



Department of Social Development of
National Development
and Reform Commission(NDRC)

Government of China/UNFPA 7th Country Programme of Cooperation
Urbanization Project Tool Kit (Research and piloting to promote healthy urbanization
in China through the provision of essential social services)

A Brief Introduction on Project and Piloting Initiatives (2011 version)



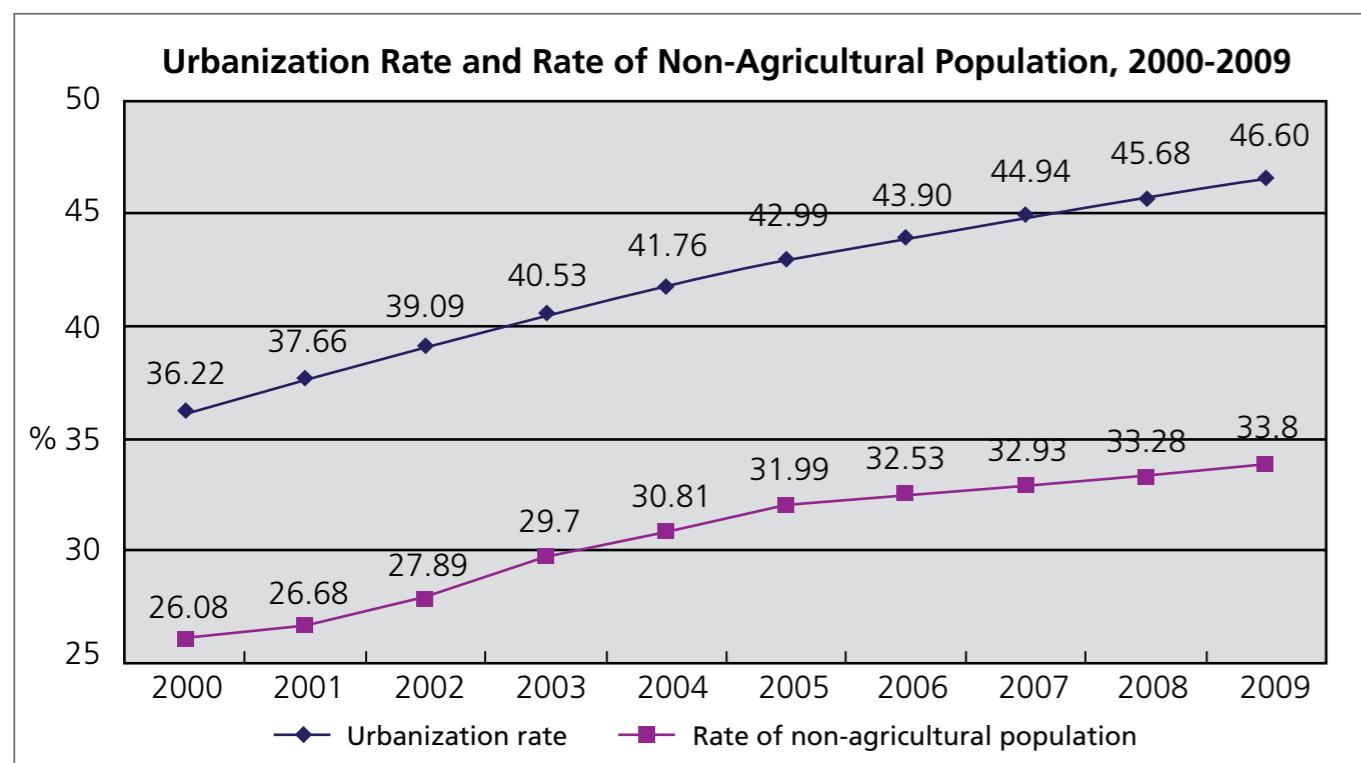
Chapter One: Basic Project Information

I. Project background

China is experiencing an accelerated urbanization process. By the end of 2010, the urbanization rate in China had reached 49.7%, an increase by 13.5 percentage points compared to that in 2000 and a faster increase than the 9.9 percentage points for the period during 1990-2000. This represents a population of 660 million now living in the urban areas of China, an increase of over 200 million compared to that in 2000. Migrants, especially the rural migrant workers in urban areas, are the major source of newly-added urban population in China.

