

Evaluation of the Sustainable Neighbourhood Programme in Mavoko Municipality, Kenya



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Municipality, Kenya

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ACRONYMS AND ABBREVIATIONS

| | |
|------------|---|
| CBO | Community-based organization |
| CTA | Chief Technical Adviser |
| EUR | Euro |
| GROOTS | Grassroots Organizations Operating Together in Sisterhood |
| KENSUP | Kenya Slum Upgrading Programme |
| KES | Kenya shilling |
| KEWLAT | Kenya Women Land Access Trust |
| MOU | Memorandum of Understanding |
| NGO | Non-Governmental Organization |
| ROAAS | Regional Office for Africa and the Arab States |
| RTCD | Regional Technical Cooperation Division |
| SNP | Sustainable Neighbourhood Programme |
| TOR | Terms of Reference |
| UN | United Nations |
| UN-Habitat | United Nations Human Settlements Programme |
| USD | United States Dollar |
| YEP | Youth Empowerment Programme |

EXECUTIVE SUMMARY

I. INTRODUCTION

The Sustainable Neighbourhood Programme (SNP) was designed as a 27-month, experimental, community-driven slum resettlement¹ project, expected to address the housing crisis in Kenya by focusing on improving the lives and livelihoods of people living in 26 slum settlements in Mavoko, Kenya.²

A 55-acre³ piece of land in Mavoko Municipality⁴ was provided for the project by the Government of Kenya through a debt swap with the Government of Finland, and the SNP was then to be implemented from August 2002 to April 2005. The Kenya Slum Upgrading Programme (KENSUP), a secretariat body within the Ministry of Housing mandated to upgrade slums in

Kenya, would lead project implementation with funding provided by the Government of Finland (EUR 750,000) and the United Nations Human Settlements Programme (UN-Habitat) in kind (USD 160,000).

After an impasse, a new development process for the SNP was initiated in April 2011, to be implemented in collaboration with the Government of Kenya and other stakeholders. At the time of the evaluation, the new development process had started (Phase 1) and was in the process of determining the feasibility and possible redesign of the project.

This evaluation was a response to a request by the Government of Finland for a final evaluation of the achievements, experiences, challenges, and lessons learned. The end-of-project evaluation of the programme was carried out between 1 December 2011 and 31 January 2012 by an independent consultant, Ms. Kathleen Webb. The Regional Office of Africa and the Arab States (Kenya Unit) managed the evaluation, with technical support from the Evaluation Unit. The purpose of the evaluation was to assess the extent to which the development objective and immediate outcome objectives of the SNP were achieved between 2002 and 2011.

¹ The terms 'resettlement' and 'relocation' are used interchangeably in this document and have a similar meaning: slum dwellers moving to an improved location.

² The 26 slum settlements included 25 Mavoko slum settlements and one additional site that housed those working in Athi River but living in Kibera slums. See *Situation Analysis and Evaluation Report population estimates (UN-Habitat Progress Report, 2004, page 2)*, which estimated the Mavoko slum population at 26,000 persons living in 25 slum settlements. There was no population estimate for the Kibera slum settlement.

³ 55 acres = 22.21 hectares

⁴ The Government of Kenya allocated 55 acres of land for the UN-Habitat SNP project through a debt swap with the Government of Finland. The land is registered as L.R. 27664, with the title granted on 22 June 2009. The site is about 30 km from Nairobi, the capital of Kenya.

II. METHODOLOGY

The evaluation covered the period from inception in 2003 up to April 2011. The period thereafter up to January 2012, the time of the evaluation, was not evaluated. However, information on progress during that period was included to give an overview of the project and follow-up by UN-Habitat.

As this was the first evaluation of the SNP and several years had passed since its inception, the evaluation methodology used by the consultant evaluator relied mainly on documentation from multiple sources and interviews with the stakeholders involved in the programme. This meant the study and analysis of 174 reports, minutes of meetings, and emails provided by UN-Habitat, SNP, the Kenya Women Land Access Trust, the Youth Empowerment Project, and others.

Seventy-five persons were interviewed from UN-Habitat, the Government of Kenya, non-governmental organizations (NGOs), and 11 slum cooperatives. The interviews were conducted mainly as focus group discussions and key informant interviews, in order to generate discussion and also understand the project's history. The interview questionnaires were designed in advance and structured in line with the evaluation criteria (relevance, efficiency, effectiveness, impact and sustainability, and the cross-cutting issues of gender and human rights). They were then revised in collaboration with UN-Habitat, which facilitated the selection of interviewees and administering of questionnaires. The standards of the UN-Habitat Monitoring and Evaluation Guide and the United Nations Evaluation Group were applied

to the evaluation to ensure the study was professional, objective, and impartial.

There were no significant limitations, other than the challenge of getting some information. Many key stakeholders had moved away and could only be reached by email or phone, and conducting the evaluation during the December holidays meant many people were away.

III. KEY FINDINGS AND ASSESSMENT OF THE PROGRAMME

This section presents an overview of the achievements of the SNP and an assessment of relevance, effectiveness, efficiency, impact, and sustainability, as well as cross-cutting issues.

A. KEY FINDINGS

Achievements

The evaluator finds that the SNP made an overall contribution to the development objective set for the project as it delivered activities and outputs, which contributed to that objective: "to strengthen the role and capacity of the informal and community sector in the provision of housing, services and infrastructure."⁵ The project strengthened community capacity through the sensitization, mobilization, and training of men, women, and youth living in 26 Mavoko slum settlements who were then able to better define their role in creating healthy, sustainable neighbourhoods and also implement steps to improve their own lives, by working together in 30

⁵ SNP project foundation document, page 12.

community-based organizations (CBOs) and six cooperatives.

An analysis of the achievements of the project against the four immediate outcome objectives set for the project find that the outcome objectives were partially achieved, as the project was able to deliver some of the planned outputs and carry out some of the planned activities. The project was not able to deliver all planned outputs contributing to the achievement of the four immediate outcome objectives due to a late start, the complexity of the project design, and management challenges faced during the life of the project.

Despite these challenges, the evaluator finds high standard and in-depth completion of many foundational activities of the project and the establishment of strong linkages with stakeholders in both the public and private sectors. These made an overall contribution to the development objective of the project. Of important mention are the following foundational outputs and activities which contributed to the development objective:

- Geographic and hydro-geological surveys done for part of the land.
- Situation analysis, community action plans, and social mapping carried out in 26 slum settlements of Mavoko.
- The title for the land was released⁶.
- SNP office equipped and studies archived.

⁶ Grant Number I.R 117250 allocated L.R. 27664 to the Permanent Secretary to the Treasury of Kenya as trustee of the UN-Habitat Housing Project, 22.1 hectares of land in Mavoko Municipality in June 2009.

- Formation of 30 community-based organizations as a result of extensive sensitization, social mapping training, and retraining of slum residents.
- Mobilization and formation of six Mavoko cooperatives, with an average membership of 500 persons per group and a savings range of KES 3–5 million, by the time of the evaluation.
- Extensive networking and research done with the participation and commitment of more than 50 institutions, organizations, and companies in the fields of appropriate technology, housing, community development, and credit granting, which can be applied to future project needs.

Implementation Arrangements

The roles and contributions of KENSUP and UN-Habitat were not realized from the year 2005 due to differences between the two bodies related to the nature, location, and target population of the SNP and the procedures for carrying it out. These differences were not resolved despite efforts by both parties, and the Executive Committee soon ceased to function.

KENSUP continued to develop mixed-income dwellings on their part of the SNP land, adjacent to the UN-Habitat SNP land, in an effort to meet Kenya country demands for housing. UN-Habitat started two new projects on the UN-Habitat SNP land using separate funding:

A women's empowerment project started with Kenya Women Land Access Trust (KEWLAT), whereby five cooperatives (drawn from slum settlements outside Ma-

voko) received cooperative training and four low-cost model houses were constructed. A youth centre, constructed as part of the Youth Empowerment Project (YEP), which served as a central training site for more than 500 youth on mainly low-cost construction technology.

The lack of collaboration between KENSUP and UN-Habitat was a major factor in the project not meeting all of its four immediate outcome objectives⁷. Project implementation was further constrained by a complicated project design, which was unclear as to how the concepts would be factored into the implementation of activities.

B. ASSESSMENT

Relevance

The SNP is in line with UN-Habitat global priorities and specifically the Addis Ababa Declaration on Human Settlements in the New Millennium, which stresses the need to enhance the capacity of the private sector to develop housing, increase employment opportunities, promote the mobilization of domestic resources for shelter development, and promote the use of new technologies for the development of low-cost housing and infrastructure. The

project is also relevant to the United Nations Millennium Declaration (2000), with the goal of significantly improving the lives of at least 100 million slum dwellers globally by the year 2020 using domestic resources and new technologies. UN-Habitat states in its 2003 report *The Challenge of Slums: Global Report on Human Settlements* that *"the accepted best practice for housing interventions in developing countries is now participatory slum improvement...the best examples are holistic approaches to neighbourhood improvement, taking into account health, education, housing, livelihood and gender."*⁸ The agency's development objective has the potential to address the housing needs of highly impoverished communities in Kenya. The evaluator finds that the SNP project goal (development objective) and four immediate outcome objectives were therefore consistent with UN-Habitat global priorities and the donor's policies.

There were gaps in the design which limited the degree to which the project could be implemented. The various concepts in the SNP were never developed to show how they would be applied in the model. The design is also not in line with the National Housing Policy for Kenya (currently under review), which specifies building standards for slums but does not address the use of innovative housing materials.⁹ Another tenet of the definition of a sustainable neighbourhood specified in the proposal is the integration

⁷ *The SNP had four outcome objectives: 1) enhance the role and capacities of the communities in the provision of housing, services, and infrastructure; 2) strengthen the capacity of small-scale contractors and building material producers in shelter and infrastructure provision; 3) enhance the capacity of public agencies to act as enabling authorities for community-led housing and infrastructure delivery; and 4) prepare and implement a pilot project in sustainable neighbourhood development. For the purpose of this evaluation, outcomes are defined as 'outcome objectives' reflecting the 'immediate objectives' formulated in the SNP foundation project document.*

⁸ *UN-Habitat (2003), The Challenge of Slums: Global Report on Human Settlements 2003, Earthscan, London, UK.*

⁹ *Republic of Kenya (July 2004), National Housing Policy for Kenya, Sessional Paper No. 3, July 2004.*

of sustainable livelihoods within the SNP. To realize this goal, the SNP should have linked to other relevant ministries dealing with livelihoods. The sustainable livelihood model in the proposal should have been expanded into specific activities which could have been factored into the project.

Effectiveness

The evaluator finds that the SNP made an overall contribution to the development objective set for the project, “to strengthen the role and capacity of the informal and community sector in the provision of housing, services and infrastructure” as it delivered activities and outputs which contributed to four outcome objectives.¹⁰ The project strengthened community capacity through the sensitization, mobilization, and training of more than 3,000 men, women, and youth living in 26 Mavoko slum settlements, who were then able to define their role better in creating healthy, sustainable neighbourhoods and also implement steps to improve their own lives, by working together in 30 community-based organizations and six cooperatives (derived from the CBOs). People developed a close and trusting relationship with the project, which also promoted female participation, resulting in 25 per cent female representation in the community-based organisations and cooperatives. In addition to joining and participating, people acquired skills in leadership and group dynamics and began to save.

The identification of stakeholders in both the public and private sector was also effective, as the project team searched and reached

far within the local and national domain to attract as many interested parties as possible who are experienced in the areas of credit, housing, and training. The SNP team brought in professionals from many sectors, such as health and education sector personnel from the Mavoko Municipal Council, who were able to provide community education on many issues relevant to a better lifestyle.

Efficiency and Budget

The project faced many challenges with respect to efficiency, but on the whole, despite turnover of the Chief Technical Advisers (CTAs) and the absence of a Project Manager for an extended period, the day-to-day management of the SNP was good.

The Project Manager and three fieldworkers worked closely together, giving each other regular feedback, liaising closely with communities, and making great effort to document plans and events. There were frequent meetings among the leaders, project management, and communities, in which issues and challenges were brought forth. The three field officers and the Project Manager were available to address the emerging challenges of the community-based organisations when they were formed, as well as the six cooperatives as they developed from the community-based organizations. The reports produced by these activities can support future programming.

The SNP fieldwork that was carried out in the communities by the SNP staff was professional and in-depth and many community action plans, social mapping, and other studies were completed using

¹⁰ SNP project foundation document, page 12.

project funds. The Ministry of Cooperative Development training successfully placed the communities into six cooperatives, with significant savings.

The budget, when compared with the financial report of 31 December 2008, showed no irregularities and was subjected to an audit. Some examples of prioritized/not prioritized activities and outputs in the budget include:

- Sensitization and social mobilization among the communities was not well budgeted for and had to be covered under the training budget, which at only USD 37,000 was too low to meet the needs.¹¹ There was no budget for the process of sensitizing the public and private sectors to the extent necessary. There was little or no funding for major components of the project such as architect studies, the savings and credit programme, construction of the technology workshop, materials and supplies for the construction training, etc.
- Monitoring, which was to be carried out by field staff and others, did not receive enough funding. The project provided stipends, not salaries, to the three field staff, yet they were key to the substantive field work and community

interaction (including problem solving) with the slum communities of Mavoko. As a result, shortages in funding for transport, communication, and stationery caused frequent delays in activity implementation.

- The project funded several exchange trips (e.g., to the Third Session of the World Urban Forum held in Vancouver, Canada, in June 2006), local retreats in Kenya (Mombasa, Kitale, Nakuru), and a house design competition,¹² which gave exposure to those slum dwellers who were in leadership positions in the community-based organizations and six cooperatives. The annual World Habitat Day celebrations held in Athi River, Kenya, gave many slum dwellers the opportunity to meet and discuss progress in savings mobilization.¹³ The events were all planned for and provided some value for money in terms of awareness raising and training.
- Cluster groups formed by the Executive Committee of the SNP brought together many professionals from the public and private sectors who provided expertise on housing design, training, and credit and savings mobilization. These contributions were not acted upon, as the project activities lapsed by 2005.

The collapse of activities in late 2004 and the intention of UN-Habitat between 2005

11 UN-Habitat (2003), 'Agreement and Budget' (Government of Finland and UN-Habitat), Nairobi: Each community meeting (50 persons, inclusive of trainers) cost an average of USD 500 per day (transport, stationery, etc.). On average, communities were visited at least five times to mobilize people and train them in community-based organization (and later cooperative) development. Training costs for manual development and production were also not included in the budget.

12 The competition 'The Sustainable City' was a student design competition in 2005 for Kenyan and Finnish university students. There were no entries from Kenya. The designs were expected to present innovative sustainable solutions in terms of affordability, ecology, and social/cultural integration.

13 SNP Monthly Report October 2005, page 2.

and 2007 to utilize the land resulted in memorandums of understanding with Kenya Women Land Access Trust regarding empowerment of women and the trust's use of land at the SNP site. A UN-Habitat youth empowerment project entitled 'YEP' was implemented, and a centre was erected on the SNP land. The informal allocation of land to YEP, KEWLAT, and the six Mavoko cooperatives did not contribute to the expected results of the SNP, as both the YEP and KEWLAT projects differed greatly from the SNP in many areas, such as focus, beneficiaries, mode of implementation, and training content. There was also no rationale to allocate land to the six Mavoko cooperatives.

Impact and Sustainability

The anticipated positive impact of SNP, with sustained change, was limited, as the project did not deliver all expected outputs planned for the four immediate outcome objectives. However, the close interaction of UN-Habitat and the SNP field staff impacted positively, as it benefited the Mavoko community at large, empowering community-based organizations and cooperatives.

As a result of the SNP, people now have more hope and some have changed their lifestyles, engaging in preventive health practices for healthier living. In some cases, people in the Mavoko slum communities also developed better environmental practices in their existing slum settlements due to interaction with the SNP. These practices have lasted over time, and some groups have raised funds to expand them further, creating safe environments for their families.

The project also impacted positively on the private sector of Mavoko, linking industry and the public sector together for the mutual goal of sharing resources (financial and physical) for the sake of the slum dwellers. If the project had been sustained from 2002 to 2011, it is likely that the pledges of these groups would have provided significant support. Nonetheless, the interactions from 2004 indicate that private industries are interested in participating in a sustainable neighbourhood. The training conducted by the Ministry of Cooperative Development enabled the cooperatives to save extensively, placing them in an advantageous position for accessing credit from credit-granting institutions and purchasing housing units in the future.

The Way Forward for the Sustainable Neighbourhood Programme

After the closure of the SNP project in 2010, there was new development when, in April 2011, the UN-Habitat Executive Director initiated a new development process for the SNP to be implemented in collaboration with the Government of Kenya and other stakeholders through the 22-member Mavoko Development Advisory Committee, which was formed in September 2011. The revived development process follows the same outcome objectives for the SNP as set in 2002, but with the necessary changes and improvements to reflect current realistic, practical requirements; a project brief is currently under discussion. The evaluator finds that the new start of the project is a positive step which can help contribute to the process of creating low-cost housing if it addresses the design

gaps and misinformation of the early years. At the time of the evaluation, the new development process had started Phase 1, the financial and technical appraisal of the project which will determine the feasibility of the project (and whether to proceed or not).

