



UN-HABITAT AND THE KENYA SLUM UPGRADING PROGRAMME STRATEGY DOCUMENT

FOR A BETTER URBAN FUTURE

UN  HABITAT

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UN-HABITAT AND THE
KENYA SLUM UPGRADING PROGRAMME
STRATEGY DOCUMENT



KUMBUKA
WOOD
WORKS

Foreword

Kenya's slums are growing at an unprecedented rate as more and more people move to Kenya's cities and towns in search of employment and other opportunities urban areas offer. The government and local authorities are faced with the serious challenge of guiding the physical growth of urban areas and providing adequate services for the growing urban population. Kenya's urban population is at present 40 percent of the total population. More than 70 percent of these urbanites live in slums, with limited access to water and sanitation, housing, and secure tenure. They have poor environmental conditions and experience high crime rates. If the gap continues to grow between the supply and demand of urban services such as housing, the negative consequences of urbanisation can become irreversible.

The Kenya Slum Upgrading Programme (KENSUP) has been set up as a collaborative initiative that draws on the expertise of a wide variety of partners in order to address this issue. The Government of Kenya executes and manages the programme, the Ministry of Housing and the relevant local authorities implement it, and UN-HABITAT, civil society partners, participating local communities, and the private sector complement and support their efforts. KENSUP's aim is to improve the livelihoods of people living and working in slums and informal settlements in the urban areas of Kenya through the provision of security of tenure and physical and social infrastructure, as well as opportunities for housing improvement and income generation.

Implementation is underway in four Kenyan cities and the Government of Kenya aims to expand the programme to others. UN-HABITAT's involvement in Kisumu, Nairobi, Mavoko, and Mombasa focuses on different aspects of slum upgrading from implementing pilot projects aimed at finding suitable models for scaling up and replicating activities, to building the capacity of local authorities. UN-HABITAT is also engaged in analysing conditions in target communities through situation analyses and socio-economic mapping; providing technical advice to KENSUP partners; and making available basic infrastructure. Additionally, we collaborate with the Government of Kenya in the mobilisation and coordination of financial and other resources for the programme.


The formulation of a new KENSUP strategy by UN-HABITAT, as set out in this document, has become necessary for a wide variety of reasons, not least because there is a need to respond to the divisional shift of most KENSUP projects to the Water, Sanitation and Infrastructure Branch



of UN-HABITAT. This brings a new focus to our involvement with KENSUP as it introduces and tests the provision of basic infrastructure, such as water and sanitation, as an entry point to slum upgrading. The new strategy also further elaborates UN-HABITAT's consolidated and integrated development approach to slum upgrading, focusing on the provision of affordable housing finance and infrastructure. This approach combines all the different elements required for successful slum upgrading such as income generation activities, capacity building, provision of housing finance, housing improvement, and provision of basic infrastructure.

UN-HABITAT's KENSUP Strategy Document outlines our main areas of focus, key concepts, methodology, planned activities, as well as a financing strategy. This document will function as a roadmap for all of UN-HABITAT's present and future KENSUP activities, and it will guide our staff and partners towards meaningful and effective interventions.

The task of making slums better living and working environments for the urban poor, along with the inseparable task of reducing poverty, can only be achieved through a common vision. And a common vision for sustainable slum upgrading can only be realised through genuine partnerships. We extend our sincerest gratitude to the Government of Kenya and our development partners, who have taken this task to heart. We also invite you to be part of this coalition, a coalition that can help strengthen the capacity of the Government of Kenya, local authorities, local communities, UN-HABITAT, and other partners in addressing the pressing issue of slum upgrading.