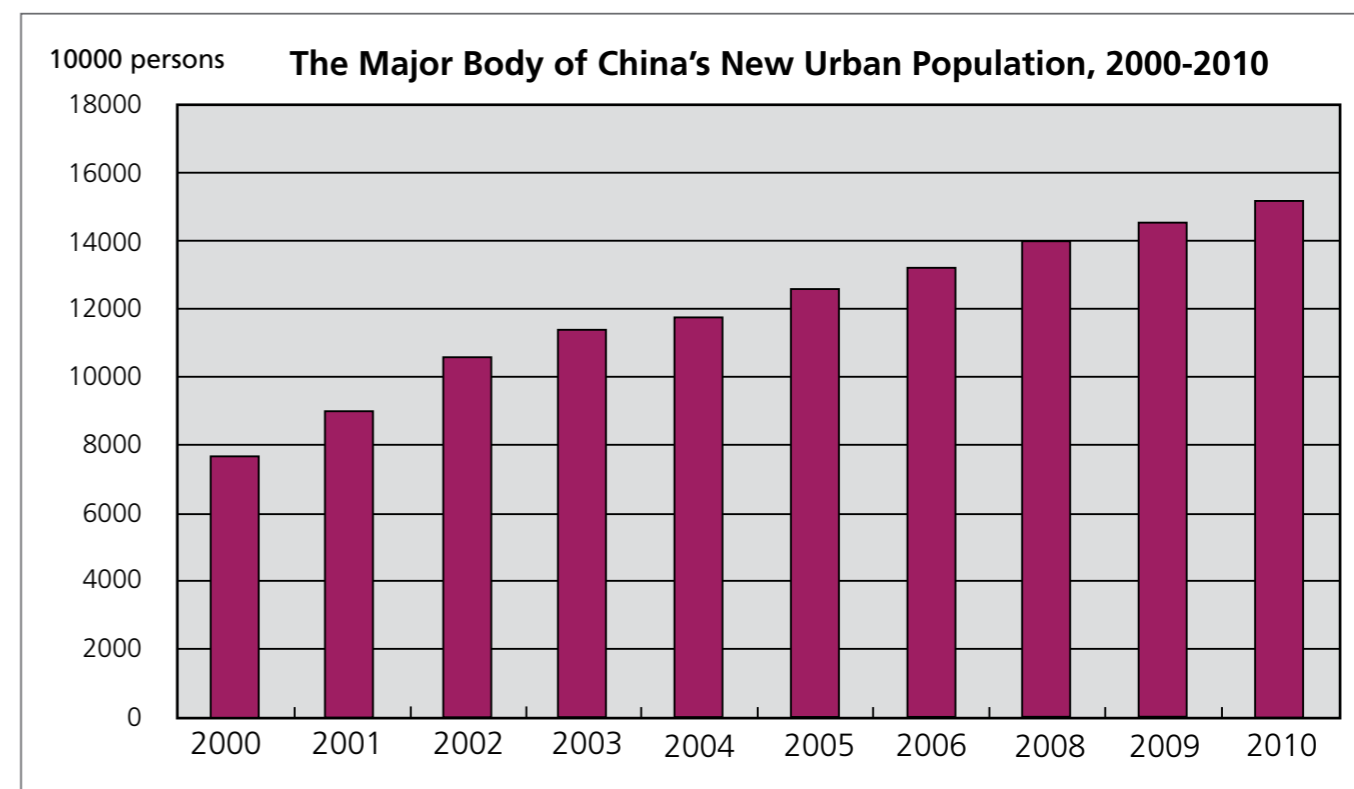
The current urbanization rate however does not reflect the actual urbanization level since part of these statistically counted "urban population" doesn't have equal access to the essential social services enjoyed by those who have local urban household registration (known as Hukou). In 2009, more than 170 million out of the 622 million statistical urban population have an agricultural household registration. Most of them are rural migrant workers in cities, and though having been counted as urban population, cannot enjoy the equal social services as local urban residents. As a result, they could not settle down in the destination cities and live a prosperous and contented life. On the other hand, the inflow of a large number of migrants into cities demands a wider range of public services to be provided by the local governments and a higher level of social management. Yet the existing policies related to the provision of social service fail to meet the demands of the development of urbanization, bringing ever-increasing pressure for cities in terms of employment and education opportunities and transportation, resulting in the deterioration of quality of life, and posing negative influences on the urbanization process and its quality in China.