IV. CONCLUSIONS

Complex Project Design Limiting

The lack of clarity of the project design—in terms of timing, roles, functions, gender, and activities to be completed—limited the project’s implementation and potential positive impact for the period under evaluation. Specifically, the evaluation found the following:

- There were limitations in the project design with respect to the time needed for sensitization and implementation. It was not clear if the project was developmental or experimental, although the budget suggests it was experimental, as the funds were insufficient to support the expected activities.
- For the project to have achieved its outcome objectives fully and impacted positively in the Kenyan context, it should have been better designed in terms of its scope, key stakeholders, modalities for operation, and funding. The capacity building of the Mavoko Municipal Council and its key departments related to social services was critical for the project’s sustainability but was not done.

Opportunities for Research Under-explored

Research is still needed on experimental low-cost housing development with regard to slum resettlement/relocation. There remains a lack of clarity on the meaning of ‘sustainable neighbourhoods’ and how they will contribute to the development of Mavoko Municipality, in which the SNP is situated. The SNP project has partly reached its goal, but it did not succeed in fully reaching its intended goal; the project was very ambitious, and the results achieved have to be taken in the context of its experimental and innovative nature.

Capacity Building Carried Out

Capacity building is a critical aspect of UN-Habitat’s role. Despite not fully achieving the outcome objectives set for the project, the SNP gave hope to thousands in Mavoko who had never experienced anything but poverty and forced relocation. Specifically, the evaluation found the following:

- The project successfully empowered men, women, and youth—approximately 3,000 persons (500 per cooperative)—with life skills, primary health care knowledge, savings mobilization, and better community dynamics, to name a few.
- Although local authorities participated, the project was not able to build the capacity of local authorities to any extent.
- The skills relevant for participatory research and surveys were developed among UN staff and members of the slum communities, who learned how to

do social mapping, situational analyses, and community action plans. These skills can assist in the activities planned for the SNP in 2012.

Networking and Linkages Established

The formation of the Executive Committee in 2004 provided an opportunity for UN-Habitat to develop significant partnerships in both the public and the private sectors. This included private industries such as East African Portland Cement, as well as many NGOs. Specifically, the evaluation found the following:

The project identified key players at the university level who can carry out further research to understand the dynamics of slum neighbourhoods and how best to develop sustainable neighbourhoods.

The SNP's new development process initiated by UN-Habitat and KENSUP in April 2011 can build on the networking and linkages already made.

V. LESSONS LEARNED

The evaluation deduced a few key lessons learned relating to the design of research and development projects and risk management during implementation.

Research and Development Projects

Research projects termed 'experimental' should not be combined with development projects. The research needed should be carried out first in a separate and/or parallel project, and then the lessons learned can be applied to the development projects. This

allows the development project's design to benefit from the experimental findings. Models such as the sustainable neighbourhood, which have worked well in developed countries, may not work in a developing country such as Kenya. Similarly, Kenya is diverse in terms of ethnicity and culture—replication has to be preceded by research and testing. When this is not done, innovative housing projects cannot succeed.

Risk Management during Implementation

A well-designed project has to give the time, funding, and staffing necessary to mitigate the challenges which may occur, in order to minimize risk in the delivery of planned activities and outputs and the achievement of expected outcome objectives. For example, the context of Kenya at the time of the evaluation is one of emerging 'election fever' in anticipation of presidential and parliamentary elections. This means an increased risk of political instability, disruption, and poor governance. In the given implementation context, projects that are carefully designed, tested, and subjected to feasibility studies are more likely to succeed. Meanwhile, networking with various players in government and other sectors through positive agreements is important and necessary to minimize the possibility of corruption.

The complex arena of land allocation, management, and subdivision is usually best managed by several ministries. There are many gaps in the ability of KENSUP to manage slum upgrading—the Ministry of Lands also has an important role. Several ministries had to play a strong role in the

management of the SNP in order to tackle some of the challenges this project faced. Working with several ministries and a wide range of key players will make it possible to implement the project with minimal risks.

VI. RECOMMENDATIONS

The new start of the project in April 2011 is a positive step which can help contribute to the process of creating low-cost housing if it addresses the design gaps and misinformation of the early years.

1. It is recommended that the studies and reports archived in the SNP offices be organized and synthesized by UN-Habitat or an NGO specializing in this area, so as to garner information and findings which can benefit the next phases of the SNP.
2. The SNP offices were facilitated through funding and the donation of facilities by the Mavoko Municipal Council. The offices are equipped with computers and furniture and should be closed down officially by UN-Habitat if they are not to be used. This process of closure or handover will clarify the expectations of the council with respect to the sharing of premises. On the other hand, the continued use of the premises, for example as a library or training centre, could save resources, which would be needed for an SNP office in the next phase.
3. A directory of all the stakeholders who collaborated with the project during this time period should be prepared by UN-Habitat or an NGO specializing in this area, inclusive of their contact addresses and proposed roles, with a view to involving them where possible and feasible. The gaps in the project's conceptual design and management structure should be addressed in the next phase of the SNP project through redesign. These include clarification and agreement on central concepts (e.g., sustainable neighbourhoods), how the project will integrate livelihoods into housing development, and how new concepts for housing for the disabled and youth will be factored in. The project design should also consider infrastructure and services for labour-saving devices which can support female workloads and home management for the disabled.
4. The anomalies in the Housing Act of Kenya regulations with respect to low-cost, innovative housing are under review by the Ministry of Housing: the Mavoko Development Advisory Council should keep abreast of the changes to ensure that the conceptual issues related to the SDP are incorporated into the new laws.
5. An appropriate project management structure is to be created by UN-Habitat and the main partners in a Phase 2 of the programme, building on the lessons learned of the project. Identification of beneficiaries and credit modalities are required, but it is recommended that the project form subcommittees to address the needs of the youth, female-headed households, the disabled, and those living with HIV/AIDS. The subcommittees

can address measures to develop and protect vulnerable groups.

6. It is recommended that in a Phase 2, the project should bring in the numerous stakeholders such as industries and NGOs identified in the early years of the project. It should first be determined if they are relevant to this phase. These stakeholders could be part of a social initiative and can contribute funds and equipment and support development interventions for specific groups.
7. An environmental impact assessment is planned, soon to be underway. This study should rely on past studies conducted under the umbrella of the SNP, which identified hazards specific to the relevant geographic areas in 2002 and discussed how to alleviate them.

1. INTRODUCTION

1.1 BACKGROUND

In September 2002, the Sustainable Neighbourhood Programme started as a collaboration among the Government of Kenya, the Ministry of Housing (under the auspices of the Kenya Slum Upgrading Programme), and two partners, namely the Government of Finland and UN-Habitat.¹⁴ The SNP was expected to address the housing crisis in Kenya through an experimental, community-driven slum resettlement project. Specifically, the project focus was on improving the lives and livelihoods of an estimated 26,000 persons living in 26 slum settlements.¹⁵

Kenya was considered to be an excellent location, as its capital, Nairobi, hosts the UN-Habitat Headquarters, the focal point for the implementation of the Habitat Agenda. The project was in line with UN-Habitat global priorities, specifically the Addis Ababa Declaration on Human Settlements in the New Millennium, which stresses the need to enhance the capacity of the private sector to develop housing and increase employment opportunities, and to promote the mobilization of domestic resources for shelter development and the use of

new technologies for the development of low-cost housing and infrastructure. The project was also in line with the goal of the United Nations Millennium Declaration (2000): “Making significant improvements in the lives of 100 million slum dwellers globally by the year 2020”.¹⁶ In the case of Kenya, an estimated one out of every three Kenyans lived in urban slums in 1999, a figure expected to increase by 50 per cent by 2015. The project assumption was that a community-driven approach in a slum resettlement project would result in sustainable development.

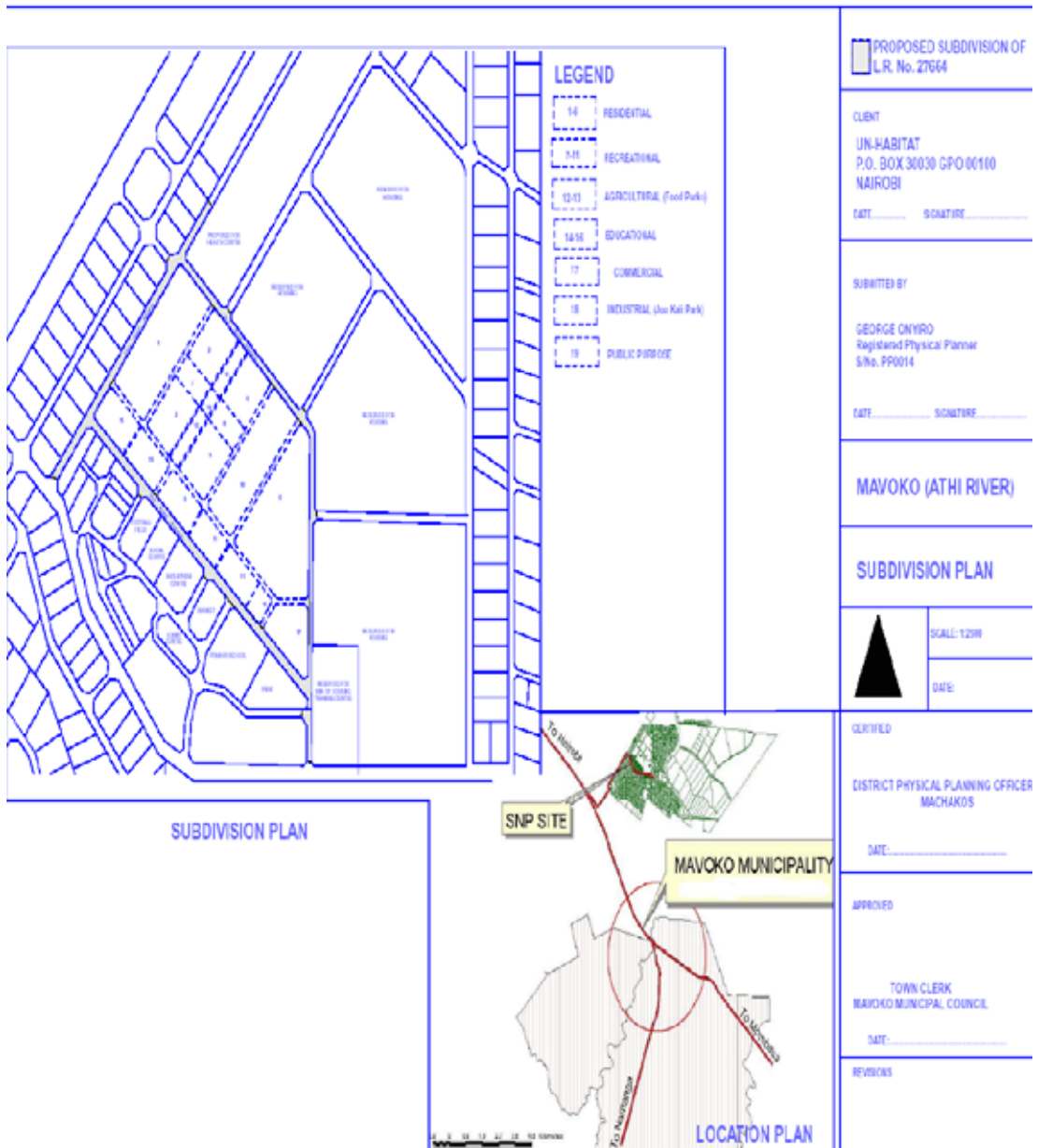
A 55 acre (22.21 hectare) piece of land situated in Mavoko Municipality, 15 km south-east of Nairobi, Kenya, was selected in 2001 for the Government of Finland/UN-Habitat-funded SNP (see Figure 1.1: UN-Habitat Proposed Sub-division L.R. 27664). Mavoko Municipality was found to be the best location for a sustainable neighbourhood project, as the communities living there suffered from an acute housing problem.

¹⁴ UN-Habitat (2001), *UN-Habitat Foundation Project Document (FS-GLO-03-S19/A)*, Nairobi.

¹⁵ ‘SNP Launching and PR Summaries’, 2002–2004, UN-Habitat. There were 26 slum settlements to be assisted. This comprised 25 Mavoko slum settlements (as of 2001) and one additional site hosting those working in Athi River but living in Kibera slums, making 26 slum settlements in total.

¹⁶ *The UN-Habitat Project Foundation Document*, page 4, states “The United Nations Conference on Human Settlements (Habitat II), held in Istanbul in June 1996, adopted the Habitat Agenda as a global response to the urban crisis. It challenged governments to use shelter development as a tool to break the vicious circle of poverty, homelessness and unemployment and called governments to support community-based, private and non-governmental organizations, and to promote programmes that integrate credit, finance, vocational training and technological transfer programmes in support of small enterprises in shelter development.”

FIGURE 1.1: UN-HABITAT PROPOSED SUBDIVISION OF L.R. NO. 27664 (28/06/2010)



This was largely due to an influx of job seekers trying their luck in the various emerging industries along Mombasa Road (many within Mavoko Municipality), as well as an acute shortage of low-cost housing in Nairobi which forced people to live farther away. By 2002, Mavoko Municipality had an estimated 26,000 people living in squalor, with all the urban challenges and struggles faced by slum dwellers, including mass eviction. Mavoko Municipality was therefore identified by the Government of Kenya in the KENSUP strategy (2005–2020) as a major area for slum resettlement and upgrading, in collaboration with its partners.¹⁷ Finally, the SNP was expected to contribute to a new paradigm for slum housing and infrastructure development through community participation, which could then be replicated elsewhere in the region.

1.2 OBJECTIVE, PURPOSE, AND SCOPE OF THE EVALUATION

In light of the intervention background, the context of Kenya (as a developing country with a high level of poverty), and the SNP project being at its end stage (and closed as of 2011), the Government of Finland, in its capacity as donor, requested that an end-of-project evaluation be carried out (Annex I: Terms of Reference). The programme was evaluated based on the evaluation criteria of relevance, effectiveness, efficiency, impact, and sustainability.

The purpose of the evaluation was to assess the extent to which the development objective and four immediate outcome objectives of the SNP were achieved during the period between August 2002 and April 2011.

The evaluation report findings are intended to be used by the Government of Finland and UN-Habitat.

1.3 OUTLINE OF THE REPORT

The evaluation is presented in seven chapters, with the content and format in line with the UN-Habitat standard format for evaluation reports. Chapter 1 is the introduction and presents the background of the SNP; the objective, purpose, and scope of the evaluation; and the outline of the report. Chapter 2 gives an overview of the programme from August 2002 to April 2011, as well as the new development period from April 2011 to January 2012. Chapter 3 describes the evaluation approach and methodology. Chapter 4 presents the main evaluation findings, with an emphasis on the achievements and assessment of the programme based on the evaluation criteria of relevance, effectiveness, efficiency, impact, and sustainability, plus cross-cutting issues. Chapter 5 presents the conclusions, lessons learned, and recommendations for the future of the programme.

¹⁷ *The Government of Kenya KENSUP Implementation Strategy (2004) lists the following characteristics of Kenyan slums: inadequate shelter, unemployment, delinquency, crime, unavailability of clean water, inadequate drainage and sanitation, lack of adequate public transport, environmental degradation, and urban poverty.*

2. OVERVIEW OF THE SUSTAINABLE NEIGHBOURHOOD PROGRAMME

2.1. OVERVIEW OF THE SUSTAINABLE NEIGHBOURHOOD PROGRAMME FOR THE PERIOD AUGUST 2002 TO APRIL 2011

In early 2002, a project entitled the Sustainable Neighbourhood Programme was approved for funding by the Government of Finland (EUR 750,000), with a contribution of USD 160,000 from UN-Habitat. The project was expected to start in August 2002 and proceed for 27 months until 31 March 2005. This was to include a three-month preparatory phase, a six-month capacity-building phase, and an eighteen-month pilot implementation phase (Annex VIII: Sustainable Neighbourhood Programme Timeline).

The dates were later revised in the memorandum of understanding¹⁸ and work plan to indicate a start date of July 2003 and

an end date of June 2005. Three additional no-cost extensions were later approved (Annex IX: Implementation Schedule). The development objective of the project was to improve the lives and livelihoods of the slum dwellers living in specific informal settlements in Mavoko, and one in the Kibera slums, with the aim of relocating them.

To realize the development objective, four immediate outcome objectives¹⁹ were outlined in the project document and remained unchanged at the time of the end-of-project evaluation.

Outcome Objective 1 was “to enhance the role and capacities of the communities in the provision of housing, services and infrastructure”. By the end of the project, the following four training outputs were to be delivered for Outcome Objective 1.

One hundred persons would receive training in sustainable neighbourhood development as follows:

1. Earth construction techniques (i.e., mud bricks, stabilized soil bricks, and compressed earth blocks)
2. Low-cost road construction (i.e., roads, bicycle lanes, and footpaths)
3. Sustainable water supply (i.e., wells,

¹⁸ The memorandum of understanding (MOU) in this case refers to the MOU made after the tripartite meeting of UN, Government of Finland, and Government of Kenya on 17 December 2004, which was to take precedence over the Government of Finland/UN-Habitat MOU. The revision was to formalize the integration of the SNP in KENSUP. The evaluator was also provided with an MOU between UN-Habitat and KEWLAT for women's empowerment and a description of activities of the UN-Habitat YEP project; neither of these are part of the SNP, and they implemented their own activities. As KEWLAT and YEP were later to occupy some acreage of the land allocated for the SNP project, the consultant makes reference to them in the report. It remains unclear whether or not the Government of Kenya signed the MOU, in which case the binding document of the SNP remains the project document.