Anna Tibaijuka
Executive Director

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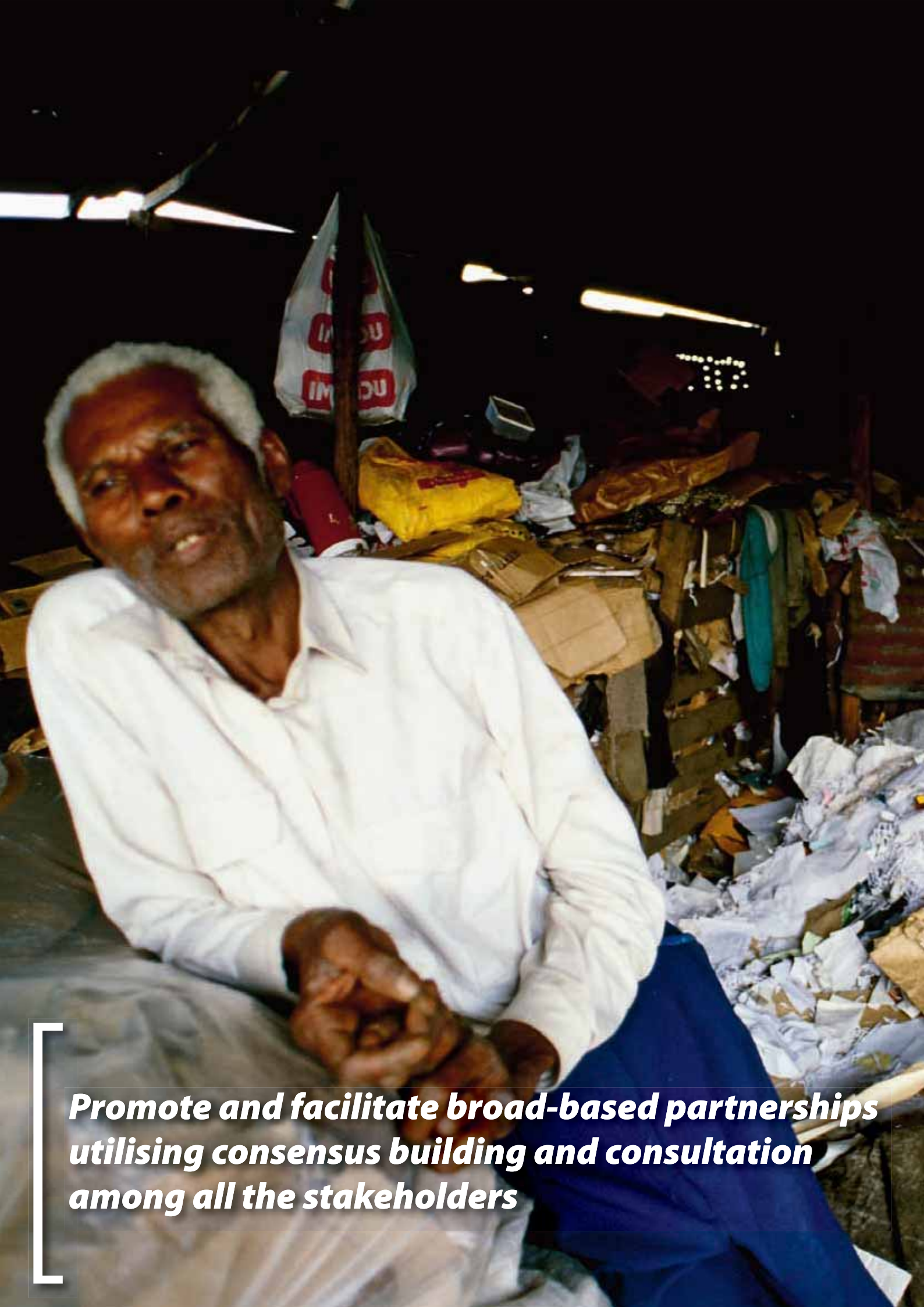


Introduction

UN-HABITAT is one of the key partners of the Kenya Slum Upgrading Programme (KENSUP). KENSUP was initiated in 2001 by the Government of Kenya (GoK), and it is complemented and supplemented by UN-HABITAT through cooperation outlined in a Memorandum of Understanding and existing project documents. Project activities under KENSUP are taking place in Nairobi, Kisumu, Mavoko, Mombasa and Thika.

The aim of the programme is to improve the livelihoods of people living and working in Kenya's slums through provision of security of tenure, housing improvement, income generation and physical and social infrastructure. As UN-HABITAT's role in the programme is supplementary, its activities have focused on the provision of technical advice, capacity building of the relevant local authorities and communities, provision of basic infrastructure, and testing of innovative slum upgrading approaches through pilot projects.

As a means for advocating forward-thinking within the organisation, as well as striving towards constantly improving its practices, UN-HABITAT is looking for new, innovative ways to invigorate its participation in KENSUP. In order to facilitate this, all KENSUP related activities within UN-HABITAT have been centralised under one roof; the Water, Sanitation and Infrastructure Branch. It is hoped this approach will steer forward the processes that would make UN-HABITAT's interventions within KENSUP as constructive, coherent and successful as possible. This also brings some modifications to UN-HABITAT's development approach within KENSUP. The goal is to develop a strategy document that outlines and takes stock of the existing activities, consolidates the different KENSUP projects that UN-HABITAT is involved in, and develops a way forward as well as a common, coherent and coordinated strategy and an implementation agenda that are all sustainable and innovative in their approach.