Chart 1: Urbanization Rate and Rate of Non-Agricultural Population, 2000-2009



Source: China Population and Employment Statistic Yearbooks of relevant years

Chart 2: Size of Rural Migrant Workers in Cities - The Major Body of China's New Urban Population, 2000-2010



Source: Surveillance Survey Reports on Rural Migrant Workers of various years, National Bureau of Statistics

During the 12th Five-Year Plan period (2011-2015), the development of urbanization in China will catch up with the world's average level to reach 50%. Such a development will mark an important historical milestone in China's urbanization process. In the next phase, more attention will have to be invested on the quality of urbanization, and measures should be taken to ensure that eligible migrants be able to settle down in destination cities and enjoy equal access to essential social services as the local urban residents.

II. Project objective

To study, pilot and develop policy options pertaining to equal access to essential social services by all groups affected in the urbanization process in order to reduce problems faced by cities and facilitate a healthy development of urbanization in China.

III. Project target groups

The project will focus on the vulnerable groups most affected by urbanization, especially incoming migrants and local farmers (many of whom are land loss at the same time) who have already been counted as urban population but have not local household registration. Specifically, the project target groups include:

- (1) Incoming migrants
- (2) Local farmers and
- (3) Urban poor (low-income people in cities)

IV. Project sites

The project will work with 4 carefully selected sites – Zhengzhou City in Henan Province, Jinnan District in Tianjin Municipality, Yanta District of Xi'an City in Shaanxi Province and Changshu City in Jiangsu Province. These sites represent a combination of cities in different locations of China, of different development level and of different size.

NDRC urbanization piloting sites



V. Topics under research

The main topic of the project research is how to ensure equal access to essential social services by people who have already been counted as “urban population”. In specific, the research will respond to the following questions:

1. What is the scope of essential social services that the Government should provide? It refers to the connotation of essential social services, including among others compulsory education, public health, social relief, social security, basic housing security system, employment services, etc.
2. To whom should the Government provide these services? It includes particularly those who have been “urbanized”, such as migrants, local farmers (most of whom are land loss farmers) and urban poor.
3. How should the Government provide these services? In other words, how can the later comers in cities access these services (Hukou, contributions to social security, duration of stay, etc.).

4. How should the Government guarantee the provision of these services? In other words, how would relevant Government policies be adjusted and funding arrangements be made to ensure the provision of services?

In view of the diversified development levels across China and varying implications of receiving more people, these questions have been transformed into operational researches on specific research issues in line with the local contexts of 4 project sites. The table below includes 5 of these priority issues, which are deemed to have national significance with appropriate analysis.

5 priority research issues under urbanization project research

Theme	Content	Piloting site
1. How the construction of public service facilities could be in line with urban development, particularly urban population growth?	<ol style="list-style-type: none"> 1. Current situation analysis -population, facilities, etc. 2. Whether a development plan in place, and difficulties in implementation if yes 3. Budget input, and solutions to difficulties 	<p><u>Xi'an</u>: construction of service facilities in line with community development</p> <p><u>Tianjin</u>: construction of service facilities in small towns</p> <p><u>Zhengzhou</u>: education development in line with urban population</p> <p><u>Changshu</u>: documentation of compulsory education experiences</p>
2. How household registration (Hukou) could be granted based on rented residence?	Research to be conducted on domestic experiences, with specific reference to the Xi'an case	<u>Xi'an</u> : research on implications, criteria and solutions on granting Hukou based on rented residence
3. Role of community and community social organizations in life style transition of villagers	How public services could be rendered where farmers are collectively living (or in the transitional areas?)	<u>Tianjin</u> : fostering social organizations and the interactions between government agencies and social organizations
4. Housing security for migrants	Housing solutions for migrants: collective dwelling and/or public rental houses	<u>Changshu</u> : building public rental houses and development a house rental market
5. How to build an info sharing platform for migrants that can be used for service provision?	The establishment of a migrants registration system with information shared among government bodies	<u>Zhengzhou</u> : the development of a migrants information system

VI. Project Activities

The project will conduct the following blocks of activities in support of achieving the above project objectives:

1. Research on both home and abroad experience in provision of social services during the process of urbanization
2. Piloting on policy options in selected cities of varying development levels
3. Capacity building of stakeholders in rendering social services and taking up research recommendations
4. Monitoring and evaluation activities on piloting initiatives
5. Strategic recommendations on provision of social services for the development of a healthy urbanization in China