¹⁹ For the purpose of this evaluation, 'outcome objectives' are defined by the immediate objectives of the SNP foundation project document.

dams, reservoirs, piping; water harvesting, etc.)

4. Sustainable waste management (i.e., composting, recycling, reuse, etc.)

Outcome Objective 2 was “to strengthen the capacity of small-scale contractors and building materials producers in shelter and infrastructure provision”. The two planned outputs of this outcome objective were as follows:

1. Training programme in low-cost building material production (compressed earth blocks; precast stone blocks; ferro-cement roofing channels), 25–30 trainees
2. Contractor development programme for emerging contractors, 25–30 trainees

Outcome Objective 3 was “to enhance the capacity of public agencies to act as an enabling authority for community-led housing and infrastructure delivery”. The planned outputs were the following:

1. An action plan to enhance community–government partnership in shelter and infrastructure development and services provision
2. A workshop on enhancing community-driven housing and infrastructure development (for government, the municipality, small-scale contractors, NGOs, and community-based organisations)
3. An annual programme for community-led housing and infrastructure development

Outcome Objective 4 was to prepare and implement a pilot project in sustain-

able neighbourhood development. The four planned outputs were as follows:

1. Technical framework of the pilot project
2. Financial set-up of the pilot project
3. Implementation of the pilot sustainable neighbourhood unit (200 dwelling units)
4. Selection of small-scale contractors through competitive bidding

The roles and contributions of the various stakeholders are spelled out in the memoranda of understanding, namely the first signed MOU between the Government of Finland and UN-Habitat dated 5 August 2003 and a second MOU (Government of Kenya, Government of Finland, UN-Habitat) developed after the 17 December 2004 tripartite meeting and expected to be ready by 18 January 2005. The second MOU was not signed; instead, collaboration among the partners continued, based on the process that was agreed in the minutes of the meeting and the agreement of cooperation between UN-Habitat and the Government of Finland. The ‘roles and contributions’ in this section of the evaluation report refer to the project document and the first MOU between the Government of Finland and UN-Habitat.

It was agreed that the Government of Kenya would provide land and assign counterpart staff for the three-month preparatory phase of the project²⁰, while the Government of Finland would provide funding for this

²⁰ The project had three phases to be followed over a 27 month period. Phase 1 was a 3-month preparatory period, Phase 2 was a 6 month capacity-building phase, and Phase 3 was an 18 month pilot implementation phase.

phase and receive the SNP land in Mavoko Municipality via a debt swap, to be held in trust with the Ministry of Finance. UN-Habitat was to provide international professional staff, office space, and secretarial services.

Although there was a situation analysis carried out from August 2002 up to the first quarter of 2004, the project started its expected activities on 1 March 2004, when it recruited a Chief Technical Advisor and a Project Manager.²¹ In 2004, the project also recruited three local field staff from the private sector who were also residents of the Mavoko slums. The Mavoko Municipal Council provided a free office for the project, inclusive of electricity, computers, and some furniture. UN-Habitat provided a computer and some office furniture.

After many preparatory meetings, an Executive Committee under a Joint Project Planning Team was formed, comprising all three parties (UN-Habitat, KENSUP, and the Government of Finland) and more than 50 cluster members drawn from the public and private sectors. It was to meet monthly, or more often if necessary, and report to the planning team, which was to meet annually. The Executive Committee held its first meeting on 29 March 2004, chaired by the UN-Habitat Programme Manager. During the meeting the project discrepancies emerged, related to the nature, location, target population, and

²¹ *The SNP was led by three different CTAs between 2004 and 2008. One Project Manager was hired, terminated, and re-hired. The UN-Habitat office responsible for the project was also shifted during this time period from the Human Settlements Financing Division to the Regional and Technical Cooperation Division/Regional Office for Africa and the Arab States.*

procedures of the SNP and those of KENSUP. One of the differences between UN-Habitat and KENSUP was that the former preferred a community-driven approach while the government suggested it would be too time consuming. The government also wanted full control over procedures related to the use of contractors. There were many other issues related to authority and responsibility between the two parties which were never resolved and resulted in an impasse at the 17 December 2004 tripartite meeting. Following this, the Executive Committee eventually stopped functioning. Table 2.1 shows activities completed as of December 2004, presented at the tripartite meeting by KENSUP in its capacity as lead agency at the time.

A perusal of the tripartite meeting minutes shows that there were a number of outstanding issues and activities at the time of the meeting, before KENSUP and UN-Habitat stopped their collaboration. These were as follows:

- i. There was no title for the land and no authority to subdivide.
- ii. An environmental impact assessment was not done.
- iii. Local staff had been recruited, but their terms and conditions and type of contract were not specified.
- iv. Local authority training was not designed, despite being essential to the project's preparatory phase.
- v. Use of the socio-economic mapping was not defined within the implementation activities.

TABLE 2.1: ACTIVITY STATUS, DECEMBER 2004

| No | Activity | Completed Activities | Ongoing Activities | Outstanding activities |
|----|------------------------|---|---|--|
| 1 | Land registration | Completed for 22.4 ha | | |
| 2 | Land survey | <ul style="list-style-type: none"> • Land survey of 100 ha^a • Geographic information system for 22.4 ha • Hydrological and geological survey for 22.4 ha • Situation analysis done • Social mapping done | <ul style="list-style-type: none"> • Development of master plan—100 ha • Geographic information system for Mavoko Municipal Council to cover 477 km | |
| 3 | Project management | Management committee in place (membership consists of relevant Government of Kenya departments, University of Nairobi—Faculty of Architecture, Design and Development), the private sector, NGOs, and UN-Habitat) | Integration within KENSUP | <ul style="list-style-type: none"> • Capacity building of local authority • Review of institutional framework for shelter, services, and infrastructure |
| 4 | Community empowerment | <ul style="list-style-type: none"> • Community organization and sensitization in place • Community Umbrella Committee in place • Community action plans in place | <ul style="list-style-type: none"> • Cooperative formation • Community action plans implementation • Community mobilization | <ul style="list-style-type: none"> • Identification of training needs/trainees/trainers of trainers • Identification of beneficiaries • Preparation of training programme and materials • Livelihood skills training |
| 5 | Socio-economic mapping | Completed | Finalization of report | |
| 6 | Partnership building | <ul style="list-style-type: none"> • Establishment of NGOs, community based organizations, and faith-based organizations as members of the Executive Committee and trained in participatory methodologies of community organization • Thematic clusters established | | <ul style="list-style-type: none"> • Capacity building in networking and communication • Integration of the private sector into community empowerment activities |
| 7 | Housing design | Initial design briefs available Student design competition | | Joint review of designs Announcement of winners |

Source: KENSUP Minutes of 17 December 2004 Tripartite Meeting

a The 100 hectares covers all land, including the 22.21 hectares of the Government of Finland-funded SNP.

- vi. MOUs were not developed with partners for construction, training, and credit.
- vii. Financial mechanisms for credit, savings, loans, and cost recovery were not defined.
- viii. Bottlenecks to community–government partnerships were not addressed.
- ix. Building associations were not identified.

Subsequent to the 2004 meeting, the Government of Kenya began to develop its part of the SNP land located adjacent to the UN-Habitat SNP project land. The construction of an estimated 450 mixed housing units is underway. They are expected to cater for mainly low-income households, but also some middle- and high-income households. This Government of Kenya project was stalled at the time of the evaluation due to problems with contractors. UN-Habitat also started two new projects from 2007 to 2008, under separate funding. This decision followed the signing of a memorandum of understanding with KEWLAT for a women’s empowerment project and an internal agreement made within UN-Habitat to start the Youth Empowerment Project. A second MOU was signed with KEWLAT in August 2010 to manage the 55 acres. Both projects had built structures situated on the UN-Habitat SNP land by the time of the evaluation.

Despite unresolved issues between KENSUP and UN-Habitat, project activities related to the preparatory and capacity-building phases of the SNP continued. These are outlined in the ten progress reports submitted on the SNP project between 2004 and 2006.

Within the next three years, there was some progress in project implementation. These developments are outlined in the UN-Habitat six-month progress report dated 30 September 2005. For example, the socio-economic profiling report was finalized. In addition, there was agreement on common ground among the many identified partners, such as the National Cooperative Housing Union and Practical Action, on housing design, infrastructure, credit, and training.

New partners joined the Executive Committee during this period of time, including the Housing and Building Research Institute, the Association of Local Governments of Kenya, and the Export Processing Zones Authority. The Mayor of Mavoko assumed leadership of the SNP Executive Committee. However, the Executive Committee meetings with KENSUP participation were never restarted. Social mobilization continued and the total communal savings of the Mavoko low-income population (CBOs) in the pre-cooperative period under SNP supervision exceeded KES 5 million. In June 2009, the title L.R. No. 27664 for the SNP land was issued to the project. Six Mavoko cooperatives were formed from the 30 CBOs. These were trained by the Ministry of Cooperative Development and registered, and the members began mobilizing their members to save. These savings reached KES 3–5 million per group by the time of the evaluation. On 30 August 2010, there was an official handover of the Moonbeam Youth Centre and the KEWLAT model houses to YEP and KEWLAT, respectively. During the same year, all three parties—YEP, KEWLAT, and the six Mavoko cooperatives—were informally allocated acreage of the SNP

land. The six Mavoko cooperatives protested to UN-Habitat about the land allocation to KEWLAT, because they felt that the KEWLAT cooperative members were outsiders.

2.2. OVERVIEW OF THE SUSTAINABLE NEIGHBOURHOOD PROGRAMME FOR THE PERIOD APRIL 2011 TO JANUARY 2012

In April 2011, the UN-Habitat Executive Director initiated a new development process for the SNP, to be implemented in collaboration with the Government of Kenya and other stakeholders through the 22-member Mavoko Development Advisory Committee, which was formed in September 2011. The membership of the committee is wide reaching and inclusive of Shelter Afrique, legal personnel, and two community development organizations (GROOTS Kenya and KEWLAT), as well as UN-Habitat and the Ministry of Housing. Efforts are ongoing to improve the relationship between the government and UN-Habitat, with both parties participating in correcting misinformation about the project.

The revived development process follows the same outcome objectives for the SNP as set in 2002, but with changes and improvements to reflect the current situation and realistic, practical requirements. A project brief is now under discussion to see how a project for Phase 2 can be designed which will improve local governance and strengthen the capacity and role of the informal and community sectors in developing environmentally sustainable neighbourhoods. The purpose of the new development from April 2011 is to open the

doors for funding by reawakening donor interest and trust. The potential beneficiaries of the resettlement project have been identified as members of the 11 cooperative groups, given their past activities and savings towards the acquisition of a housing unit.²²

The new project will be delivered in two phases: Phase 1, now underway, is a feasibility study by Shelter Afrique to determine the feasibility of a resettlement project and recommend an informed decision as to whether to proceed or not; Phase 2 would involve the implementation of activities yet undefined. The indicators and planned outputs have already been determined for this phase, and some deliverables have already been met, such as appointments and contracting requirements (Annex IX: Implementation Schedule). The new initiative has appointed members to a committee, the Mavoko Development Advisory Committee, which is inclusive of the government, UN-Habitat, Shelter Afrique, legal personnel, the two community-based organisations (GROOTS Kenya and KEWLAT), and representatives of the 11 cooperative groups. GROOTS Kenya is responsible for the six Mavoko cooperatives, while KEWLAT is responsible for the other five. GROOTS Kenya is in the process of carrying out a socio-economic survey of all 11 cooperatives and validating an estimated 3,000 members.

²² This includes the six Mavoko cooperatives and five KEWLAT cooperatives. The KEWLAT cooperatives were first targeted by UN-Habitat in a women empowerment project initiated on the UN-Habitat SNP land using other funding.



3. EVALUATION PROFILE AND METHODOLOGY

The purpose of the evaluation was to conduct an end-of-project study of the SNP project from its inception period in 2003 to its closure in April 2011, to assess the extent to which the development and immediate objectives and accomplishments of the SNP were achieved (Annex I: Terms of Reference).

The evaluation was designed to be a summative one, with a systematic and objective assessment of the complete project with respect to its design, implementation, and results. A consultant, Ms Kathleen Webb, was commissioned to conduct the evaluation. The external evaluator worked in close contact with UN-Habitat and with its guidance, which made the evaluation participatory. In order to satisfy quality standards with due concern for factual accuracy and impartiality, the evaluator relied on the UN-Habitat standards for monitoring and evaluation, as well as other global standards, including those of the United Nations Evaluation Group.

As a significant time period had passed since the project started, and therefore many of the staff working on the project had moved on, there was heavy reliance on using several sources of documentation. A total of 174 documents were studied (Annex II: Bibliography).

The secondary purpose of the evaluation was to provide feedback to the Government of Finland, UN-Habitat, and other stakeholders

identified by these institutions, with regard to the development objective, immediate outcome objectives, plans, expectations, and standards of performance set for the project. It was also to serve as a research tool for accountability (i.e., performance and results). Therefore, the evaluator attended several jump-start and informative meetings with UN-Habitat at the beginning, in the middle, and at the end of the evaluation to gain clarification and more in-depth knowledge on some issues and also identify areas for learning to inform decision making related to UN-Habitat programme direction. Cross-cutting issues such as gender and human rights were incorporated into the evaluation by developing a detailed questionnaire that captured these areas (Annex V: Questionnaires). The evaluation plan and methodology, as well as the questionnaires, were reviewed with UN-Habitat and then revised (Annex IV: Detailed Methodology and Revised Evaluation Work Plan).

The evaluator received full support, including a tentative list of persons with their contacts. The only limitations faced related to the challenge of getting information during the holiday season and also getting appointments when many key stakeholders had moved on and could only be reached by email or telephone (Annex III: List of People Interviewed).

4. EVALUATION FINDINGS AND ASSESSMENT

4.1 ACHIEVEMENTS

The evaluator finds—based on the analysis of the achievements of the project against the four immediate outcome objectives set for the project—that the SNP delivered some of the key planned activities and outputs and partially achieved the outcome objectives in terms of their planned outputs and activities and success indicators. The project was not able to achieve all of the planned outputs and activities related to the four immediate outcome objectives due to a late start, the complexity of the project design, and the management challenges faced during the life of the project.

The four immediate outcome objectives were to be achieved through the delivery of nine outputs. At completion, the project was to have achieved the following overall results,²³ as specified in the foundation project document:

- i. Approximately 200 households have initiated the construction of their incremental houses.
- ii. A model sustainable neighbourhood has been planned, surveyed, and partially built.
- iii. Over 350 young women and men have acquired practical and marketable skills in construction. Of these, some 100 women and men have received training in sustainable house construction, road construction, water supply, sanitation, and waste management; 50 have received training in the production of building materials and efficient contract management; and 200 have received on-the-job training in community construction by participating in the community-based construction of services and infrastructure.
- iv. A model savings and loan scheme has been established to serve the needs of the low-income groups who cannot access bank loans. A model housing association has been established and is serving its 200 members. Communities have emerged that are capable of participating in the local decision making that affects their living environment and development.
- v. Over 50 key actors in the community-based housing process, including representatives of the government, local government, NGOs, private sector, and communities, have received training in community-driven housing processes.
- vi. Counterpart staff drawn from public

²³ *The overall results are summarized results based on the planned outputs and activities and not directly correlated to the outcome objectives [immediate objectives] in the foundation project document. This evaluation has assessed the extent to which the outcome objectives were achieved, and planned outputs and activities delivered.*

agencies have, through on-the-job training, learned to facilitate community-driven shelter, infrastructure, and service delivery.

- vii. A new paradigm for housing and infrastructure development through community participation and management will have been demonstrated, tested, and evaluated.

The project carried out significant in-depth and professional activities from 2004 up to April 2011, but did not fully achieve the overall results of the project and therefore partially achieved the immediate outcome objectives of the projects. The following activities were implemented and outputs delivered:

- Geographic and hydro-geological surveys were done for part of the land.
- A situation analysis, community action plans, and social mapping were carried out in 26 slum settlements of Mavoko.
- The title for the land was released.²⁴
- The SNP office was equipped and studies archived.
- Thirty CBOs were formed as a result of extensive sensitization, social mapping training, and retraining of slum residents.
- Mobilization occurred and six Mavoko cooperatives were formed, with an average membership of 500 persons per group and with a savings range of KES 3–5 million.

- Extensive networking and research was done, with the participation and commitment of more than 50 institutions, organizations, and companies in the fields of appropriate technology, housing, community development, and credit granting, which can be applied to future project needs.

There was some degree of achievement of many activities and outputs related to the four immediate outcome objectives. Three of the four outcome objectives were partially achieved and one outcome objective was not achieved (Table 4.1). The project carried out many preparatory activities (related to Outcome Objective 1: Enhance the role and capacities of the communities in the provision of housing, services, and infrastructure), the most effective being the mobilization of slum communities in Mavoko Municipality, empowering them in terms of their human rights and mobilizing them to save. This was achieved by developing a close and trusting relationship with the slum dwellers, first mobilizing them to form CBOs and later to organize themselves into cooperatives.

