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Selected Endnotes*

*For a complete list of notes, please refer to the IHC website (www.intlhc.org/).

¹ Although technically slums and informal settlements have different characteristics, we use the two terms interchangeably for presentational ease.

² Annez and Buckley (2009), Fay and Opal (2000). Kessides (2006, p. xv) is quite emphatic on the importance of urbanization for economic growth: “... the economic growth that has taken place in Africa in the 1990s derives overwhelmingly from industrial (including construction and mining) and service sectors, which are mainly urban based. With very few exceptions these secondary and tertiary activities accounted for at least 60 percent, and averaged almost 80 percent, of GDP growth in the region between 1990 and 2003.”

³ What the official figures mask, however, is that the measure of “reasonable access” (a source within one km.) is much more appropriate to rural areas than to urban. Given much higher urban densities, if urban residents have to travel one km. for water either the queues will be exceeding long (because of the large catchment area) or they will pay high prices to private source vendors who are located nearer. This leads to the conclusion that urban coverage statistics for “reasonable” access to water are seriously over-estimated (McGranahan, 2007, p. 95).

⁴ The World Bank’s 2004 *World Development Report* (p. 160) notes that in Karachi, water is available only for 3-4 hours per day, in Delhi just 4 hours, in Phnom Penh 12 hours, in Dhaka and Manila 17 hours. In Jakarta and Nairobi, over 50% of the water is unaccounted for, in Phnom Penh over 60% and in Karachi 30%. Some areas of Accra have a water supply for one or two days a week and others do not get flow for several weeks. (McGranahan, 2006). A study carried out in Mombasa, Kenya in the late 1990s showed that very few neighborhoods had an average of only three hours of water a day and some have seen no water in their pipes for several years. (USAID, 2004).

⁵ In Accra, 70% of people in lowest income quintile and in Jakarta, 30%, share toilets with 10 or more households. (*World Bank World Development Report 2004*, p. 161).

⁶ Davis (2006), p. 143. Despite declining mortality rates due to improved care, diarrhea still contributes to the yearly death of over four million people and is responsible for the death of 1.6 million children every year (News-Medical.Net, 2009, and World Bank, 2009). Contaminated water also causes cholera, hepatitis, and various skin and eye infections. Stagnant water in poorly drained areas or around sanitary facilities attracts malarial carrying mosquitoes, the single most deadly disease for children in most of Africa. UNICEF estimates that 80% of deaths from preventable diseases (apart from HIV/AIDS) in Antananarivo, Maputo and Lusaka arise from poor sanitation (Ibid., p. 143).

⁷ More generally, four urban characteristics that help explain current urban transport differences:

1. Income – vehicle ownership
2. Size and size distribution – congestion grows with size, megacities have some of the worst problems of urban poverty and transport

3. Political history – principal difference is between socialist planned cities, with their widely dispersed pockets of high-density residences served by mass transit

4. Population growth rates – more rapidly growing cities tend to have a higher rate of car ownership and below-average portions of land space devoted to circulation.

Developing country cities are following the same transportation evolution pattern as Western cities toward increased reliance on automobiles, with households locating further from the city center where land is cheaper and some amenities superior and paying more for transport. (World Bank, 2006, pp.6-8)

⁸ To quote the World Bank (2002, p.65), “Nearly 0.5 million people die and up to 18 million people are injured in urban road accidents in developing countries each year... A majority of victims are poor pedestrians and bicyclists. Fears for personal safety and security significantly deter the use of non-motorized transport.”

⁹ World Bank (2002), p.26. In Mumbai, 30 percent of the poor commute using rail or bus service often from distant locations. To do so they spend close to 20 percent of their incomes on fares (Baker et al., 2005).

¹⁰ Studies have found that many psychosocial disorders in urban areas are associated with poor quality housing and urban environments. Overcrowding, noise and air pollution, poverty and dependence on a cash economy, high levels of violence and reduced social support in cities also weaken and devastate both individuals and the social supports that can help.

- Data from a cross sectional survey in Sao Paulo shows that even after key socio-economic variables are controlled, the area of residence has a statistically significant correlation with mental health issues.
- In Dhaka, a comparison of mental health status between slum and non-slum adolescents shows lower self reported quality of life and higher conduct problems among males living in slum areas.
- Lack of public spaces, sports clubs, etc, contribute to youth boredom and idleness – linked to substance abuse and violence.
- Overcrowding is a key contributor to mental disorders. e.g. 2007 WHO study in Occupied Palestinian territories (Gaza).

UN-HABITAT (2008), p.128.

¹¹ This view is expressed, for example, in Alonso and Rey (2007), Phillips (2002), and various sources cited in Newman (2006). At the national level, Patrick (2006) cites similar causes contributing to transnational terrorism (p.36) and reviews data indicating that most individual terrorists come from low-income authoritarian countries in conflict, such as Sudan, Algeria, and Afghanistan (p.34). Of course, such conditions are neither necessary nor sufficient to breed terrorists: many terrorist come from backgrounds absent deprivation or lack of education. Rather than their backgrounds, they respond to complex social conditions regardless of their personal situation.