Promote and facilitate broad-based partnerships utilising consensus building and consultation among all the stakeholders

1.1 Justification for the Strategy Document

The formulation of a new KENSUP strategy document for UN-HABITAT has become relevant and necessary for a wide variety of reasons. In the past UN-HABITAT has been involved in the facilitation and implementation of KENSUP, together with the GoK, local authorities and other partners in several projects that can be grouped under the broad umbrella of slum upgrading. These projects have been scattered amongst many different units and branches within UN-HABITAT, each with their own objectives, strategies and *modus operandi*. This has resulted in fragmentation, as well as confusion amongst the programme partners due to the various different focal points dealing with the programme, who at times have conveyed conflicting messages. As a consequence, communication between UN-HABITAT and its KENSUP partners, particularly the Ministry of Housing, has been marred with difficulties. Additionally, the lack of common and recognised reporting structure within UN-HABITAT has resulted in lack of continuous monitoring of progress. The fragmentation within UN-HABITAT has also caused a lack of an effective implementation structure, which has contributed to UN-HABITAT's failure to deliver enough tangible results in the programme. This has been further compounded by UN-HABITAT's KENSUP staff 'remote controlling' developments in the field from the headquarters in Nairobi.

Most of the KENSUP projects within UN-HABITAT have now moved to the Water, Sanitation and Infrastructure Branch, which is part of the Human Settlements Financing Division. The aim of this repositioning is to centralise the existing projects under common streamlined supervision in order to offset some of the above-mentioned difficulties. The move to the Water, Sanitation and Infrastructure Branch will also bring new and more concrete focuses for UN-HABITAT's activities within KENSUP. It will introduce and test the provision of basic infrastructure, such as water and sanitation, as an entry point to slum upgrading; and it will introduce and test UN-HABITAT's new, consolidated and integrated development approach to slum upgrading, which focuses on the provision of affordable housing finance and infrastructure.

This approach combines all the different elements required for successful slum upgrading; such as income generation activities, capacity building, provision of housing finance, housing improvement, and provision of basic infrastructure. Furthermore, it is expected that this move will bring new life into KENSUP and rejuvenate the existing slum upgrading activities, as well as generate new ones with a new focus. The GoK already has developed KENSUP Financial and Implementation Strategies. The aim is to realign UN-HABITAT's strategy with those of the GoK, which would facilitate further exploration and development of the partnership.

1.2 Aims of the Strategy document

The aim of this strategy document is to consolidate UN-HABITAT's involvement in the different projects of the KENSUP, and to develop a common strategy and implementation agenda in order to be able to move forward with the programme. The strategy document will function as a roadmap for all of UN-HABITAT's present and future KENSUP activities and it will guide the staff to contribute to meaningful and effective interventions. Furthermore, the objective is to incorporate new principles from the Water, Sanitation and Infrastructure Branch and UN-HABITAT's Slum Upgrading Facility into the programme and develop these into a new and innovative implementation strategy.

The aim is also to create a general KENSUP strategy that is able to provide key information expected by any current or future partners of KENSUP. For instance, the strategy document can function as an information package to be utilised when introducing the programme to possible new partners, such as donors. All of these aims are made topical by unsustainable urbanisation in Kenya, which call for new, innovative ways of invigorating UN-HABITAT's participation in KENSUP.

1.3 Rationale for KENSUP

Due to a combination of demographic, economic and political realities, many Kenyan cities are facing critical challenges. Perhaps the most important one is rapid urbanisation, outstripping the capacity of the government and local authorities to guide the physical growth of urban areas and to provide essential urban services to their citizens. This has resulted in the rapid growth of slums in Kenyan cities and towns, which is due to a combination of rural-urban migration, increasing urban poverty and inequality, high cost of living, non-transparent land allocation systems, land grabbing, and insufficient investment in new low-income housing. Urbanisation continues in Kenya and it is estimated that by 2015 urban dwellers will constitute over 50 percent of the total population.