Female participation was also impressive, at more than 25 per cent of the members. In addition, the process of social mapping and the socio-economic studies were in-depth and professionally done to identify the sociocultural and economic characteristics of slum communities. The identification of stakeholders in both the public and private sector also was effective, as the project team reached far within the local and national domain to attract many interested parties in the areas of credit, housing, and training.

²⁴ Grant Number I.R. 117250 allocated L.R. 27664 to the Permanent Secretary to the Treasury of Kenya as trustee of the UN-Habitat Housing Project, 22.1 hectares of land in Mavoko Municipality in June 2009.

TABLE 4.1: SUMMARY OF FINDINGS OF THE EVALUATOR WITH RESPECT TO THE ACHIEVEMENT OF THE FOUR IMMEDIATE OUTCOME OBJECTIVES

| No. | Immediate outcome objective | Planned outputs | Degree of achievement | Remarks of evaluator |
|-----|--|--|--|---|
| 1 | Enhance the role and capacities of the communities in the provision of housing, services, and infrastructure | i. Four training courses in sustainable neighbourhood development (in total 100 trainees) | Partially achieved. Training courses were not done on the specific topics in the project document, but many activities and courses did enhance community capacities in group formation, savings mobilization, and healthy living, all of which will contribute to a sustainable neighbourhood in which they participate in housing, service, and infrastructure provision. | The 2004–2007 SNP (and partners) held multiple courses and sensitization on basic health care, how to organize themselves as community-based organizations, and how to form cooperatives and save. |
| 2 | Strengthen the capacity of small-scale contractors and building material producers in shelter and infrastructure provision | i. Training programme in low-cost building material production (compressed earth blocks; precast stone blocks; ferro-cement roofing channels), 25–30 trainees ii. Contractor development programme for emerging contractors (25–30 trainees) | Not achieved. The capacity building was not done through the project, but 20 Mavoko youth drawn from the six Mavoko cooperatives benefited from training from YEP in 2008. No contractor development programme was done. | YEP was a completely separate UN-Habitat project intended to benefit Kibera youth, not the SNP beneficiaries or the SNP project, and therefore its training programmes cannot be credited to the SNP. |
| 3 | Enhance the capacity of public agencies to act as enabling authorities for community-led housing and infrastructure delivery | i. An action plan to enhance community–government partnership in shelter and infrastructure development and service provision ii. Workshop on enhancing community-driven housing and infrastructure development (for government, municipality, small-scale contractors, NGOs, and community-based organisations) iii. An annual programme for community-led housing and infrastructure development | Partially achieved. Community action plans were developed in 2005–2006 for the 30 Mavoko community-based organisations, but they do not clearly show how government partnership will occur. One action plan consolidating the 30 community-based organizations plans was not done. The workshop was not held. The annual programme was not developed. | The Executive Committee was too large, at more than 50 members, and the clusters were ineffective. Since 2004, the two key players had not been able to agree. The public and private agencies (which were ready and willing to participate) were too diverse and numerous and could not carry out their proposed programmes without the umbrella of the two key players. |

| | | | |
|---|---|--|--|
| <p>4 Prepare and implement a pilot project in sustainable neighbourhood development</p> | <p>i. Technical framework of the pilot project ii. Financial set-up of the pilot project iii. Implement the pilot sustainable neighbourhood unit (200 dwelling units) iv. Selection of small-scale contractors through competitive bidding</p> | <p>Partially achieved. The pilot project was implemented in terms of studies, mapping exercises, architects' drawings, land preparation, and title allocations. The financial allocations were not set up. Four units were built by KEWLAT as part of a separate initiative.</p> | <p>The rift between UN-Habitat and KENSUP made it impossible to proceed on housing design. The issue of how to accommodate the cooperatives in terms of acreage and housing type was never resolved.</p> |
|---|---|--|--|

4.1.1 FINDINGS ON LOW-INCOME HOUSING

A major achievement of the SNP was the multitude of low-income housing project designs produced by industries, businesses, and NGOs. Figure 1.1 shows one of the suggested housing layouts provided to UN-Habitat. Many others were developed by both the public and private sectors, e.g., by Rimba Planning and COMAC Investments²⁵. There was also a global competition for a low-income housing design which received several entries from Finland, but no entries from Kenya. The SNP project document states that the project was to be experimental, but also states that one of the overall results at the end of the project would be model housing for 200 households. These studies went a long way towards developing low-cost housing concepts. The many options were not explored by the project clusters by the time the project stalled, and there was not enough input from KENSUP on government guidelines and requirements (especially the Housing Act), which could have guided the project. The following

issues needed more in-depth discussion by the Executive Committee:

- i. Modalities for mixed housing for various income groups, including construction and socio-economic issues.
- ii. Role of a technology workshop and/or youth centre in promoting both appropriate technology and livelihood development.
- iii. Adobe and cob techniques and ferrocement applications²⁶.
- iv. Ministry of Housing technical design refinement (May 2006).

When designing the prototype, due consideration should have been paid to the housing situation and cost estimates and their implications, as contained in the KENSUP implementation strategy. Criteria for the design of prototypes should have taken this into consideration, but additional options which would have made the project a sustainable neighbourhood needed to be added. KENSUP and UN-Habitat did not

²⁵ Executive Committee meeting, 22 September 2004888.

²⁶ Nordberg, Rainier (2004 and 2012), Handover Note, CTA 2002–2004 and email interview, Nairobi.

agree on the additions which would make the neighbourhood ‘community driven’ and ‘sustainable’, and this area remains to be addressed in the new phase of the project. Table 4.2 is extrapolated from the KENSUP strategy (2004). These show the minimum requirements for schools and other facilities no matter what type of housing is being undertaken. However, requirements for a sustainable neighbourhood go beyond what KENSUP advocates and include local-level neighbourhood development committees and others. These need to be factored into any resettlement/relocation project but were not.

4.2 ASSESSMENT OF RELEVANCE

The evaluator finds that the SNP project goal (development objective) and four immediate outcome objectives were consistent with UN-Habitat global priorities and the donor’s policies. The project is also in line with the Addis Ababa Declaration on Human Settlements in the New Millennium and

the United Nations Millennium Declaration, both directed at significantly improving the lives of at least 100 million slum dwellers globally by the year 2020, using domestic resources and new technologies. UN-Habitat states in its 2003 report that “the accepted best practice for housing interventions in developing countries is now participatory slum improvement... the best examples are holistic approaches to neighbourhood improvement, taking into account health, education, housing, livelihood and gender”.²⁷

The model for the project appears to be extrapolated from several developed countries, sustainable neighbourhood projects, and specifically a Finnish model “where local authorities formulated their own agendas for sustainable development.”²⁸ The meaning of the

²⁷ UN-Habitat (2003), *The Challenge of Slums: Global Report on Human Settlements 2003*, Earthscan, London, UK.

²⁸ SNP (2002), *SNP Project Document*, page 9.

TABLE 4.2: PLANNING REQUIREMENTS FOR HOUSING

| Population | Number of households | Facility to be provided | Quantity (No.) |
|------------|----------------------|---|----------------|
| 10,000 | 2,500 | Primary school | 1.0 |
| 20,000 | 5,000 | Secondary school | 1.0 |
| 2,500 | 625 | Nursery school | 1.0 |
| 10,000 | 2,500 | Community centre | 1.0 |
| 20,000 | 5,000 | Health centre | 1.0 |
| 10,000 | 2,500 | Open market | 1.0 |
| 10,000 | 2,500 | Police post | 1.0 |
| 5,000 | 1,000 | Religious facility (churches and mosques) | 1.0 |

Source: Republic of Kenya (2005), *Kenya Slum Upgrading Programme (KENSUP) Implementation Strategy 2005–2020, Volume 1, Nairobi*, UN-Habitat, page 8; Ministry of Lands and Housing (2004), *Physical Planning Handbook*

concept 'sustainable neighbourhood' is also not well defined in the project document, and was not understood by many of the key stakeholders. The 'woonerf'²⁹ concept was then introduced in the SNP Executive Meeting of 22 September 2004, and two representatives of the Physical Planning Department and Urban Development Department were sent to the Netherlands to gather information. Indices to define the various concepts, however, were never developed to show how they could be applied in various alternative approaches and how they fit into the local situation. Examples of these concepts are 'community-driven implementation', 'incremental housing', and 'innovative building materials', which were applied in non-slum settlements in the two models referred to in the project foundation document. It was not defined how the stakeholders would apply these concepts in the current situation in Kenya where slums are demolished with little consideration for the human rights of the slum dwellers.

The Kenyan context is also one where slums are highly vulnerable to disasters such as fires, which can be caused by fuel leakages from nearby pipelines and houses with unsafe and flammable building materials. The high population density and heavy traffic make the situation even more unstable. The SNP design emphasizes the use of innovative building materials, but these require time for development and testing, which was

not factored into the project design. It was also not specified with what means the slum dwellers would develop their own 'incremental' type of low-cost housing or how disaster and environmental risk would be managed. The design is also not in line with the National Housing Policy for Kenya (currently under review), which specifies building standards for slums but does not address innovative housing materials.³⁰ An international design contest for a sustainable neighbourhood was held, but there were no entries from Kenya. It is not clear why this was the case; several Finnish designs were submitted but not utilized. However, there was still value added due to awareness creation and training to produce the designs.

Another tenet of the definition of a sustainable neighbourhood specified in the proposal is the parallel promotion of livelihoods alongside better housing. To realize this goal, the SNP should have linked to other relevant ministries dealing with livelihoods, namely the Ministries of Agriculture and Livestock Development, Labour, Education, Science and Technology, Environment, Special Programmes, and Water. It may not have been realistic to expect KENSUP to take a major leadership role without clarifying areas with discrepancies and collaborating with other ministries and NGOs. The sustainable livelihood model in the proposal was not expanded into activities and factored into the project.

²⁹ A *woonerf* (Dutch plural: *woonerven*) in the Netherlands and Flanders is a street where pedestrians and cyclists have legal priority over motorists. The techniques of shared spaces, traffic calming, and low speed limits are intended to improve pedestrian, bicycle, and automobile safety.

³⁰ Republic of Kenya (July 2004), *National Housing Policy for Kenya*, Sessional Paper No 3, July 2004.

4.3 ASSESSMENT OF EFFECTIVENESS

The evaluator finds that in terms of effectiveness,³¹ the SNP made an overall contribution to the development objective set for the project, as it delivered outputs and activities which contributed to that objective—“to strengthen the role and capacity of the informal and community sector in the provision of housing, services, and infrastructure.”³² The project strengthened community capacity through the sensitization, mobilization, and training of men, women, and youth living in Mavoko slum settlements who were then able to better define their role in creating healthy, sustainable neighbourhoods and also implement steps to improve their own lives, such as by working together in community-based organizations and cooperatives.

Specifically, SNP has empowered more than 3,000 people who have joined cooperatives and are enjoying the benefits of membership (e.g., potential savings). Thirty CBOs were developed in Mavoko slum settlements through social mapping and other participatory techniques, which enabled men, women, and the youth to communicate their needs, some for the first time.

The project, however, did not fully achieve its development objective, as it only partially achieved the four immediate outcome objectives, for reasons related mainly to relevance, effectiveness, and efficiency:

- i. The budget was inadequate to deliver the planned outputs. For example, research to study the new concepts and types of housing options, development of indices of liveability, and community mobilization and training required much more time than the budget allowed (efficiency).
- ii. The quality and quantity of the expected result on ‘housing’ was not well defined or agreed upon between UN-Habitat and KENSUP (relevance).
- iii. Executive Committee leadership by KENSUP and UN-Habitat was not well defined or cohesive on most aspects of the project—housing type, selection of beneficiaries, financing, etc. The differences between the two were not resolved in a timely manner (efficiency).
- iv. The size of the Executive Committee proved to be cumbersome and the composition unworkable when clusters were added, which complicated operations (efficiency).
- v. External factors related to the Kenyan context impinged on political will with respect to boundaries and use of land (relevance).

At the end point of the project (April 2011), the expected beneficiaries did not have their needs met in terms of housing and training needs. The large number of public and private stakeholders brought on board through the eight clusters did significant research and made feasible proposals, but the project did not take off due to design and management challenges. These challenges were identified

³¹ Effectiveness in this case refers to the immediate outcome objectives, not the development objective.

³² SNP project foundation document, page 12.



Programme participants at Sustainable Neighbourhood Programme Youth Centre displaying a bamboo ladder made by the youth, UN-Habitat, 2012 © **Kathleen Webb**

from the start and brought to the attention of the Executive Committee meetings, yet the necessary changes were not made. The decision to allocate acreage to two new projects (KEWLAT and YEP) and to the six Mavoko cooperatives complicated matters further, as the project goals and outcome objectives for the KEWLAT and YEP projects differed from those of the SNP project. The Mavoko cooperatives could not move forward without support. Misinformation on the project's expected outcomes and benefits increased over time. This resulted in frustration among all parties, particularly the slum dwellers.

Finally, the management did not address risk management, especially the aspect of local authorities and community autonomy,

which was also not well captured in the project design. The success of the programme was not only dependent on the willingness of the local authorities to allow community autonomy, as this issue would be defined in local by-laws as well as the laws of the land.

Many persons learned leadership skills, and the improved group dynamics expanded community resources. This has the potential to develop livelihoods in these slum settlements, as people met through the community development meetings called by the SNP and were given hope. The SNP team brought in professionals from many sectors, such as health and education personnel from the Mavoko Municipal Council, who were able to

provide community education on many issues relevant to healthy living. Many people attended more than five meetings and found them to be very informative with respect to improving their lifestyles. This sensitization will benefit the new phase of the SNP or indeed any development project being undertaken in those slum settlements which participated.

4.4 ASSESSMENT OF EFFICIENCY

The greatest challenge the project faced was using the various expected activities and outputs to transform the available financial and human resources into the expected results. In terms of finance, the Government of Finland contribution of EUR 750,000 and UN-Habitat contribution of USD 160,000 were inadequate to meet the project requirements³³. Cost of living and high inflation were not factored in. This meant that, although funding was utilized as per the agreed budget as planned and on time, the cash flow was not enough for day-to-day management, and the quality of the work and communication were seriously affected. The following are examples of prioritized/not prioritized activities and outputs in the budget:

- i. Sensitization and social mobilization in the 26 settlements was not budgeted for and had to be covered by the training budget, which was only USD

37,000.³⁴ There was no costing for the sensitization of others in the public and private sectors.

- ii. There was no provision for salaries for the three field staff, who received stipends which were not enough to cover costs.
- iii. The three unsalaried field staff were key to the substantive fieldwork and community interaction (including problem solving) in the slum communities of Mavoko. They depended on stipends and as a result, shortages in funding for transport, communication, and stationery caused frequent delays. More than half of the combined financing (Government of Finland and UN-Habitat) went to international and national staff, and the needs of field staff were not anticipated.
- iv. Offices were provided by the Mavoko Municipal Council, inclusive of electricity and two computers. UN-Habitat did not cover internet, communication, and stationery costs for the field staff. The field staff suggested that the computer provided by UN-Habitat was an older model, and much of the information stored in it was difficult to retrieve and therefore not available to the field staff.
- v. Monitoring to be carried out by the field staff and others did not receive enough funding.

³³ The budget was too small to realize the expected outputs for the four objectives, and the budget did not accommodate all expected results. However, at the end of 2008, USD 104,933 still remained, and this was attributed the project coming to a standstill when UN-Habitat and KEN-SUP faced challenges. The total balance was USD 92,861 plus USD 12,072 (UN-Habitat AOS) for a grand total of USD 104,933.

³⁴ UN-Habitat (2003), 'Agreement and Budget' (Government of Finland and UN-Habitat), Nairobi: Each community meeting (50 persons, inclusive of trainers) cost an average of USD 500 per day (transport, stationery, etc.). On average, communities were visited at least five times to mobilize people and train them in CBO (and later cooperative) development. Training costs for manual development and production were also not included in the budget.

- vi. The project vehicle arrived late (more than a year after the 2004 activities started) and was not made available to the field staff on most occasions.
- vii. The project funded several exchange trips (the Third Session of the World Urban Forum, held in Vancouver, Canada, in June 2006) and retreats (Mombasa, Kitale, and Nakuru), as well as a house design competition³⁵ (which had no entries from Kenyan applicants, but did provide value through awareness creation about the project).
- viii. There was little or no funding for major components of the project such as the architectural studies, the savings and credit programme, technology workshop construction materials, and supplies for the construction, training, etc.

The proposal that KENSUP would lead the SNP project and head monthly meetings did not take off. According to the minutes of the first meeting of the Executive Committee, the “differences in nature, location, target population and procedures”³⁶ between UN-Habitat and KENSUP eventually caused an impasse in 2004, but it was decided that the Executive Committee would be headed by UN-Habitat and work divided into seven clusters. The first documented meeting of the committee thereafter was held on 27 May 2004; it was chaired by UN-Habitat

³⁵ The competition ‘The Sustainable City’ was a student design competition in 2005 involving Kenyan and Finnish university students. There were no entries from Kenya. The design was expected to present innovative, sustainable solutions relating to affordability, ecology, and social/cultural integration.