V. Project period

2009 – 2013

VI. Stakeholders of the project and corresponding responsibilities

1. National Level

(1) Department of Social Development, National Development and Reform Commission (NDRC): responsible for project management and coordination

(2) China Center for Town Reform and Development: taking part in project management, responsible for project's overall design and providing technical support

2. Pilot cities

(1) Project leading group: responsible for comprehensive guidance and strategic decision-making of piloting initiatives in the sites

(2) Local development and reform commissions: responsible for overall coordination, organization and implementation of piloting initiatives

(3) Relevant sectoral government departments, communities and community organizations: implementation of piloting initiatives as appropriate

(4) Relevant local research institutes: providing technical support, monitoring and analyzing project piloting initiatives

3. UNFPA: providing technical support and financial assistance for selected piloting initiatives and analysis efforts on the piloting process

Chapter Two: Summary of piloting initiatives in 4 cities of Tianjin, Zhengzhou, Xi'an and Changshu

I. An overview of the piloting initiatives in the 4 cities

Sector of public services	Housing	Education	Health	Social security	Social Assistance	Household Registration	Others	Innovative initiatives
Jinan District, Tianjin Municipality				✓	✓	✓		To develop community-level organizations (including social organizations) in rendering social services
Zhengzhou City		✓					Migrant information management system	To link registration of migrants with access to social services
Yanta District, Xi'an City			✓		✓	✓	Extending sanitation services to urban villages and costing analysis of piloted services	To lower threshold for migrants to get urban Hukou by including rented residence and extend public services to urban villages
Changshu City	✓	✓	✓				Employment	To establish, through building public rental houses and fostering a housing rental market, a housing security system for urban poor and migrants

II. Summary of Zhengzhou Piloting Programme: urbanization of migrants

1. Basic Information about Zhengzhou City

Zhengzhou, the capital city of Henan Province, is a big city located in central China. Through building new city proper and enlarging the administrative framework, Zhengzhou has been continuously expanding and consequently attracted many migrants. It has a residential population of 7.521 million in 2009, among which 5.461 million have local household registrations (Hukou), of which 57.1% have urban Hukou, accounting for 73%, and 2.06 million, or 27% are migrants. How to supply essential social services for the increasing urban population and to promote urbanization of migrants is one of the top priorities to be address in the urbanization process in Zhengzhou.

Zhengzhou took up Hukou reform in 2003, which explored practical methods to absorb farmers into the city at a low threshold but had to be suspended due to the heavy pressure on urban public service infrastructures, particularly education facilities resulting from the pouring in of a large amount of population. In the following years, Zhengzhou has built many schools to accommodate the needs for public education.

Being a big city in central China, Zhengzhou is expected to continue to expand the city's scope and play a leading role to facilitate the development of surrounding areas. With the known trend to take in more migrants, how to raise the level of urban planning, management and service and to ensure that development of urban service facilities meet the needs of increased urban population constitutes the single biggest challenge in Zhengzhou urbanization.

2. Summary of the Zhengzhou City Piloting Programme: urbanization for migrants

Sector of services	Current situation	Content of piloting	Policies to be enacted or revised	Indicators to monitor activities and results
Overall objectives of the program	Explore urbanization path for big cities in central China. Zhengzhou will pilot on the development of a migrant information management system and provision of quality compulsory education for migrants, which are perceived to be priority challenges and have built on existing momentums. Through dynamically linking migrants registration with access to social services, the piloting expects to see that migrants be mobilized to register and a lower threshold be in place so that migrants' access to social services and their transformation into regular citizens will be conducted step by step, and urbanization in Zhengzhou develop in a healthy manner.	<ol style="list-style-type: none"> 1. Build an authoritative and unified migrant information management system 2. Explore a socialized management model of migrant information registration 3. Conduct disaggregated analysis by sex and age on migrants' access to social services 4. Improve the funding mechanism on and capacities of migrant management bodies and staff 5. Develop the potentials of migrant information management system 	<ol style="list-style-type: none"> 1. Zhengzhou Plan of Action on Management of Service for Migrants (to revise), highlighting migrant information management system as an important component 2. Guidance on Promoting the Use of Migrant Information Management System in Public Service Departments 3. Specific measures on migrants registration in Zhengzhou 4. Guidance on improving service management mechanism for migrants 	<ol style="list-style-type: none"> 1. Registration rate of migrants 2. Utilization by other service sectors of the management information system 3. Access to social service by the registered migrants 4. Implications of the piloting for local finance
Migrant information management system	In 2007, the local Government started to use "Henan Provincial Migrant Comprehensive Public Security Information Management System" to collect, register and manage information about migrants. Yet the collected data are restricted to only internal public security purposes, and a socialized management model of migrant information registration lacks legal basis	<ol style="list-style-type: none"> 1. Build an authoritative and unified migrant information management system 2. Explore a socialized management model of migrant information registration 3. Conduct disaggregated analysis by sex and age on migrants' access to social services 4. Improve the funding mechanism on and capacities of migrant management bodies and staff 5. Develop the potentials of migrant information management system 	<ol style="list-style-type: none"> 1. Zhengzhou Plan of Action on Management of Service for Migrants (to revise), highlighting migrant information management system as an important component 2. Guidance on Promoting the Use of Migrant Information Management System in Public Service Departments 3. Specific measures on migrants registration in Zhengzhou 4. Guidance on improving service management mechanism for migrants 	<ol style="list-style-type: none"> 1. Registration rate of migrants 2. Utilization by other service sectors of the management information system 3. Access to social service by the registered migrants 4. Implications of the piloting for local finance

