have been undertaken in Brazil, India, Jordan, Tunisia and the Philippines, among others. Such programs are feasible, technically and financially. What is essential to their success is political commitment to bottom-up community-based strategies—commitment at the top and commitment over time.



While it should be the linchpin of an urban poverty strategy, upgrading needs to be complemented by other measures to reduce urban poverty.

Upgrading addresses directly some of the most egregious *manifestations* of urban policy and institutional failures, but these also have to be confronted by complementary efforts to correct these failures and to build positive channels for improving the economic prospects of the poor. Important complementary components of an urban poverty strategy are:

- **Sectoral reforms.** Reforming regulatory and policy regimes for housing, land and infrastructure markets should remove obstacles and disincentives to access for the poor. Pro-poor regulatory frameworks will eliminate inappropriate standards of provision that raise costs, encourage entry of new technologies and small-scale and other competing suppliers, make subsidy policies more effective and better targeted, establish more equitable tariff and cost recovery systems, and facilitate active partnerships among private investors and utilities, community groups, NGOs and local governments to create practical solutions responsive to the needs of the urban poor ;
- **Finance.** Engaging private financial institutions leads to institution-based strategies that extend access to credit to the poor for housing, services, and business development, especially financing for developers and infrastructure providers, and micro-credit for households;
- **Jobs.** Measures to support small-scale enterprise and remove regulatory or other obstacles to the growth of the informal sector will increase employment, productivity and private investment among the urban poor ;
- **Governance.** Improved governance and management of cities at all levels should make local governments more responsive to the issues facing the poor;
- **Social capital and knowledge.** Measures to facilitate and strengthen the organizational capacities of citizens groups and local governments will increase access to information, and guidance on solutions to slum communities. Upgrading programs have in fact proven a highly effective forum for community action in many cases, helping members negotiate with city hall and utility companies to define solutions that meet their demands. There is also evidence of broad social benefits for the community, such as reductions in violence.
- **Other targeted activities.** Other traditional measures to fight poverty, including social safety nets, public works employment, and promotion of health care, training and educational opportunities, also have an important place in an urban poverty program. Particular attention in the urban context also needs to be given to child care for working parents, activities for vulnerable youth (including street children), and efforts to combat crime and violence.

Upgrading also needs to be complemented by policies to forestall the growth of future slums.

Upgrading of existing slum and squatter settlements addresses the backlog of urban neglect, but many cities especially in Africa and Asia will face an onslaught of new urban residents over the next several decades. Without significant improvements in the capacities of local government and the private sector to provide services for new residents, many of whom will be poor, the problems of current slum and squatter settlements will pale by comparison. In former Soviet Union and some former Eastern Bloc countries, years of poor quality state apartment construction and neglected infrastructure maintenance coupled with severe environmental hazards and recent economic collapse portend spiraling populations of urban poor and vertical slums. Despite advances and improvements in city management, most developing and transitional economy countries' cities cannot keep pace with their phenomenal growth and/or the increasing number of urban poor.

Improved performance of the local government is needed in managing future urban population growth—in particular, by:

- **Effectively carrying out basic land use planning.** For example, setting aside basic rights-of-way for primary infrastructure reduces the costs of extending networks. Revising regulatory policies discourages sprawl and settlement of unsafe or environmentally fragile areas.
- **More effectively mobilizing local resources.** Cities with slums often have significant fiscal resources at their disposal, opportunities to mobilize private investment, technical knowledge and indigenous entrepreneurial talents. In the slums themselves, there is both nascent and active organizational dynamism and powerful self-interest coupled with unrecognized or under-utilized talent. Meeting the future growth in demand for services will require significant strengthening of urban management and financial performance, coupled with more effective partnerships with the private sector and the communities themselves.



Moment of opportunity

Consistent with global trends of democratization and decentralization, local governments worldwide are now more directly accountable for the quality of life in cities. At the same time, with the rise of a dynamic private sector, government is no longer seen as the sole or even main provider of services. These developments, and the rise of democracy and civil society, have led to a dramatic shift in the ability of the urban poor to influence political action. The turn of the century therefore represents a moment of opportunity for the World Bank and the United Nations to challenge the international development community to create a new coherence of effort with central and local governments, the private sector and slum communities themselves—to enable the urban poor to realize their true potential.

Meeting the challenge

As urbanization proceeds at an unprecedented rate, it will be the lives of the disenfranchised citizens - the children, growing up in poverty and forced to drift between the city and its fringes - that will characterize the face of global poverty. Urban growth makes the challenge more urgent every year, and unless the squalid legacy of past neglect is rapidly addressed, the slums and squatter settlements in cities of the developing world are set to proliferate over the next 25 years in staggering dimensions - doubling in population by the year 2025.



This upgrading initiative therefore needs to be reinforced with redoubled efforts by the World Bank and the wider international community to support the comprehensive urban development agenda of cities where sustainable success as livable, manageable, competitive, and bankable cities will depend foremost on their ability to address the growing numbers and needs of urban poor.

Indonesia's KIP...



...improved 15 million lives.



II. The Slum Upgrading Action Plan

This critical Action Plan aims at improved basic municipal services for 100 million people over the next twenty years. The Plan focuses on upgrading the most squalid, unhealthy, unserved and vulnerable urban slums and squatter settlements which are found worldwide. This plan would commit interested parties in the international community to an ambitious, yet highly targeted effort to change the lives of slum dwellers worldwide. It calls for long-term commitment, a ratcheting up of



resources and a coherence of priorities, programs and organizational arrangements within each international development organization, as well as engaging committed local and national partners willing to make a concerted, results-driven attack on the slum problem.

The Action Plan calls for:

- challenging donors, governments and slum communities to improve the lives of 5–10 million slum dwellers by 2005 and 100 million by 2020;
- increasing Bank investments aimed at provision of basic services to the urban poor as a central thrust of its new Global Urban and Local Government Strategy;
- leading a worldwide effort to move from pilot projects to upgrading city-wide and nationwide and to generate the required resources to do so; and,
- investing in global knowledge, learning and capacity in slum upgrading, and for reducing the growth of new slums.

Achieving this goal will require powerful leadership, resolute political commitments, and ownership at the local level, coupled with broad-based partnerships at all levels—local, national and international. The Bank and UNCHS (Habitat) have taken a first step to create a

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