³⁶ UN-Habitat (12 May 2004), ‘First SNP Steering Committee Meeting’, Nairobi, page 2.

and attended by many interested parties from both the public and private sectors, who made many contributions regarding funding, credit, and training. At least seven more meetings were held in 2004. The reports from the meetings show there was enthusiasm and interest in the SNP. The cluster groups met frequently in 2004 and did much work in research, networking, and attracting local industries to invest in the project.

The cluster groups were the following:

Cluster 1: Project management, surveys, land use planning, and tenure issues and options.

Cluster 2: Researching product development and architectural design.

Cluster 3: Infrastructure and regional and neighbourhood water, sanitation, and roads.

Cluster 4: Social mobilization and capacity.

Cluster 5: Institutional collaboration and partnership.

Cluster 6: Resource mobilization and housing finance.

Cluster 7: Monitoring, evaluation, and reporting.

KENSUP took on the role of managing Clusters 1 and 3, while the others were chaired by various ministries. UN-Habitat headed Cluster 7. The Ministry of Environment was not involved in the clusters or the general management, although the situation analysis conducted several years back brought out many environmental

issues which may have warranted greater participation of environment specialists in the public sector.³⁷ Some of the industrial groups sent their environmental managers, but the provided documentation showed no evidence of planning to address environmental risks.

The following are some examples of cluster group deliverables which could have benefited the project but were not acted upon by the SNP:

- i. House design: Rimba Planning, COMAC Investments³⁸.
- ii. Capacity building (training): Intermediate Technology Development Group, Housing and Building Research Institute.
- iii. Credit granting: Experimental Reimbursable Seeding Operations.
- iv. Land and credit: Bamburi Cement and others.

The Executive Committee reports of 2004 indicate that there was cooperation between KENSUP and UN-Habitat during the early Executive Committee meetings until the third quarter of 2004. KENSUP chaired all Executive Meetings, with participation from numerous members, including UN-Habitat. The CTAs and Project Manager did an exemplary job leading the project activities, considering the challenge of working with multiple stakeholders in the seven clusters

³⁷ *The UN-Habitat situation analysis (undated, but likely 2001–2002) brought out many environmental issues. Examples include damage by surface murram quarrying, pollution from industrial waste, an animal–agriculture conflict, and expected pollution from the high population density.*

³⁸ *Executive Committee meeting, 22 September 2004.*

and working to harmonize their proposals. Unfortunately, the rift that occurred between UN-Habitat and KENSUP in late 2004 resulted in all Executive Committee activities eventually stopping. This meant that the SNP eventually stalled, and the findings and outcomes of the clusters in the Executive Committee were not synthesized or integrated into the SNP between 2004 and 2010.

Given the collapse of activities in late 2004, UN-Habitat had the intention between 2005 and 2007 of utilizing the SNP land, which resulted in memoranda of understanding with KEWLAT on empowerment of women and use of land at the SNP site. UN-Habitat also implemented the Youth Empowerment Project, which also erected a centre on the SNP land. The informal allocation of land to YEP, KEWLAT, and the six Mavoko cooperatives did not contribute to the expected results of the SNP, as both the YEP and KEWLAT projects differed greatly from the SNP in many areas (focus, beneficiaries, mode of implementation, and training content). The six Mavoko cooperatives fenced their part of the land but lacked the know-how and means to develop it. The allocation of land to YEP and KEWLAT was seen by the six cooperatives as an invasion by outsiders. A sense of unrest was created. The MOUs and informal agreements with UN-Habitat were later terminated. This decision by UN-Habitat was a positive one, as the two projects were not in line with the SNP concept and had caused much friction with the original six cooperatives.

In terms of timeliness, the SNP has not been able to complete its activities and deliver the

planned outputs. There are many reasons for this, but time allocation was a factor, as the period was too short—especially the three-month preparatory phase, considering that the project was expected to be experimental and innovative. Since the issue of timeliness emerged in the first Executive Committee meeting in 2004 and in subsequent meetings, it should have been resolved by the two donors (the Government of Finland and UN-Habitat) at that time.

On the whole, despite the turnover of the CTAs and absence of a Project Manager for an extended period of time, the day-to-day management of the SNP was good. The Project Manager and three field workers worked closely together, gave each other significant feedback, liaised closely with communities, and made an effort to document plans and events. There were frequent meetings among leaders, the project management, and the communities, in which issues and challenges were brought forth.

The SNP field work that was carried out in the Mavoko communities by the SNP staff was in-depth, and many community action plans and social mapping and other studies were completed. The three field officers and the Project Manager were available to address the emerging challenges of the 30 community-based organizations when they were formed and the six cooperatives as they developed from the community-based organizations. The reports produced by these activities can support future programming. The subsequent Ministry of Cooperative Development training was conducted successfully and placed the communities

into six cooperatives, with savings averaging KES 3–5 million per group by the time of the evaluation. These savings place the cooperatives in an advantageous position for accessing credit from credit-granting institutions and taking other steps towards purchasing housing units in the future.

The budget, compared with the financial report of 31 December 2008, shows no irregularities and was subjected to audit (Annex VI: Sustainable Neighbourhood Programme Budget—Nairobi Pilot Project, Implementation Phase, and Annex VII: Sustainable Neighbourhood Programme—Nairobi Plot Project Financial Report as at 31 December 2008).

4.5 ASSESSMENT OF CROSS-CUTTING ISSUES

The cross-cutting issues of environment, gender, and human rights were analysed to assess the extent to which environmental impact and the different needs of specific beneficiaries in terms of gender and human rights had been taken into account.

4.5.1 Environmental Aspects of the Project

By the time of the end-of-project evaluation, the SNP had not completed all the planned activities, especially those which would impinge on the arid/semi-arid environment of Mavoko Municipality. KEWLAT and YEP had put up structures for their own projects, but these were not fully utilized at the time of this evaluation. It was noted that drainage and septic systems were not in place for

the KEWLAT and YEP structures, as water, sanitation, and other services had not been connected. No environmental damage was noted or documented.

The Executive Committee's Cluster 3 was to deal with infrastructure and regional and neighbourhood water, sanitation, and roads. Though representation from the Ministry of Environment was necessary, there was no environment expert from the government in the cluster. Some of the private industries represented in the Executive Committee sent their environmental managers to meetings, but there was little reference to the environment or to an environmental impact study, despite the delicate nature of the environment as identified in the situation analysis.

The following are some of the areas identified in the situation analysis as 'sensitive' with respect to potential environmental risk:

- i. There is a need for an ecological sanitation system and rainwater harvesting to alleviate water shortages.
- ii. Attention must be given to urban agriculture, recreation, and employment locations to ensure the proper use of water and to prevent contamination.
- iii. Presence of suitable ingredients for making 'Habitat blocks' for construction.
- iv. Quarrying is extensive in the area and can cause erosion and damage to natural drainage systems; there is a need to create earth embankments to dam rainwater run-off for use in the dry season.
- v. Landscaping vegetation such as acacia

and grevillea should be selected to prevent erosion.

- vi. Sewer and vehicular emissions exist due to heavy industrial activity, and plastic waste causes blockage of drainage systems.

If the above and other issues are not addressed prior to large-scale construction, they could potentially jeopardize the sustainability of the project in the future or cause significant negative environmental effects.

4.5.2 Gender and Human Rights

Since the project was not able to fully realize its four immediate outcome objectives, the issue of taking gender aspects into consideration does not apply. However, there were findings on gender with respect to the project design and activities which were completed. First of all, the project was intended to be more experimental than developmental. Therefore, beneficiaries were loosely identified as 'slum dwellers', and gender data was gathered without setting a minimal number for females, youth, etc., which should have been done. Not disaggregating the data limited what the project could target and measure with respect to gender equity. Still, the slum settlements that were sensitized and organized first into community-based organizations and later into cooperatives were very disadvantaged in that they had no legal shelter and were impoverished.

The questionnaires used in the social mapping exercise had several questions on gender, but final reports did not disaggregate gender issues from the other subject matter.

Subgroups were not identified within the six cooperatives formed by the project, and comparisons were not well documented among the sites with respect to gender, disadvantaged groups, and especially the disabled. With respect to the seven cluster groups in the Executive Committee, there was no group specifically incorporating gender issues, and with respect to technology training, there could have been more emphasis on household labour-saving devices, which would minimize women's workload and increase the accessibility of the disabled to various services. Since local technology training, the development of a technology centre, and livelihood activities were not carried out as project activities, no evaluation is made of these with regard to the participation of women, youth, and the disabled.

4.5.3 Assessment of Impact and Sustainability

In order for the project to have the expected positive impact on the beneficiaries, full completion of at least one of the four immediate objectives would have been necessary. This did not happen, but significant activities occurred which benefited the general Mavoko population, 30 community based organizations and six local cooperatives. The benefits of empowerment emerged due to the close interaction of the SNP staff (CTAs, the Project Manager, and the three field staff) with the communities. The empowerment has given people hope and changed their lifestyles towards healthier living. In some cases within the slum communities, people started to use or develop better health and

environmental practices. These practices have lasted over time and there is evidence of benefits and some positive impact.

Several NGOs and industries also benefited from the project, as they got to participate in the cluster groups and gained a greater understanding of development. There was a general intention among these groups to share resources (financial and physical) for the sake of the SNP. If the project had been sustained, it is likely that these groups would have provided significant support. Nonetheless, their interaction between 2004 and 2008 indicated that they remained interested in participating. This is a positive and unintended impact, as industries are not generally included in development activities of this type.

There was less impact on the local authorities such as the Mavoko Municipal Council, as they required substantive capacity building to participate in the project. This was one of the expected activities, but it did not take place. However, the council played a positive role by providing free accommodation on council premises for the project. They also attended most meetings and showed a willingness to support the project at all times.

When the collaboration broke down between UN-Habitat and KENSUP, the Executive Committee tried to continue but finally had to cease operations. This has resulted in some disappointment, especially among the stakeholders in the Mavoko Municipal Council, but not to a level where it can be termed a negative impact, as it is in the process of being reversed. The same applies to the sense of

unrest which developed in the six Mavoko cooperatives when KEWLAT and YEP were brought into the picture and allocated land on the project site. This escalated because the Mavoko cooperatives were misinformed about the project and saw the KEWLAT and YEP members as outsiders. This also was not a negative impact, as it has been easily reversed.

If the project design and budget had been better defined and factored into the implementation programme, the project would likely have met its immediate objectives fully and made an impact at both the macro level and micro (household) level. Because all the expected project results were not achieved, the sustainability (or 'ability of the intervention to generate a structure or practices') of the SNP is not a reality. The financial mechanisms were not adequate for sustainability, as the project was experimental in nature and its design did not provide for local financial sustainability. Operational sustainability has partly occurred in that a title was issued and communities mobilized. The new developments from April 2011

are addressing setting up management mechanisms, including collaboration with new players such as Shelter Afrique. These have the potential to stimulate operational sustainability, if financial mechanisms are also put in place.

The continuation of cooperation between KENSUP and UN-Habitat can ensure that certain activities can be adopted by various institutions in the government and private sector. This can only happen if the concept of the sustainable neighbourhood and all its components are redefined and applied to the Kenyan context, where the demand for housing cannot be matched with affordability unless innovative options are found. The sustainability of the project will depend on the political situation in Kenya and the willingness to address land management issues. Nonetheless, the perception of the intervention by the beneficiaries is now very positive due to the UN-Habitat activities from April 2011, which can also benefit bilateral relations and future replication.

5. CONCLUSIONS, LESSONS LEARNED AND RECOMMENDATIONS



Members of a registered cooperative society with a 'Best Savers' trophy, UN-Habitat, 2012 © Kathleen Webb

5.1 CONCLUSIONS

A. Unclear design and inadequate funding limited the project's implementation and potential positive impact

There were limitations in the project design with respect to the time needed for sensitization and implementation. A 27 month period was inadequate to carry out the sensitization in the slums—besides being challenging work, the areas were difficult to penetrate. The funding for training, which would cover sensitization, was very low compared to other budget items such as expatriate salaries, which were much higher. The task of reaching,

sensitizing, and organizing communities with a total population of 26,000 in a high-density area required time. There were many misconceptions about the housing, and some expected it to be free. As time passed, people became frustrated with the project, as they had formed community-based organisations and then cooperatives, only to have the project delayed. It was not clear if the project was developmental or experimental; the budget suggests it was experimental, as the funds were not enough to support the expected activities. For the project to have succeeded and made a positive impact in the Kenyan context, it should have been better designed in

terms of its scope, key stakeholders, and modalities for operation and funding. The capacity building of the Mavoko Municipal Council and its key departments related to social services was critical for the project's sustainability but was not done.

B. Research is still needed on experimental low-cost housing development vis-à-vis slum resettlement/relocation

This need for additional research is partly due to the lack of clarity on the meaning of 'sustainable neighbourhoods' and that the Government of Finland (co-financing the SNP with UN-Habitat) acquired land set aside for slum resettlement. In one of the earliest studies of sustainable neighbourhoods, author Per Berg (1997) presents case studies of successful sustainable neighbourhoods in Sweden. He characterizes them as small communities of 500 persons or less, where people's lives have evolved step by step so that they become mutually dependant on each other for survival.³⁹

Five years on, a project proposal for a sustainable neighbourhood was funded⁴⁰ in an impoverished part of Kenya, not in the affluence of a developed country. In fact, Mavoko Municipality is characterized by extreme poverty and is one of the slums surrounding the Nairobi-Mavoko-Kitengela industrial axis.⁴¹ The SNP has partially achieved its outcome objectives and

therefore not fully achieved its development objective. However, the project was very ambitious, and its results have to be taken in the context of its experimental and innovative nature. The project should have looked at alternatives and done more research before implementation—for example, developing various experimental housing models and testing them on a small number of slum dwellers. The approach that was taken placed UN-Habitat under extreme pressure to provide housing for the slum neighbourhoods, yet its intention was to provide a limited number of test or model houses in a resettlement project. If this had been clarified from the start, the project would have been better understood and likely more successful. Instead, from the very beginning it was seen as a slum-upgrading project, not a resettlement project being implemented by UN-Habitat using KENSUP guidelines. After KENSUP withdrew as the implementer, UN-Habitat was seen more as an implementer and less as a facilitator.⁴² If the project had restricted itself to research and not to providing housing, it would have achieved its research aim, but not its housing resettlement aim.

C. Capacity building

Despite not fully meeting the outcome objectives set for the project, the SNP gave hope to thousands in Mavoko who had never seen anything but poverty and forced relocation. The project successfully

³⁹ Berg, Per et al. (1997), *Sustainable Neighbourhoods: A Qualitative Model for Resource Management in Communities, Landscape, and Urban Planning*, Stockholm, pages 1–130.

⁴⁰ UN-Habitat (2001), *UN-Habitat Foundation Project Document (FS-GLO-03-S19/A)*, Nairobi.

⁴¹ UN-Habitat (undated), *UN-Habitat SNP Situation Analysis*, Nairobi, UN-Habitat, page 22.

⁴² Letter from R. Nabutola, Permanent Secretary, Ministry of Foreign Affairs, dated 13 November 2002, on 'upgrading of slums'. The evaluator noted in interviews with Mavoko Municipal Council, cooperatives, and youth that there was no clear perception of 'sustainable neighbourhoods' and the role of UN-Habitat and KENSUP.

empowered men, women, and youth who benefited from community mobilization, sensitization, training, and the formation of community-based organisations and cooperatives. The project built the capacity of approximately 3,000 persons (500 per cooperative) in life skills, primary health care knowledge, savings mobilization, and community dynamics, to name a few.

The SNP staff (i.e., UN-Habitat Chief Technical Advisers, the Project Manager, and the three field workers) designed and implemented a community strategy to identify, sensitize, and build up the skills of the slum dwellers to form 30 community-based organisations. These groups gained confidence because of the project and were able to form umbrella groups and, eventually, six cooperatives. The groups give credit to the SNP for empowering them to save money through cooperatives. The project was not able to build the capacity of local authorities to any extent, although the local authorities did participate in the SNP. Provision of the necessary training (for example, in project management and general management) would have enabled them to better lead some aspects of the project. Skills relevant for participatory research and surveys were developed among UN staff and members of the slum communities, who learned how to do social mapping, situational analysis, and community action plans. These skills can assist in the future activities planned for the SNP in 2012.

D. Networking and linkages

The formation of the Executive Committee in 2004 provided an opportunity for UN-Habitat to develop significant partnerships

in both the public and the private sectors. This included private industries such as East African Portland Cement and NGOs such as the National Cooperative Housing Union and Practical Action, among many others. In addition, the project identified key players at the university level who will be ready to carry out further research to understand the dynamics of slum neighbourhoods and develop sustainable neighbourhoods. The new developments from April 2011, now under process with UN-Habitat and KENSUP, can build on the networking and linkages already made, as the expertise of the organizations and institutions can support the design of activities and sourcing of additional funding.

5.2 LESSONS LEARNED

The experience of the SNP, which met many obstacles and challenges and eventually faced an impasse, provides many lessons that can support future projects.

Some of these are the following:

- 1) Research projects termed 'experimental' should not be combined with development projects. The research needed should be carried out first in a separate and/or parallel project, and then the lessons learned can be applied to the development projects. This enables the design of the development project to benefit from the experimental findings. Models such as the sustainable neighbourhood, which worked well in developed countries, may not work in a developing country such as Kenya. In addition, Kenya is diverse in terms of ethnicity and culture—replication has

to be preceded by research and testing. When this is not done, innovative housing projects cannot succeed.