Sector of services	Current situation	Content of piloting	Policies to be enacted or revised	Indicators to monitor activities and results
Education	Compulsory education in Zhengzhou is under increasing pressure resulting from the increased migrants: <ol style="list-style-type: none"> (1) no well-functioning mechanism in place to support construction of primary and middle schools (2) development of compulsory education faces shortage of funds, and resources are not distributed proportionately (3) pre-school education significantly lags behind 	<ol style="list-style-type: none"> 1. How to ensure that construction of basic education facilities (in terms of mechanism development and education land guarantee) keep in pace with population changes 2. Establish a fair and equal compulsory education system open to both people with local Hukou and migrants 3. How to raise and allocate compulsory education funds to ensure the implementation of education development plan and a balanced development of education, including financial transfers from upper-level governments 	<ol style="list-style-type: none"> 1. Policies to reinforce the investment mechanism for compulsory education, assign and ensure accountability of county- and district-level governments for developing compulsory education 2. Policies relating to allocation and mobility of teachers and mechanism for balanced allocation of invested resource 3. Plan on land use for compulsory education facilities during urban construction 4. More policies to ensure that migrant children enrol in nearby schools 	<ol style="list-style-type: none"> 1. Enrolment rate for migrant children, and by appropriate ages 2. Percentage of migrant children who enrol in public schools 3. Average number of students per class in primary, junior middle and senior middle schools 4. Facility situation of public and private schools in basic education stage 5. Increase in per capita budgetary education expenditure for migrant children

III. Summary of Yanta District (Xi'an City) Piloting Programme: urbanization for both migrants and local farmers

1. Basic information about Yanta District in Xi'an City

Xi'an, as the capital city of Shaanxi Province, is one of the big cities in western China. Through building new city proper and enlarging the administrative framework, Xi'an has been continuously expanding and consequently attracted many migrants. Such an expansion modality has produced many urban villages¹, where there are limited public service infrastructures and facilities but many public security cases resulting from the living together of many migrants. Urban villages are no longer the traditional countryside from either the perspectives of production model, the living styles or the geographical features. Both migrants and local farmers living in these villages need to be taken of in urbanization.

Yanta District is one of the six urban districts of Xi'an and has many urban villages. It has both a large amount of migrants and local farmers. Among the 1,136.7 thousand of resident population in 2009, there were 789.4 thousand with local household registrations (Hukou), accounting for 69.45% and 350 thousand of migrants, or 30.55%. People with urban Hukou hold a proportion of 78.5% and there are still 160 thousand local farmers.

As a key city in the western region, Xi'an is expected to continue to expand its scale and playing a leading role to facilitate the development of surrounding areas. As a Xi'an suburb, the experiences of Yanta district in promoting the urbanization of migrants and urban villagers through the provision of social services will be useful for Xi'an and other big cities in China.