¹²Tannerfelt and Ljung (2006), p.70. They also report the results of a World Bank survey of businesses in Uganda where respondents ranked poor utility services as a severe constraint to new investments—more severe than high taxes, poor tax administration, high interest rates, and corruption (p.71).

¹³ *A kampung is defined as a low income dense urban area.*

¹⁴ In addition to reducing the cost of water by 75% , 70% of the households now spend 15 minutes to fetch water and are within 50 meters of a safe water source compared to 13% who did not benefit from the project, freeing women and children up to pursue other activities. Average per capita daily consumption from yard taps increased to 20 lcd compared to 10 lcd at point sources and kiosks. The project improved water supply for 191,000 people and expanded coverage of new water service to 161,000. The EIRR of 9.80% is considered conservative because it does not take into account the benefits to commercial, industrial and agricultural activities made possible by a reliable water supply, benefits to additional households as the connection program continues, and any health benefits accruing from the project. Source: World Bank (2003c).

¹⁵ Transport investments of both types have effects that can work to reduce the incidence of poverty. The effects fall into four classes:

- Labor market impacts—increasing the accessibility of jobs to the poor
- Economic opportunity impacts—effects on firm location to better (more competitive) locations as a result of transportation improvements; growing firms may hire more low income persons
- Access and use of services—better access reduces the cost of services, increases utilization which may have significant health and education effects, for example
- Land prices—can raise value of land occupied by the poor; more generally lead to redistribution of land uses toward highest and best use.

These effects are discussed in Boarnet (2006).

¹⁶ These measures only work when rigorously enforced. A major component of the World Bank's Lagos Urban Transport Project is to re-regulate the informal sector and more generally strengthen the public authority's ability to manage traffic. Mitric (2008), pp.49-50.

¹⁷ The most successful slum upgrading programs employ a combination of improvements to physical infrastructure and urban services, the provision of social infrastructure, increased access to housing and micro-finance, and improved land management and tenure status. Financing constraints will require the prioritization of interventions but all of the following contribute to the improvement in the living conditions in the slums.

Physical infrastructure includes:

- environmentally sound provision of safe drinking water (preferably to the individual household but if not possible, to well-located, convenient public taps)
- basic sanitation services (in dense slums it may not be feasible to

install individual toilets at the household level and block toilet facilities might be the only solution)

- improvements to sewers (storm and sanitary) and drainage and connection of neighborhood systems to city sewage treatment facilities
- rational and transparent systems of establishing user fees for urban infrastructure and services
- improvements to the street and internal path network (paving, etc.)
- improved electrical service (both the extension to un-served areas as well as more steady reliable power)
- improved public lighting (as a deterrent to crime)
- additional open space (parks, sports fields, etc.)

Urban services include:

- improved solid waste collection (including more environmentally friendly and healthy sanitary landfills)
- improved access to public transport
- increased and more visible police presence

Social infrastructure includes:

- improved primary and secondary schools (especially water and sanitary facilities for girls and reliable power)
- opportunities for adult learning (at convenient times) (especially instruction to enhance workforce skills, job training, etc.)
- improved and more conveniently located primary health care facilities
- programs to promote community mobilization and organization

Housing and micro-finance includes:

- increased transparency of housing subsidy schemes (so that they reach the most needy)
- extension of home improvement lending programs into slum areas by private financial institutions
- micro-credit programs for smaller scale home improvements
- resettlement housing where some displacement may be required

Land management and tenure issues include:

- Consolidation and rationalization of land management policies and standards adapted to the realities of urban living
- Providing security of tenure (while the ideal may be individual property titles, other less costly forms and easier to implement systems of tenure security may be sufficient) Brakarz (2002), pp. 32-41 and Painter (2006), pp. 6-7.

¹⁸ Projects are rated by the Bank's evaluation group by comparing accomplishments against projects' own stated objectives. The focus is on outcomes, sustainability, and institutional development. The ratings referenced focus exclusively on outcomes and projects rated satisfactory are considered successful.

¹⁹ Some donor staff interviewed reported that for transportation project staff tended to develop rural projects that were much simpler than their urban counterparts. It follows that when countries have the chance to develop their own program choices—such as those funded under MCC compacts—the lack of expertise, the press to complete proposals quickly, and the five year maximum compact life, strongly favors comparatively simple rural programs.

²⁰ UN-HABITAT (2006), p.xv. Examples of creative structuring of city-regions in England are in Larkin and Marshall (2008). The U.S. has a number of examples of ad hoc arrangements that function reasonably well. Close to home is the Metropolitan Washington Council of Governments.