Existing figures are compelling evidence demonstrating the dire situation in many of Kenya's cities and towns. Depending on the city, 60-80 percent of Kenya's urban population live in slums that are characterised by lack of access to water and sanitation, insecure tenure, lack of adequate housing, poor environmental conditions, and high crime rates. For instance, in Nairobi, 60 percent of the population lives in slums that occupy only 5 percent of the total land





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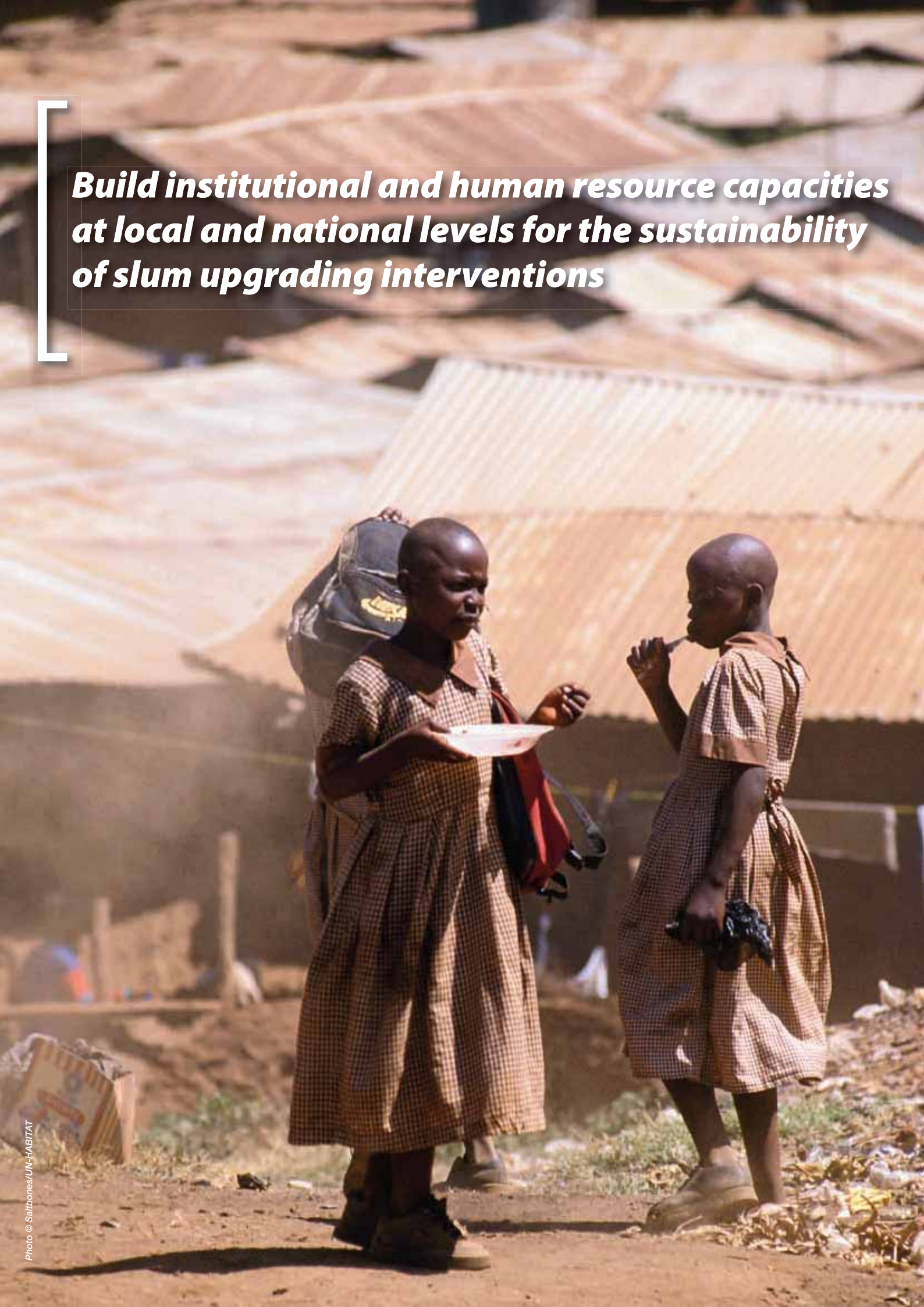
area and the growth of Nairobi's slums is unprecedented; the population living in slums is expected to double within the next 15 years. Further, only 22 percent of slum households in Nairobi have water connections and 75 percent access water through water vendors who overcharge making slum dwellers pay more for their water than people living in middle- or high-income areas (UN-HABITAT, Nairobi Urban Sector Profile, 2006). The provision of sanitary services is also inadequate and the use of open spaces and flying toilets are common phenomena. For instance, in Kibera, poor environmental sanitation leads to water borne and vector borne diseases such as diarrhoea and malaria and epidemics such as cholera and typhoid are occurring with greater frequency (*Maji Na Ufanisi*, Kibera Integrated Water, Sanitation and Waste Management Project, 2007).