2. Summary of the Yanta District (Xi'an City) Piloting Program: urbanization for local farmers and migrants

Sector of services	Current situation	Content of piloting	Policies to be enacted or revised	Indicators to monitor activities and results
Overall objectives of the program	Explore the ways to achieve a healthy urbanization for western big cities. Core to the program is to lower the threshold for getting urban Hukou for local farmers and migrants, and to explore solutions to access social services in terms of old-age support, health, environmental sanitation, social assistance and education by land loss farmers and migrants through policy improvement so as to help them to integrate into the city.			
Hukou reform	<ol style="list-style-type: none"> Urbanization of local farmers: there are 161,629 local farmers in the district Urbanization of migrants: privately owned houses as pre-requisite for migrants to get urban Hukou 	Migrants who have a stable job and a stable living residence (including rented residence), and have paid social security premium for a successive number of years may get urban Hukou	<ol style="list-style-type: none"> Provisions and operational procedures on granting urban Hukou for local farmers Provisions on granting urban Hukou to migrants based on rented residence and subsequent management issues 	Number of migrants who have obtained urban Hukou
Financial guarantee		Finance department conducts calculations of expenditures on various services based on budgets provided by sectoral departments	Provisions on budgetary guarantee in support of the piloting on urbanization in Yanta District	Amount of budgetary expenditure by sector of service

1. Urban villages areas where villagers, later joined by migrants, continue to live after losing all or majority of their arable land and not engaged in traditional agricultural production, yet rural settings persist in urban surroundings.

Sector of services	Current situation	Content of piloting	Policies to be enacted or revised	Indicators to monitor activities and results
Development of community public service system	<ol style="list-style-type: none"> Sanitation service is being extended into urban villages through deploying sanitation workers and equipping garbage trucks in certain villages A health project to designate "hospitals for medical assistance and services to new citizens" is underway 	<ol style="list-style-type: none"> Implement community management in all administrative villages Develop community support system for elderly care and provide elderly care training for local farmers and migrants Improve environmental sanitation for urban villages and rural areas Further expand the scope of health project for "new citizen" to include reproductive health services 	<ol style="list-style-type: none"> Plan of action on community management Guidance on development of community support system for elderly care Methods to support elderly institutional care through financial subsidies Regulation on sanitation services for urban villages and suburban villages Regulations on provision of reproductive health and quality child birth and rearing services to migrants 	<ol style="list-style-type: none"> Coverage of community (village) public service centres; number of service items provided Number of beds in day care centres and amount of financial subsidies provided to elder care institutions Number of villages receiving sanitation services and amount of expenditures Number of migrant women who have participated in the health project
Social assistance	<ol style="list-style-type: none"> Detailed provisions on who are entitled to minimum living standard subsidy, medical and education assistance, social assistance, etc. Poor residential migrants can apply for interim assistance when in unexpected family difficulties 	<ol style="list-style-type: none"> Provide a one-off assistance to migrants in serious family difficulties such as disease, disaster and accidents Explore to include migrants in urban minimum living standard subsidy system 	Provisions on access to urban social assistance by migrants and local farmers	Sex disaggregated statistics on number of recipients for interim assistance, and by local farmers and migrants
Vocational education	<ol style="list-style-type: none"> Free info sharing and guidance to new citizens on employment Setting up learning centres in universities for new citizens and education/training bases for farmers 	Improve training system for farmers and migrants; encourage universities and vocational schools to conduct training seminars; distribute training subsidies in the form of education coupon	<ol style="list-style-type: none"> Regulations on distributing educational coupon to local farmers and migrants Provisions on encouraging local universities to conduct training seminars 	<ol style="list-style-type: none"> Type and amount of education coupon issued to local farmers and migrants Times & person-times of migrants and local farmers receiving vocational and city life skills training

ct, Tianjin Municipality

han other big cities in China, yet local farmers assume a significantly high proportion in the population with local ; of the 519.3 thousands of residential population in Jinnan District, population with local Hukou account for 78% population with local Hukou, those with urban Hukou only account for 27% and those with rural Hukou account for roblem of a low proportion of urban population and a high proportion of rural population in the urbanization process g initiatives in its suburbs to facilitate urbanization of local farmers.

iaozhan, Gegu, Balitai, Xinzhuang, Xianshuigu, Shuangjiaohu, Beizhakou) have been listed in three batches as pilot eadily complete a comprehensive transformation from a rural pattern management to an urban community-based r various public services by small town residents become a priority issue. Initiatives in Jinnan District of exploring the igement and public service mechanism could be the model of and provide concrete experiences and suggestions on districts of Tianjin and the other cities in China.