- 2) A project has to give the necessary time, funding, and staffing to mitigate any challenges it may encounter in order to minimize the risk of delays in the delivery of the planned outputs and outcomes. For example, the context of Kenya at the time of the evaluation is one of emerging 'election fever' in preparation for the general elections of 2012. This increases the risk of political instability, disruption, and poor governance. It means that projects which are carefully designed, tested, and subjected to feasibility studies are more likely to succeed in the given implementation context. Networking and making agreements with various players in government and other sectors is important and is necessary to minimize the possibility of corruption.
- 3) The complex arena of land allocation, management, and subdivision is usually best managed by several ministries. There are many gaps in the ability of KENSUP to manage slum upgrading—the Ministry of Lands also has an important role. Several ministries had to play a strong role in the management of the SNP in order to tackle some of the challenges this project faced. Working with several ministries and a wide range of key players will make it possible to implement the project with minimal risks.

5.3 RECOMMENDATIONS

1. It is recommended that the studies and reports archived in the SNP offices be organized and synthesized by UN-Habitat or an NGO specializing in this area, so as to garner information and findings which can benefit the next phases of the SNP.
2. The SNP offices were facilitated through funding and the donation of facilities by the Mavoko Municipal Council. The offices are equipped with computers and furniture and should be closed down officially by UN-Habitat if they are not to be used. This process of closure or handover will clarify the expectations of the council with respect to the sharing of premises. On the other hand, the continued use of the premises (for example, as a library or training centre for the time being) could save the resources that would be needed for an SNP office in the next phase.
3. A directory of all the stakeholders who collaborated with the project during this time period should be prepared by UN-Habitat or an NGO specializing in this area, inclusive of their contact addresses and proposed roles, with a view to involving them where possible and feasible. The gaps in the project's conceptual design and management structure should be addressed in the next phase of the SNP project through redesign. These include clarification and agreement on central concepts (e.g. sustainable neighbourhoods), how the project will integrate livelihoods into housing development, and how new

concepts for housing for the disabled and youth will be factored in. The project design should also consider infrastructure and services for labour-saving devices which can support female workloads and home management for the disabled.

4. The anomalies in the Housing Act of Kenya regulations with respect to low-cost, innovative housing are under review by the Ministry of Housing; the Mavoko Development Advisory Council should keep abreast of the changes to ensure that the conceptual issues related to the SDP are incorporated into the new laws.
5. An appropriate project management structure is to be created by UN-Habitat and the main partners in a Phase 2 of the programme, building on the lessons learned of the project. Identification of beneficiaries and credit modalities are required, but it is recommended that the project form subcommittees to address the needs of the youth, female-headed households, the disabled, and those living with HIV/AIDS. The subcommittees can address measures to develop and protect vulnerable groups. For example, it is understood that some facilities will be shared between the KENSUP mixed housing complex on the SNP land (adjacent to the UN-Habitat SNP site) and the proposed project housing. These facilities will include health centres, but infrastructure such as sports fields and a community centre for youth and peer educators should also be developed, as these can support HIV/AIDS programmes and other community programmes.
6. It is recommended that in a Phase 2, the project should bring in the numerous stakeholders (industries and NGOs) identified in the early years of the project. It should first be determined if they are relevant to this phase. These stakeholders could be part of a social initiative and can contribute funds and equipment and support development interventions for specific groups.
7. An environmental impact assessment is planned, soon to be underway. This study should rely on past studies conducted under the umbrella of the SNP, which identified hazards specific to the relevant geographic areas in 2002 and discussed how to alleviate them.

ANNEX I: TERMS OF REFERENCE

1. Background information and rationale

The Sustainable Neighbourhood Programme (SNP) started in 2003 as a programme within the Kenya Slum Upgrading programme (KENSUP). The SNP is a collaboration between the Government of Kenya, the Government of Finland and UN-Habitat.

The SNP's focus is to improve the lives and livelihoods of the slum dwellers living in the 25 Mavoko informal settlements and the Kibera slums with the aim of relocating the slum dwellers to the piece of land (55 acres, L.R. 27664) in Mavoko municipality made available by the Government of Kenya through a debt swap with the Government of Finland. The overall development objective of the SNP is to strengthen the role and capacity of the informal and community sector in the provision of housing, services and infrastructure with a view to developing sustainable neighbourhoods.

The KENSUP Secretariat has been in charge of SNP's programme coordination, monitoring and evaluation. Routine monitoring has also been carried out by the SNP Executive Committee. The Government of Kenya has had the overall responsibility of the programme. The obligations of the Government of Kenya included inter alia allocation of the required land, provision of counterpart staff to work with the development team. UN-Habitat's main role has been

in facilitating the implementation phase of the programme and in capacity building at both community and municipal levels. Key partners have included building associations which were established by the target population during the programme, NGOs specialized in appropriate technologies, small-scale private contractors and municipalities. The main beneficiaries of the programme were to be inter alia the local communities and slum-dwellers.

The financial contribution of the Government of Finland was EUR 750,000 while UN-Habitat provided additional funding of USD 160,000. This evaluation is at the request of the Government of Finland, in its capacity as donor of SNP.

2. Objectives of the programme

The programme's objectives and expected outputs were:

Objective 1: Enhance the role and capacities of the communities in the provision of housing, services and infrastructure.

Expected outputs of objective 1

Four training courses in Sustainable Neighbourhood Development (in total 100 trainees) in the following areas:

- Earth construction techniques (mud-bricks, stabilized soil bricks, compressed earth blocks)

- Low-cost road construction (roads, bicycle lanes, footpaths)
- Sustainable water supply (wells, dams reservoirs, piping, water harvesting, etc.)
- Sustainable waste management (composting, recycling, re-use etc.)

Objective 2: Strengthen the capacity of small-scale contractors and building materials producers in shelter and infrastructure provision.

Expected outputs of objective 2

- Training programme in low-cost building materials production (compressed earth blocks; precast stone blocks; ferro-cement roofing channels) (25-30 trainees)
- Contractor development programme for emerging contractors (25-30 trainees)

Objective 3: To enhance the capacity of public agencies to act as an enabling authority for community-led housing and infrastructure delivery

Expected outputs of objective 3

- An Action Plan to enhance Community-Government Partnership in shelter and infrastructure development and services provision.
- Workshop on enhancing community-driven housing and infrastructure development (for Government, municipality, small-scale contractors, NGOs and CBOs), and
- An Annual Programme for community-led housing and infrastructure development

Objective 4: To prepare and implement a pilot project in sustainable neighbourhood development.

Expected outputs of objective 4

- Technical framework of the pilot project
- Financial set-up of the pilot project
- Implementation of the pilot sustainable neighbourhood unit (200 dwelling units)
- Selection of small-scale contractors through competitive bidding

The SNP expected accomplishments were

- Construction of incremental house initiated by approximately 200 households.
- A model sustainable neighbourhood, planned, surveyed and partially built.
- Over 350 women and men trained in marketable skills in construction.
- A model savings and loans scheme established to serve the credit needs of the low-income groups who cannot have access to bank loans.
- Over 50 key actors in the community-based housing process (including representatives of the government, NGO, private sector and communities) trained in community-driven housing processes.
- A new paradigm for housing and infrastructure development through community participation and management demonstrated, tested and evaluated

2.1 Results of previous reviews

The program has undergone various reviews. The reports are available.

3. Objectives of the evaluation

The overall objective of the evaluation is to assess the extent to which the objectives and expected accomplishments of the SNP have been achieved.

3.1 Evaluation criteria and evaluation questions

Assessment of the various aspects of the SNP will be guided by the use of five key evaluation criteria: Relevance, effectiveness, efficiency, sustainability and impact on the intended beneficiaries.

3.1.1 Relevance

The extent to which the objectives of a development intervention are consistent with country needs, global priorities, and partners' and donors' policies. The question of relevance often becomes a question as to whether the objectives of a program or project or its design are still appropriate given changed circumstances:

- Were the objectives and achievements of the program consistent with the needs and priorities of the stakeholders, including the final beneficiaries?
- Were the objectives and achievements of the program consistent with Finland's development policies?
- Were the objectives consistent with Kenya's development policy?
- Are the objectives and achievements of the program consistent with global goals, commitments and principles?

3.1.2 Efficiency

The efficiency of a program is defined by

how well the various activities transformed the available resources into the intended results in terms of quantity, quality and timeliness. Comparison should be made against what was planned.

- How well did the activities transform the available resources into the intended outputs/results, in terms of quantity, quality and time?
- Can the costs of the program be justified by the results?
- Were the contributions by the partner country and the donor(s) provided as planned?
- Were administrative matters (reports, usage of funds) handled in an efficient matter?
- Quality of technical assistance?
- Quality of the day-to-day management? Were possible problems in implementation adequately addressed?
- What was the quality of work planning, monitoring and reporting incl. use of indicators, resource and personnel management, financial management, cooperation and communication between stakeholders?

3.1.3 Effectiveness

The effectiveness is a measure of the merit or worth of an activity, e.g., the extent to which a development outcome is achieved through interventions. The extent to which a programme or project achieves its planned results, i.e., goals, purposes and outputs, and contributes to outcomes.

- Is the quality and quantity of the pro-

duced results and outputs in accordance with the plans, how are the results/ outputs applied by the beneficiaries and other intended stakeholders?

- To what extent did the programme achieve its purpose?
- Have the planned benefits been delivered and received, as perceived by all key stakeholders?
- Are the results/outputs and the programme purpose making a contribution towards reducing poverty and inequality, and promoting sustainable development?
- Were important assumptions identified? Were risks appropriately managed, including flexible adaptation to unforeseen situations?

3.1.4 Impact

The totality of positive and negative, primary and secondary effects produced by a development intervention, directly or indirectly, intended or unintended. Impact is the longer term or ultimate result attributable to a development intervention. The concept of impact is closely related to development effectiveness.

- Has progress been made towards achieving the overall development objective of the programme?
- Do the indicators for the overall objective show that the intended changes have started to take place?

3.1.5 Sustainability

Durability of positive programme results after the termination of that programme.

Includes both static sustainability—the continuous flow of the same benefits set in motion by the completed project or programme to the same target groups; and dynamic sustainability—the use or adaptation of programme results to a different context or changing environment by the original target groups and/or other groups. It reflects whether the positive change in the development situation will endure.

- Have the benefits produced by the programme been maintained?
- Who has taken over the responsibility of financing the activities, or have they become self-sustaining?
- What are the possible factors that enhance or inhibit sustainability?

3.2 Cross-cutting objectives

A number of cross-cutting issues need to be taken into account in carrying out evaluation studies. They include the need to involve local communities in the evaluation process (participatory evaluation); gender mainstreaming, environmental aspects and capacity building and/or institutional development impact.

3.2.1 Gender mainstreaming

Gender aspects should be taken very carefully into account when carrying out an evaluation of any project in which they could be of significance. All development actions touch male and female beneficiaries, and very often these two groups as well as other groups of beneficiaries as other sub-groups of beneficiaries will have different needs, responsibilities and potential for benefit from the projects.

The following questions regarding gender should be considered:

- Are the beneficiaries clearly identified? Sub-groups, socio-economic status, etc., “poor” and “women” are not homogeneous groups, so are more details needed?
- Have these groups been consulted?
- Have their needs, resources and constraints to access the project services been identified?
- Have solutions been sought?
- Where relevant, how well does the project take account of gender roles in community management?
- How well does it address gender-related needs that are (i) practical: access to food, water, shelter; social services; paid work (ii) strategic: reducing inequalities in access to certain services; (iii) politics, rights to land and property; credit; education, etc.?
- Does the programme respond to real needs formulated by the intended beneficiary groups?
- Have appropriate delivery modes for services to reach all beneficiary subgroups been identified and implemented?
- Has the traditional division of tasks been taken into consideration?
- Have changes (by the project) to workload been considered?
- Who has access/control of project inputs?
- Is training provided to the right groups, given the project’s objectives?
- Do women/other vulnerable groups participate in the different phases of project implementation? (The number of women employed by the project is not necessarily an indication of female beneficiary participation).
- Are monitoring and information-gathering gender differentiated?
- Are gender aspects in the project mainstreamed or are there specific services for women?
- How can the access of women/other vulnerable groups to services and resources be ensured?
- Have there been capacity-building efforts to make local institutions aware of gender issues, capable to carry out gender analysis and implement projects in a gender sensitive manner?
- Did socio-cultural and gender aspects endanger the sustainability of the project during implementation or, especially termination of donor assistance?
- Did opportunities for men and women to benefit equally from the project continue after its implementation, for example through women’s and men’s participation in decision-making? (The issue of ownership of the project activities by the various beneficiary groups and implementation agencies should also be discussed).
- How could better results have been achieved? How could beneficiary participation as between women and men have been improved?

3.2.2 Environmental aspects

- Many projects impact on the physical environment, both directly and indirectly. For any project to be truly sustainable, it is important that issues of environmental impact are taken into account. The following are some key questions from which the most appropriate should be selected:

Was an environmental impact assessment made?

- Was environmental damage done by or as a result of the project?
- Did the project respect traditional ways of resource management and production?
- Were environmental risks managed during the course of the project? Will these continue to be managed?
- Overall, will the environmental effects of the project's activities and results jeopardize the sustainability of the project itself or reach unacceptable levels?

3.2.3 Capacity building

Capacity development refers to the process by which individuals, groups, organizations and countries develop, enhance and organize their systems, resources and knowledge, all reflected in their abilities, individually and collectively, to perform functions, solve problems and set and achieve objectives. This is a critical aspect of much of UN-Habitat's role.

4. Scope of the Evaluation

This evaluation will cover the activities of the SNP from its inception period 2003 up

to June 2011. It will focus on processes and activities of the SNP in Mavoko, Kenya. The analysis should include both technical and financial aspects of the programme. Challenges and lessons learned and recommendations based on key findings will be presented in the evaluation report.

The evaluation will include all the stakeholders involved in the programme:

- Government of Kenya (Ministry of Finance, KENSUP Secretariat, SNP Executive Committee, local authority/municipality, and others)
- Government of Finland (Ministry for Foreign Affairs, Embassy of Finland in Nairobi)
- UN-Habitat
- Key program partners (building associations, NGOs, private contractors, municipalities)
- Other possible stakeholders

5. Approach and Methodology

The consultant is expected to outline the details of the proposed methodology in the draft report and this may include, but is not limited to, the following aspects:

- In-depth document review and analysis
- Interviews with key stakeholders, both face-to-face and by telephone and email. Key stakeholders include UN-Habitat staff, officials from the embassy of Finland, national project partners and the slum community members involved in the project
- Field visits to project site in Mavoko

6. Governance and Accountability

The Director, Regional Technical Cooperation Division (RTCD) of UN-Habitat will provide the overall administration of this evaluation. Additional support will be provided by the Habitat Programme Manager and the Head, Kenya Unit. The main SNP findings will be presented to the Government of Finland and UN-Habitat in the form of a final evaluation report.

7. Deliverables and Schedule

| Output / Activity | Timeframe |
|----------------------------------|--------------------|
| Presentation of the Draft Report | End of third week |
| Submission of Final Report | End of fourth week |

The UN-Habitat format for structure and contents of an evaluation report should be used as a guide when formulating the report. The relevant stakeholders will submit comments on the draft report to the consultant.

8. Timeline

The evaluation is expected to start in July 2011 and last for a period of four weeks. The consultant shall present the final report to the stakeholders.

9. Professional Qualifications

The evaluation will be carried out by an independent consultant recruited through a competitive process. The consultant should have at least 10 years professional experience in the field of development and monitoring and evaluation. Experience in urban management and slum upgrading projects will be an added advantage.

10. Key background documents for the evaluation

- SNP Project Document
- MOU on administrative arrangements
- Agreements of Cooperation between UN-Habitat and the Government of Finland
- Mavoko land (L.R. No. 27664) documents
- Project progress reports
- Financial reports
- Review reports
- UN-Habitat Monitoring and Evaluation Guide—Recommended content list for an evaluation report
- Other documents as requested and relevant

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UN-Habitat (03-12-11) **Request for a No-cost extension for the SNP**, Nairobi, UN-Habitat

UN-Habitat (undated) **SNP Organigram with cluster groups**, Nairobi, UN-Habitat

World Habitat Awards (2010) **Chile-From Slum to Neighbourhood**, Internet download on Innovation, sustainability and Transfer

YEP (2009) **Briefing notes to the Executive Director- January to June 2009**, Nairobi, UN-Habitat

YEP (2009) **Progress report October 2007-July 2010 sent to GoF**, Nairobi, UN-Habitat

YEP (2011) **Database on Trainees**, Nairobi, UN-Habitat

YEP (undated) **Progress on on-going activities**, Nairobi, UN-Habitat

YEP (undated) **Youth Empowerment Program in Kenya**, Nairobi, UN-Habitat

ANNEX III: LIST OF PEOPLE INTERVIEWED

Altogether, the evaluator interviewed 75 people, including members of the 11 cooperatives⁴³, youth trainees, involving ten face to face interviews, one telephone interview, four focus group discussions and two site visits.