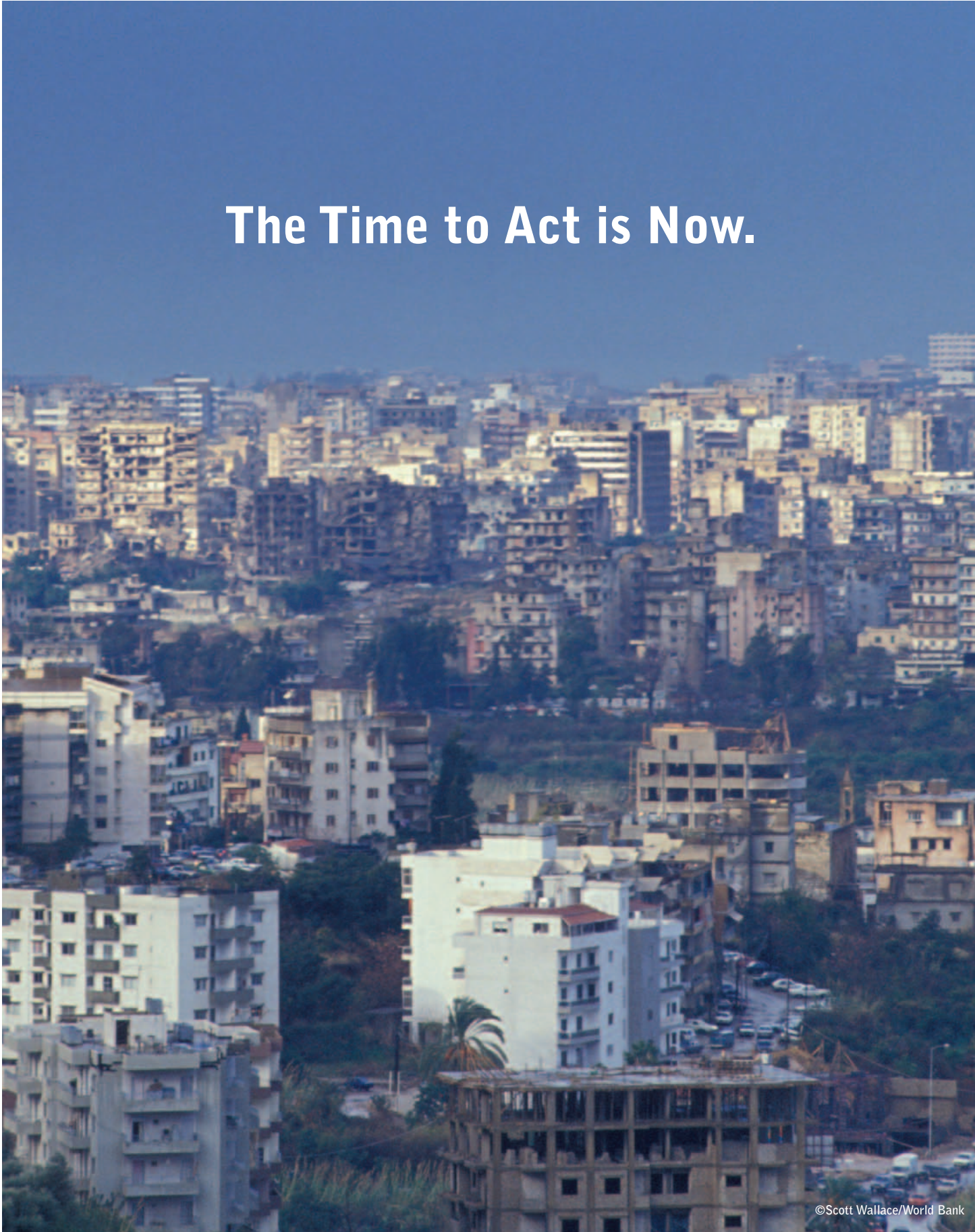
²¹ Another important element in institutions governing land market is a credible mechanism for contract enforcement and conflict resolution.

²² In round numbers the two countries' population is about 2.6 billion, or about 570 million households, based on average household size in each country. If only 1 household in 6 acquires a car this implies almost 100 million vehicles.

²³ The municipality should be the Implementing Organization. Often in the past it has been the donor who led the effort, which can undermine local ownership. While CDS has been often developed, there has not been a systematic assessment of their record. A description of the CDS process can be found in Parnell and Robinson (2006).



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Acknowledgments

The authors and the IHC would like to thank the many people who provided information for this Paper and those who commented on early drafts at two advisory panels organized by the IHC. Their names are listed at the end of the Paper. In addition, the IHC and the authors would like to specifically recognize the substantive contributions of the IHC staff and board, particularly — Bob Dubinsky, Cecily Brewer, Nicole Weir and Peter Feiden. Larry Hannah’s contribution in helping to formulate the Paper’s basic structure and argument was extremely helpful as was Felicity Skidmore’s editing. A special thanks goes to Robert Buckley of the Rockefeller Foundation, who played a key role in initiating this project. He provided useful advice and direction throughout the process of researching and writing the Paper. This White Paper was generously printed by Habitat for Humanity International and photographs were provided by the World Bank, Cities Alliance, and Habitat for Humanity International.



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