nan District (Tianjin): urbanization of local farmers

Content of the pilot programme	Policies to be enacted or revised	Indicators to monitor activities and results
<p>of suburb areas in big cities in economically-developed eastern China. Building on the practice that local farmer leads for apartments in towns, the piloting in Jinnan District will work in model towns on the development management mechanism, the establishment of a community public service information network, service staff, harmonization of rural social security system (medical, pension, social assistance, etc.) with urban social if household registration (Hukou) for local farmer, etc so as to explore a local urbanization path through relocating wns, moving industries to industrial parks, gathering up arable land to fewer bigger farmers and transferring rural nd tertiary industries</p> <p>ublish and improve mmunity party organs d community committees well as full-time staff, d establish community ighbourhood committees iter and develop community ial organizations</p> <p>adually reform villagers' mmittees, some of whose ctions be gradually shifted community committees ighbourhood committees) id community social ganizations</p>	<ol style="list-style-type: none"> Provisions to establish and improve community management service mechanism in model towns Plan of action on the establishment of new type community management and services full-time staff for through election and recruitment Provisions on fostering and developing community social organizations Provisions on the roles, functions and reform of villagers' committees 	<ol style="list-style-type: none"> Number and percentage of community party organs and community committees newly established; number of full-time staff recruited for community management service; composition of community party organ and community committee members, and community full-time staff Number of community social organizations, by type members, and activities conducted Percentage of reformed villagers committees in model towns; shift in its roles before and after the reform

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Sector of services	Current situation	Content of the pilot programme	Policies to be enacted or revised	Indicators to monitor activities and results
Construction of community public service facilities and building of a community information network	It has been listed in the overall construction plan for model towns, yet operational details are to be worked out. In some places it is under construction	<ol style="list-style-type: none"> Construction of public service facilities in model towns Building of a community information network in model towns 	<ol style="list-style-type: none"> Guidance on the construction of community service centres (stations) Guidance on the construction of community information network Guidance on the construction of community institutions for elderly care Guidance on the construction of community cultural and sporting facilities 	<ol style="list-style-type: none"> Areas of public service facilities in community service centres, service stations in model towns; areas of other public service facilities Number and percentage of communities who have started or completed community information networking; number of service sectors the network has shared information with and service items it has covered
Piloting on rendering community public services	Currently the model towns (except Xiaozhan Town) are still under construction, and community level public services are yet to be launched	<p>Supply the following public services through community public service facilities, organizations and personnel, such as community service centres (stations):</p> <ol style="list-style-type: none"> Vocational training Mass cultural and sports activities Social insurance items: basic pension, basic medical insurance, unemployment insurance, minimum living standard subsidies, medical relief, educational relief, judicial aid, etc. Social welfare: help for the disabled, help for elderly care Community public security: community police office, migrant management services Property management 	<ol style="list-style-type: none"> Provisions for encouraging villagers to start up business and seek for jobs and providing vocational training Policies on social security and social welfare for villagers Provisions on the status and functions of community service centres (stations) Operation guidance for property management in model towns Provisions on the management and service for migrants 	<ol style="list-style-type: none"> Number and percentage of villagers who have exchanged their rural homesteads for apartments, and have attended vocational training; number of whom finding jobs; services rendered by streets (towns) related to employment Number of mass sporting organizations and their members; number of mass sporting activities and participants; number of community education activities and participants; users of relevant community facilities Number and percentage of basic pension and basic medical insurance beneficiaries; number of people receiving minimum living standard subsidies, medical assistance, education assistance and judicial assistance; number and percentage of disabled persons receiving assistance and welfare Incidence of public security and criminal cases; coverage of community property management
Access to regular social security and Hukou reform	Those who exchange their homestead land for apartment in small cities and towns are treated as rural farmers in accessing social and economic benefits, not as urban citizens	<ol style="list-style-type: none"> Promote equal access to regular urban benefits in terms of social assistance and social security by those who have exchanged their homestead land for apartment in towns Explore how to take up Hukou reform for villagers in model towns 	<ol style="list-style-type: none"> Policies, specific stipulations and operational methods for these farmers to access urban social assistance and other social securities Policies, specific stipulations and operational methods for them to change to urban Hukou 	<ol style="list-style-type: none"> Completion of relevant researches and issuance of provisions Number and percentage of people who have access to urban social assistance and urban social security Number and percentage of people who have got urban Hukou