Listed below are some of the individuals participating in these activities:

Adebanjo Modupe, Programme Manager, Women Land Access Trust/HSO, RTCD, UN-Habitat

Alabaster, Graham, former Chief Technical Adviser, SDP, Water, Sanitation and Infrastructure Branch, UN-Habitat

Anantha Krishnan, Chief of Partners and Youth Section, UN-Habitat

Bech, Susanne, Programme Officer, Evaluation Unit, UN-Habitat

Chetambe, Eric, KEWLAT Cooperative

Ireri, Joseph, KEWLAT Cooperative

Jaaoko, Patrick Ochieng, YEP Member, Kibera

Kairu, John, KEWLAT Cooperative

Kairu, Dinah, KEWLAT Cooperative

Kanyotu, Julius, Vice-Chairman, Mavoko Cooperative

Karongo, David, KEWLAT Cooperative

Khatumba, Mildred, KEWLAT Cooperative

Kiilu, Agnes, ex Field Coordinator, SNP

Kioko, Mutisya, Chairman, Mavoko Cooperative

Kiitemwa, Peyter, Community Coordinator, Chairman, SNP

Koigi, Patrick, KEWLAT Cooperative

Kubo, Hellen, KEWLAT Cooperative

Kusienya, Cassius, Deputy Director, KEN-SUP, Ministry of Housing, Republic of Kenya

Kyao, John, Member, Mavoko Cooperative Society

Kyuli, Janet, KEWLAT Cooperative

Lugongo, Benson, KEWLAT Cooperative

Macha Jacqueline, SNP Finance, UN-Habitat

Maigallo, Consolata, KEWLAT Cooperative

Maina, Paul, KEWLAT Cooperative

Makau, Pius, Philio, Chairman, Mavoko Cooperative

⁴³ For ease of reference, the six original cooperatives are referred to as 'Mavoko cooperatives' and the five cooperatives formed when KEWLAT began operations, are referred to as KEWLAT cooperatives.

- Makali, Peter**, Former Town Planner, Mavoko Council
- Makau, Paul**, Chairman, Mavoko Cooperative Society
- Malombe, Patrick**, Deputy Town Clerk, Mavoko Municipal Council, Kenya
- Maroro, John**, KEWLAT Cooperative
- Maseland, Dr. Joseph**, Human Settlements Advisor, Regional Office for Africa and the Arab States
- Mbinda, Alois**, Mavoko Cooperative
- Mlimbo, Veronica**, KEWLAT Cooperative
- Mohammed, Rajab**, YEP member, Kibera
- Mulwa, Angelina**, Mavoko Cooperative
- Muraguri, Leah**, Director, KENSUP, Ministry of Housing, Republic of Kenya
- Mukuna, Samuel**, Member, KEWLAT Cooperative
- Musengo, Rose**, Mavoko Cooperative
- Mutembei, Alikamjeri**, Member, Mavoko Cooperative
- Muthoni, Rose**, KEWLAT Cooperative
- Muthoni, Edith**, KEWLAT Cooperative
- Mutunga, Rosemary**, KEWLAT Cooperative
- Musyoki, Sarah**, KEWLAT Cooperative
- Mwakima, George**, KEWLAT Cooperative
- Mwanbi, David**, KEWLAT Cooperative
- Mwanza, Michael**, Secretary, Mavoko Cooperative
- Nassur, Asha**, YEP member, Kibera
- Ndegwa, Barack**, KEWLAT Cooperative
- Nduku, Teckla**, Member, Mavoko Cooperative
- Ndunda, Anastascia**, Community Coordinator, SNP
- Ndunge, Victoria**, Chairperson, Mavoko Cooperative
- Ndungu, Franco**, KEWLAT Cooperative
- Ngure, Esther**, KEWLAT Cooperative
- Ngigi, Amos**, KEWLAT Cooperative
- Njeru, Evanson**, KEWLAT Cooperative
- Njuguna, Njeri**, KEWLAT Cooperative
- Njuguna, Margaret**, KEWLAT Cooperative
- Nordberg, Rainier**, ex CTA, SNP, UN-Habitat
- Nyagi, Joseph**, KEWLAT Cooperative
- Nyambura, Esther**, KEWLAT Cooperative
- Nyanjui, Charles**, KEWLAT Cooperative
- Nyokabi, Ikumgu**, KEWLAT Cooperative
- Nzoiki, Agnes**, YEP member from one of the Mavoko Cooperatives
- Nzuki, Josyline**, Vice-Chairperson, Mavoko Cooperative
- Okongo, Timothy**, KEWLAT Cooperative

Olome, Patrick, KEWLAT Cooperative

Onyiro, George, ex PM, Habitat Programme Manager, Regional Office for Africa and the Arab States, UN-Habitat

Orwa, Joseph, Chairman, Mavoko Cooperative

Otieno, Millicent Auma, Chairperson, Mavoko Cooperative Society

Oyaro, Mwamba, KEWLAT Cooperative

Sijenyi, Linus, YEP, UN-Habitat

Von Brentano, Dorothee, Programme Coordinator, Regional Office for Africa and the Arab States, UN-Habitat

Wambua, Grace, KEWLAT Cooperative

Wanjohi, Michael, YEP Member, Kibera

Waweru, Agnes, KEWLAT Cooperative

Yegon, Catherine Khisa, Executive Officer, KEWLAT

ANNEX IV: DETAILED METHODOLOGY AND REVISED EVALUATION WORK PLAN

Overview of the Intervention being Evaluated

From 1988, global conferences have strategized and laid the policy framework for sustainable shelter delivery for the urban poor. The United Nations Conference on Human Settlement (Habitat II) held in June 1996, challenged governments to use shelter development as a tool to break the cycle of poverty, homelessness and unemployment by promoting integrated programs in support of shelter development. The foundation for Habitat II was laid by pioneering housing strategies formulated by Habitat and the Government of Finland between 1997-93.

The Sustainable Neighbourhood Programme (SNP) was functional from 2003-2008 in Kenya. It was funded by the Government of Finland/UN-Habitat, as an integrated programme—directed at empowering communities and local authorities to provide housing, infrastructure and services to urban poor from Mavoko and Nairobi slums. UN-Habitat has now recruited an independent consultant to carry out a summative or final evaluation of the project.

The SNP goal of ‘strengthening the role and capacity of the informal and community sector in the provision of housing, services and infrastructure in a sustainable neighbourhood’ was to be realized through institutional arrangements of three key players:

the Government of Kenya, namely the Ministry of Finance, KENSUP Secretariat, SNP Executive Committee and local authorities, which was to support management with counterpart staff; the Government of Finland, which funded mobilization and training activities and UN-Habitat which was to facilitate the implementation phase and capacity building activities. Two key NGOs also featured in the project activities. These were: The Women Land Access Trust and the Youth Moonbeam Project. Several NGOs with specialization in appropriate technologies, small-scale private contractors and municipalities also participated with the management to provide specialized training.

Evaluation Purpose and Objective

The purpose of the evaluation is to provide feedback to the Government of Finland, UN-Habitat and other stakeholders identified (by Government of Finland, UN-Habitat) with regards to the prior objectives, plans, expectations and standards of performance set for the project, and also to serve as a research tool for accountability (performance and results) and learning (decision-making for UN-Habitat programme direction). The objective of the evaluation as stated in the TOR is to assess the extent to which the objectives and expected accomplishments of the SNP have been achieved.

Responsibilities and Accountabilities

As the project evaluation is expected to be a final or summative one, there will be more emphasis placed on the degree of achievement of the expected results, impact of the project from 2008 and information about the general worth or relevance of the program. This is in contrast to a formative evaluation which expects to study more on progress of the project and revision of the objectives. A summative evaluation means gaining an understanding of the project cycle and performance of a project which is no longer operational. The main evaluation criteria apply to both summative and formative evaluations; differences are as stated above and reflected in the questions asked.

The consultant will be responsible for the draft and final reports by assessing and analysing findings from interviews and documentation research. This means development of questionnaires which scrutinize the project to be used in interviews with the various players. The final report must meet the standards stated in the UN-Habitat Monitoring and Evaluation Guide. The UN-Habitat Code of Conduct also applies. In this respect, the questionnaires designed will be aligned to evaluation logic⁴⁴ and make reference to a logic model which responds to the project design as outlined in the project document.

The consultant will incorporate all aspects of the TOR related to the evaluation criterion and a logic model, meaning questionnaires for all parties will be exploratory, but at the

same time simple and easy to understand by all stakeholders.

While the evaluation is expected to be independent and verifiable, it will also be participatory to encourage greater involvement and multi-stakeholder learning. The evaluator will design questionnaires in line with the UN-Habitat checklists for planning, implementing and reporting in participatory evaluation⁴⁵.

As UN-Habitat has been in the forefront with the project at the various steps in the project cycle, the consultant will work under the overall administration of the Director, Regional Technical Cooperation Division (RTCD), and UN-Habitat. UN-Habitat will provide personnel to accompany the consultant during interviews and support as needed to fill in gaps. Transport to the field will be provided by UN-Habitat. UN-Habitat will also set up interviews and provide requested documentation to the consultant.

Profile of the Evaluation Team Members

The consultant will rely on the UN-Habitat Code of Conduct and the United Nations Evaluation Group (UNEG) remaining professional, objective and impartial. The evaluation will be assessed in relation to broad quality standards: propriety, feasibility, accuracy and utility. The consultant has more than 26 working years of experience, mainly with disadvantaged communities, so is well prepared for the evaluation of this particular project. The consultant will be supported by UN-Habitat staff as decided by them.

⁴⁴ UN-Habitat (2003) *Monitoring and Evaluation Guide*, pages 16-17.

⁴⁵ UN-Habitat (2003) *Monitoring and Evaluation Guide*, pages 35-38.

Proposed Methodology

The consultant will design questionnaires to be administered rather than handed out, except in some cases where face-to-face interviews are not possible. In these cases email can be used. As several years have lapsed since the project concluded, the consultant will place great emphasis on literature review provided by UN-Habitat and others, as it will be more available and also noting that some interviewees' level of recall may not be high enough. In addition there will be study and research on other models for Sustainable Neighbourhoods, M & E, and gender. The reliance on literature and documentation will support the consultant in gaining familiarization with the project. Every effort will be made to find more than one source of information with respect to the project cycle steps and to ask for clarification. Some documentation required includes:

- SNP Project Document
- MoU on administrative arrangements
- Agreements of Cooperation between UN-Habitat and the Government of Finland
- Mavoko land (L.R. No. 27664) documents
- Project progress reports
- Financial reports
- Review reports
- UN-Habitat Monitoring and Evaluation Guide—Recommended content list for an evaluation report (page 44)
- Other documents will be requested

The consultant will develop questionnaires

for key informant interviews with the following:

- UN-Habitat staff, officials from the embassy of Finland, national project partners and the slum community members involved in the project
- Government of Kenya (Ministry of Finance, KENSUP Secretariat, SNP Executive Committee, local authority/municipality, others?)
- Government of Finland (Ministry for Foreign Affairs, Embassy of Finland in Nairobi)
- UN-Habitat
- Key program partners (building associations, NGOs, private contractors, municipalities)
- Trainers

Key informant interviews are selected as they facilitate in-depth exploration of the various evaluation criteria with respondents who are able to understand the subject matter.

The third method of evaluation will be the use of questionnaires to explore group dynamics in terms of social mobilization, community commitment, gender issues, and degree of participation. This type of interview or focus group discussion will be conducted for groups of five to ten persons separated by gender and whether they are youth or adult. This method is very participative and empowering. It will be used for trainees, managers, local leaders, and entrepreneurs. At the end of key informant and focus group discussions, the respondents will be asked to make recommendations.

Finally, the consultant expects to make observations regarding environment, infrastructure and service quality, where these have been provided by the project. This method is applicable in sites such as urban housing where outputs can be observed.

Validity and reliability of the evaluation will be ensured as follows:

- i. Questionnaires will be shared with UN-Habitat prior to use to enable re-design and cover all issues.
- ii. Triangulating will be put to use, i.e. confirming, validating findings by comparing three sources.
- iii. Reliable models will be studied.
- iv. Comparisons of design with UN-Habitat mandate by studying UN-Habitat concept papers provided.

- v. Maintaining confidentiality of UN-Habitat and respect for local communities
- vi. Encouraging participation

Work Schedule to provide Deliverables

The evaluation will be completed within four weeks. Every effort will be made to ensure the field work is done before the holiday season so that the consultant can prepare the draft.

Annex a: Bibliography

CIDA (2000) **How to Perform Evaluations—Evaluation Work plans**, Quebec, Canada, Canadian International Development Agency (CIDA)

UNDP (2002) **Results Based Management**

UN-Habitat (2003) **Monitoring and Evaluation Guide**, Nairobi, UN-Habitat.

| Output / Activity | Timeframe |
|---------------------------------------|--------------------------|
| Evaluation Plan developed | Mid First week |
| Draft questionnaires developed | Mid First week |
| Documentation study | End First week |
| All field interviews and observations | Beginning third week |
| Presentation of the Draft Report | Beginning of fourth week |
| Submission of Final Report | End of fourth week |



Annex b: List of Persons to be Interviewed

| To be Interviewed | |
|-------------------|---|
| 1 | UN-Habitat |
| 2 | Government of Kenya point persons (finance, local authorities, etc) |
| 3 | Government of -Finland |
| 4 | KENSUP Secretariat |
| 5 | SNP |
| 6 | Women Land Access Trust |
| 7 | Youth Program |
| 8 | Trainees (males and females) for each course |
| 9 | Trainers |
| 10 | Homeowners in units constructed |
| 11 | Community organizations |
| 12 | Cooperatives |
| 13 | Housing groups |
| 14 | Savings groups |
| 15 | Building association |
| 16 | Contractors, building materials producers |

ANNEX V: EVALUATION QUESTIONNAIRES

| A. To be administered as focus group discussions or key informant interviews to Government of Finland, UN-Habitat, Government of Kenya, including KENSUP | | |
|---|---|--|
| Question | Evaluation Logic | Documentation required |
| <p>1. <i>The SNP was implemented from 2002 and expected to “strengthen the role and capacity of the informal and community sector in the provision of housing, services and infrastructure.”</i> To what extent has this goal been met? Fully/Partly/Not met</p> <p>Expected outcomes (27 month period)</p> <ul style="list-style-type: none"> • 200 HHs start constructing their homes • SNP neighborhood-planned, surveyed & partly built • 350 men & women trained: 100 sustainable house construction, 50 building materials production, water supply, sanitation and waste management, 50 building materials & contract management, 200 on the job training (GOK counterpart staff also get trained) • Model saving and loan scheme, model housing association • 50 key actors in community based housing get training in community driven housing <p>Give reasons for your answers.</p> | <p>Relevance-design, inclusion of stakeholders</p> <p>Efficiency-investment, activities</p> | <p>Timeline including delays, suspensions</p> <p>Minutes of early meetings</p> <p>First Curriculums and training materials designed</p> <p>Design of SNP, association</p> <p>Calendars set</p> <p>List of beneficiaries</p> <p>List of counterpart trainees</p> <p>Other as provided</p> |
| <p>2. Project Objectives</p> <p>Please rate the following objectives in terms of whether or not they were met (fully met, partly met/ not met) and give reasons for your answers:</p> | <p>Effectiveness</p> | <p>Monitoring results</p> <p>Progress reports</p> <p>Trainee reports</p> <p>Community feedback letter</p> <p>Contractor development programme</p> <p>Tender documents</p> <p>Membership lists</p> <p>Other</p> |

Objective 1: Enhance the role and capacities of the communities in the provision of housing, services and infrastructure (Expected outputs= Four training courses in Sustainable Neighborhood Development (in total 100 trainees); Earth construction techniques (mud-bricks; stabilised soil bricks; compressed earth blocks); Low-cost road construction (roads, bicycle lanes; footpaths); Sustainable water supply (wells; dams, reservoirs; piping; water harvesting etc.); Sustainable waste management (composting, recycling, re-use etc.)

Activities for Objective 1:

- Selection of the site for the pilot sustainable neighborhood
- Preparation of training programme
- Preparation of training materials
- Selection of candidates for the courses
- Selection of one training institution as partner for the project
- Train community members in sustainable neighbourhood development

Objective 2: Strengthen the capacity of small-scale contractors and building materials producers in shelter and infrastructure provision
Expected outputs were: Training programme in low-cost building materials production (compressed earth blocks; precast stone blocks; ferro-cement roofing channels) (25-30 trainees)

Activities for Objective 2:

- Identify an appropriate institution (private, public or an NGO) to act as the focal point for training programme
- Prepare the curriculum for the training programme, procure tools and prepare training materials
- Identify site and construct the Technology Workshop
- Identify and select, in consultation with communities, the trainees by giving priority to the most vulnerable dwellers, women and the youth
- Train artisans in low-cost building materials production
- Preparation of the programme and training materials
- Selection of trainees
- Conduct contractor development programme (focusing on cost estimation, pricing, competitive bidding, site management, contract management and business management)
- Facilitate access to credit

Objective 3: To enhance the capacity of public agencies to act as an enabling authority for community-led housing and infrastructure delivery. Expected outputs: An Action Plan to enhance Community-Government Partnership in shelter and infrastructure development and services provision; Workshop on enhancing community-driven housing and infrastructure development (for Government, municipality, small-scale contractors, NGOs and CBOs); An Annual Programme for community-led housing and infrastructure development; Estimation of the demand for residential lots for low-income groups; Assessment of the implementation capacities of responsible agencies and local construction industry; Prepare an annual programme with an implementation schedule

Activities for Objective 3:

Review of the current institutional framework for shelter and infrastructure delivery, identify bottlenecks and recommend measures to eliminate these constraints

- Prepare an Action Plan for developing the local authorities into an enabling authority for community-driven provision of housing and infrastructure
 - Preparation of workshop programme and training material
 - Selection of participants
 - Implementing the workshop on community-driven housing and infrastructure development
-



Objective 4: To prepare and implement a pilot project in sustainable neighbourhood development. The expected outputs were: Technical framework of the pilot project; Financial set-up of the pilot project; Implement the pilot sustainable neighbourhood unit (200 dwelling units); Selection of small-scale contractors through competitive bidding

Activities for Objective 4:

- Selection of site and allocation of land by the Government/city;
 - Preparation of design briefs for standards (plots sizes, infrastructure and services);
 - Preparation of site layout (using participatory planning methods);
 - Preparation of low-cost building types (using participatory design methods);
 - Preparation of engineering designs for services and on-site infrastructure; and
 - Defining criteria for the selection of participants
 - Selection of participants according to the criteria
 - Preparation of work schedules to monitor progress
 - Provide technical support and management
 - Finalisation of tendering documents
 - Invite small-scale contractors to bid
 - Creation of a Local Contract Committee
 - Evaluation of proposals and selection of small-scale local contractors
 - Provide technical support to small-scale contractors
- Preparation of a socio-economic profile of the participating households
 - Set-up a Building Association
 - Develop innovative housing finance system
 - Develop cost recovery plan
 - Reinforce the organisation of the community
 - Create building brigades for self-help house and infrastructure construction
 - Assign responsibilities to community members and define modalities of work
 - Preparation of instructions for building brigades

| | | |
|---|---|--|
| <p>Design: The design of the SNP called for a new paradigm of community participation and management?</p> <p>Was this achieved?</p> <p>Give reasons for your answers?</p> | <p>Relevance</p> <p>Inclusion (of stakeholders) in early stages</p> | <p>Minutes of early meetings with key actors and communities</p> <p>TNA</p> <p>Surveys</p> <p>Organigram/list of GoK, UN-Habitat counterparts</p> <p>Letters bringing on board other stakeholders, and credit granting organization</p> <p>Documentation of early sensitization process of GOK, communities on the concept, credit granting</p> <p>Other as provided</p> |
| <p>3. The design of the SNP clearly called for a community driven approach. What was the rationale for KENSUP being in charge of the project?</p> | <p>Relevance</p> <p>Efficiency</p> | <p>Minutes of early meetings</p> <p>MOU and changes</p> <p>Calendars set</p> <p>List of KENSUP officials and organigram used</p> <p>Other as provided</p> |
| <p>4. The design refers to a development team, housing association, and other groups to name a few. Were this formed? Explain.</p> | <p>Relevance</p> <p>Efficiency</p> | <p>Documentation</p> <p>Lists of members</p> |
| <p>5. The government's role was two-fold: land allocation and staff to support the project. The land allocation was to be a minimum of 10 hectares in the first six months of the project: Explain this process, justification, delays (and reasons), changes, final product? What caused delays and changes?</p> <p>Describe the SNP land allocation to date: Title, Name of owners, lease or freehold, hectares/ acres, land allocation – YEP, KEWLAT, annual land rates, services</p> <p>Legal issues: Government of Finland owning land and allocating it, receiving funds as payment?</p> | <p>Efficiency- security of tenure</p> | <p>Title</p> <p>Surveys</p> <p>Land allocation to YEP, KEWLAT</p> |
| <p>b. Did the government receive an action plan (or participate in preparation of one) to involve the local authorities so they could provide a counterpart role. If yes, explain the role of this plan. If no, did this affect the project's efficiency? Who were the counterparts in the government and how did they fulfill their role?</p> <p>c. Were the contributions of UN-Habitat and Government of Finland as expected?</p> <p>d. Your monitoring role: What role did you take in work planning, monitoring and reporting, development of indicators, and communication between stakeholders?</p> | | <p>Receipts of land rates</p> <p>Timeline including delays, suspensions</p> <p>Minutes of early meetings</p> <p>Action plan</p> <p>Other as provided</p> |

| | | | |
|-----|---|--------------------------------|--|
| 6. | The implementers (Government of Kenya, UN-Habitat, and Government of Finland) were expected to review the current institutional framework for shelter and infrastructure delivery, identifying bottlenecks? Is there a policy and framework for slum dwellers? | Efficiency | Institutional framework for UN-Habitat, Shelter Afrique, Government of Kenya |
| 7. | Government of Kenya: Under which development initiative does this type of project fit? How consistent is it with GOK priorities? What about consistency with needs of slum dweller? | Relevance | Government of Kenya development plan for the district Other |
| 8. | UN-Habitat: To what extent is an SNP project (community driven housing) fit in with your Kenya strategy, global priorities? Has this changed from 2002? | Relevance | Strategy papers Gender policy Other |
| 9. | Government of Finland: To what extent is an SNP project consistent with Finland development policy? Has this situation changed from 2002? | Relevance | Strategy papers Gender policy Other |
| 10. | What were the Government of Finland funds of US 695, 00.00 to be used for? Were these funds used as intended? Give reasons for your answers? Your monitoring role: What role did you take in work planning, monitoring and reporting, development of indicators, and communication between stakeholders? Were the contributions of other parties as expected? | Efficiency- security of funds | Original budget Expenditure sheets and balance sheets Correspondence Letters of acceptance, objection |
| 11. | What were the UN-Habitat funds of US 160,000 to be used for? Were these funds provided and used as intended (including low cost housing expert)? Give reasons for your answers? Your monitoring role: What role did you take in work planning, monitoring and reporting, development of indicators, and communication between stakeholders? Were the contributions of other parties as expected? | Efficiency- inputs and outputs | Budget Expenditure sheets Balance sheets |
| 12. | What was the beneficiaries' expected contribution? Was this delivered? Why or why not? Trainees Youth Empowerment Programme land KEWLAT land | Efficiency- inputs and outputs | Budget Expenditure sheets Balance sheets |
| 13. | Sustainability: With the project ended, who have you handed over to? How will outputs be maintained? How will financing be maintained? How will incomplete interventions be carried out? Since, Government of Finland owns the land, how will services be delivered in the future? | | Environmental impact study Situational analysis Handover documents |

| | | | |
|---|---|---|---|
| 14. | Cross-cutting issues: How does your project activity define 'poor'? How do you make sure the 'poor' benefit? | Impact, Relevance, Sustainability | Selection sheets Feedback letters |
| | Cross-cutting issues: In the activities carried out so far, how did you ensure: 1. Community participation in management 2. Community participation in selection of beneficiaries 3. Gender benefits – practical and strategic | Impact, Relevance, Sustainability | Selection sheets Feedback letters |
| B. Interviews and On-site visits with YEP, KEWLAT) | | | |
| 1. | Your project site is situated on the SNP land: Please explain how your activity started? Were you allocated or donated land? | Relevance Efficiency | Transfer documents Sales documents |
| 2. | Explain your project briefly in terms of management (formal and informal structures). How are you linked to: Government of Finland (land owners) UN-Habitat (which departments) Others | Relevance Efficiency | Organogram Project description |
| 3. | Describe the activities you have been carrying out. Describe how they are linked to the SNP. | Relevance Effectiveness | Project description |
| 4. | Explain legal aspects of your being on the SNP land: titles, sub-titles, payment, land rates, MOUs. Are you satisfied with these arrangements? Explain. | Relevance | Documentation MOU |
| 5. | Explain the process of beneficiary selection for training, committee representation and land ownership/rental? How were the beneficiaries for training selected? Explain the selection, vetting, security required. How did you ensure you reached the original intended beneficiaries and involved women? Was there a selection committee? | Efficiency | Selection list Mandates Titles |
| 6. | Cross-cutting issues: How does your project activity define 'poor'? How do you make sure the 'poor' and women benefit? How does your project support the youth? | Impact, Relevance, Sustainability | Selection sheets Feedback letters |
| 7. | Review of SNP documentation (Youth Empowerment Programme, KEWLAT) and Interviews How well did the TNA, Curriculums, Trainers support the development of a sustainable neighborhood (community driven)? Please rate each in terms of the quality, quantity and time spent delivering? | Relevance Effectiveness, efficiency, impact | TNA Trainers Curriculums Post training reports Structures |

ANNEX VI: SUSTAINABLE NEIGHBOURHOOD PROGRAMME NAIROBI PLOT PROJECT BUDGET IMPLEMENTATION PHASE)

Source of Funding: Government of Finland

| Budget Line | Description | 2003 | | 2004 | | 2005 | | Total | Total |
|-------------|--------------------------------------|-----------|----------------|-----------|----------------|----------|----------------|-----------|----------------|
| | | w/m | USD | w/m | USD | w/m | USD | w/m | Budget |
| 441 | Personnel | | | | | | | | |
| 1101 | Coordinator/CTA (L5) | 6 | 70,650 | 12 | 141,300 | 6 | 70,650 | 24 | 282,000 |
| 1151 | Consultants | | 15,000 | | 15,000 | | 15,000 | | 45,000 |
| | National Professional | | | | | | | | |
| 1701 | Construction Manager | 6 | 9,000 | 12 | 18,000 | 2 | 9,000 | 20 | 36,000 |
| 1702 | Engineer | 4 | 6,000 | 12 | 18,000 | 2 | 9,000 | 18 | 33,000 |
| 1703 | Community Development | 5 | 7,500 | 12 | 18,000 | 2 | 9,000 | 19 | 34,000 |
| 1704 | National Consultants | 2 | 8,000 | 3 | 12,000 | 3 | 12,000 | 8 | 32,000 |
| 19 | Component Total | 17 | 116,150 | 39 | 222,300 | 9 | 124,650 | 65 | 463,100 |
| 443 | Training & Capacity Building | | | | | | | | |
| 3201 | Group Training | | 11,000 | | 11,000 | | 15,000 | | 37,000 |
| 30 | Component Total | | 11,000 | | 11,000 | | 15,000 | | 37,000 |
| 444 | Equipment and tools | | | | | | | | |
| 4101 | Expendable Equipment | | 1,300 | | 2,363 | | 5,137 | | 8,500 |
| 4201 | Non-expendable Equipment | | 30,000 | | 30,000 | | 5,000 | | 65,000 |
| 4301 | Premises/Technology Workshop | | 10,000 | | | | | | |
| | Component Total | | 41,300 | | 62,363 | | 10,137 | | 113,800 |
| 445 | Miscellaneous | | | | | | | | |
| 5101 | Operation & Maintenance of equipment | | 1,000 | | 2,200 | | 2,000 | | 5,200 |
| 5201 | Reporting Costs | | 0 | | 0 | | 10,000 | | 10,000 |

| | | | | | |
|-----------|------------------------------|----------------|----------------|----------------|----------------|
| 5302 | Information & Evaluation | 2,040 | 6,195 | 5,040 | 13,275 |
| 5301 | Sundry | 501 | 677 | 5,164 | 6,342 |
| 5401 | Direct costs | 5,000 | 5,000 | 5,000 | 15,000 |
| 59 | Subtotal | 8,541 | 14,072 | 27,204 | 49,817 |
| 99 | Project Total | 176,991 | 309,735 | 176,991 | 663,717 |
| | Programme Support Cost (13%) | 23,009 | 40,265 | 23,009 | 86,283 |
| | TOTAL BUDGET | 200,000 | 350,000 | 300,000 | 750,000 |

| | | | | | | | | | |
|--------------|--|----------------|----------------|----------------|----------------|-----------------|---------------|---------------|----------------|
| 3201 | Three Mavoko SNP coordinators (2009-2010) | 106,163 | | 27,829 | 78,116 | (69,038) | 39,809 | 9,197 | 20,250 |
| 3202 | Training and Capacity Building | 15,553 | | | | | | | 15,553 |
| 3900 | Total Training | 121,716 | - | 27,829 | 78,116 | (69,038) | 39,809 | 9,197 | 35,803 |
| 4000 | Equipment and Tools | - | | | | | | | |
| 4101 | Expendable Equipment | 5,194 | | 5,194 | | | | | |
| 4201 | Non-Expendable Equipment | 43,921 | 16,899 | 23,198 | 2,324 | | | | 1,500 |
| 4301 | Technology Workshop and Model House | 522 | 352 | | 51,798 | (51,628) | | | |
| 4302 | Estb. Of Community Centre and Site office | - | | | | | | | |
| 49.00 | Total - Equipment | 49,637 | 17,251 | 28,392 | 54,122 | (51,628) | - | - | 1,500 |
| 50.00 | Miscellaneous | - | | | | | | | - |
| 5101 | Operation and Maintenance of Equipment | 15,617 | | 1,000 | 1,721 | 542 | 2,164 | 1,200 | 8,990 |
| 5201 | Reporting costs | 403 | | | 403 | | | | |
| 5202 | Information and Evaluation | 27,228 | 2,759 | 23,564 | (952) | | | | 1857 |
| 5301 | Sundry | 15,741 | 75 | 9,334 | 1,332 | | | 289 | 4,711 |
| 5401 | Direct Costs | 1,055 | | 1,055 | - | | | | |
| 59.00 | Total - Miscellaneous | 60,044 | 2,834 | 34,953 | 2,504 | 542 | 2,164 | 1,490 | 15,558 |
| 99 | Project Total | 791,336 | 140,700 | 314,736 | 266,338 | (78,221) | 44,228 | 10,687 | 92,861 |
| | UN-Habitat AOS (13%) | 102,873 | 18,291 | 40,916 | 34,624 | (10,169) | 5,750 | 1,389 | 12,072 |
| 100 | Grand Total | 894,209 | 158,991 | 355,652 | 300,962 | (88,389) | 49,977 | 12,076 | 104,933 |
| | Calendar of Payments | EURO | USD | | | | | | |
| | 2003: Total cash receive (as at 31/12/03) | 200,000 | 235,440 | | | | | | |
| | 2005: Total cash receive (as at 31/12/05) | 200,000 | 239,260 | | | | | | |
| | | 750,000 | 894,210 | | | | | | |

ANNEX VIII: SUSTAINABLE NEIGHBOURHOOD PROGRAMME TIMELINE

Preparatory Phase (3 months) 1 August 2002-31 October 2002

The most important activities during this phase are:

- Conduct consultations with the Government/city to allocate land for the pilot Sustainable Neighbourhood Unit and the Technology Workshop;
- Identify and select land for the pilot Sustainable Neighbourhood and the Technology Workshop;
- Identify implementing partners (public, private and community sector);
- Prepare and negotiate MOU's with implementing partners; and
- Identify training institutions and expertise at the local level and initiate the recruitment process for local staff.

Phase I - Capacity building (6 months) 1 November 2002 -30 April 2003

The most important activities during this phase are:

- Prepare the curriculum and training material for the training programme; erect the Technology Workshop; and commence training activities;
- Organize Building Associations (Neighbourhood Development Committees);

- Establish financial mechanisms and cost recovery systems;
- Train municipal staff in community participation and mobilization;
- Analyse bottlenecks for Community-Government Partnerships and formulate an Action Plan to eliminate the constraints; and
- Initiate planning of the new Sustainable Neighbourhood.

Phase II - Pilot Implementation (18 months) 1 May 2003-31 October 2004

The most important activities include:

- Organise a workshop on community-driven housing process;
- Plan, organise and manage self-help construction of houses;
- Plan, organise and manage community-led infrastructure development and service provision;
- Provide technical support to small-scale contractors engaged in project activities;
- Recommend policy reforms to eliminate harmful constraints imposed by the regulatory framework that hinder low-income groups access to shelter.

| Activities | 2009 | | 2010 |
|--|-----------|----------|-----------|
| | Phase I | Phase II | |
| Demarcation of Land/Plot for development by stakeholders | | | Phase III |
| Determination of Desirable Land Tenure Options | | | |
| Environmental Impact Assessment | | | |
| 5. Development and Construction of Housing Units (SNP, Youth Empowerment Programme, KEWLAT) | | | |
| Estimate Cost (USD) | | | |
| | 1,510,000 | | |
| Development of Low-cost (pro-poor) House Plans | 10,000 | | |
| Preparation of Implementation Plans by stakeholders | 5,000 | | |
| Identification and Production of low-cost building materials | 55,000 | | |
| Develop housing financing packages | | | |
| Determine potential sources of funding | | | |
| Develop labour-intensive construction modalities | 190,000 | | |
| Implementation –250 unit @ USD 5,000.00 | 1,250,000 | | |
| 6. Reporting, dissemination & capacity building (All) | | | |
| Estimate Cost (USD) | | | |
| | 100,000 | | |
| Development/Management of toolkits | | | |
| Training in construction systems, operation and maintenance | | | |
| Develop capacity building interventions based on assessment | | | |
| Undertake capacity building activities | | | |

Evaluation of the Sustainable Neighbourhood Programme
in Mavoko Municipality, Kenya

HS:HS/003/14E

UNITED NATIONS HUMAN SETTLEMENTS PROGRAMME

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