The situation is similar in many other Kenya's towns and cities. In Kisumu, the percentage of people living in slums is 60 percent. Refuse collection efficiency is mere 20 percent and only 10 percent have sewerage connections. Over 60 percent of the slum dwellers obtain their water from unsafe sources resulting in high rates of water and sanitation related diseases and morbidity. (UN-HABITAT, Kisumu Urban Sector Profile, 2006). These figures present the grim realities facing cities and towns across Kenya and they provide a justification for slum upgrading initiatives in the country that are aimed at improving the living conditions in Kenya's slums.

The GoK recognises that the main challenge is not to slow down urbanisation but to cope with it and the challenges it brings. There is no question that the main challenges that rapid urbanisation brings are centred on how to provide adequate shelter, employment, and basic urban services such as water and sanitation, and how to effectively respond to the rising crime, urban poverty and environmental degradation.

Over the years, the GoK has experimented with different settlement development policies and strategies, ranging from forced eviction, resettlement, site and services schemes, and upgrading. The GoK now acknowledges the existence of slums and is committed to addressing the conditions through upgrading. Therefore, the government has developed KENSUP Implementation and Financing Strategies in order to address the poor conditions in slums (GoK, KENSUP Implementation Strategy 2005, Financing Strategy, 2005). This is the context where UN-HABITAT agreed to support the GoK in developing and implementing sustainable solutions to the challenges facing its urban areas at present.

***Build institutional and human resource capacities
at local and national levels for the sustainability
of slum upgrading interventions***





What is KENSUP

2

KENSUP is a programme of the GoK, implemented by the Ministry of Housing and the relevant local authorities, which is complemented and supplemented by UN-HABITAT through technical cooperation outlined in a Memorandum of Understanding (MoU) signed with the Government of Kenya in January 2003, and other existing project documents (Kibera, Mavoko, Kisumu, Kahawa Soweto and Mombasa). The programme was initiated in 2001, following a meeting with the former president of Kenya, Daniel arap Moi and the Executive Director of UN-HABITAT, Mrs Anna Tibaijuka. The Programme was formally launched by Honourable Mwai Kibaki, the President of Kenya, during the World Habitat Day on 4 October 2004. According to the GoK, the aim of KENSUP is by 2020 to have improved the livelihoods of at least of 5.3 million urban slum dwellers (1.6 million households) countrywide. The estimated financial requirement for the entire programme period is 884 billion Kenya shillings (GoK, KENSUP Financing Strategy, 2005), which is approximately USD 13 billion.

The national government's commitment is an essential ingredient for the success of any slum-upgrading intervention and the GoK is one of the few governments in Africa that acknowledges the real importance of slum upgrading. It has consequently formulated a specific slum upgrading strategy that is in line with national policies on poverty reduction and the global Millennium Development Goals (MDGs). KENSUP thus enjoys strong political will from the central government and has been allocated funds in the national budget and it has its own budget line. National and city targets have been set, and it is expected that the central government will develop enabling conditions – including regulatory, institutional, and funding frameworks – that seek to alleviate urban poverty and enhance the prospects for slum upgrading.

2.1 Government of Kenya's KENSUP Strategy⁽¹⁾

The GoK developed specific KENSUP Implementation and Financing Strategies in 2005 with its key stakeholders covering the period of 2005-2020. The GoK has chosen this time frame in line with the MDGs. Additionally, given the complexity of slum upgrading, a longer time frame allows ample time within which to monitor and measure the impact of the programme. It is important to examine in detail the GoK's KENSUP Strategies as they provide the foundation for the collaboration between UN-HABITAT and GoK in this initiative.

Goal and Objectives

The broad goal of the programme, according to the GoK, is to improve the livelihoods of people living and working in slums and informal settlements in the urban areas of Kenya through provision of security of tenure, housing improvement, income generation and physical and social infrastructure. To achieve this, the following objectives are identified:

- Create conditions that can sustain long term nationwide slum upgrading in Kenya;
- Harness political will, strengthen nascent forms of organisation of slum dwellers, and promote an inclusive process based on consensus and partnership;
- Address inappropriate policies that contribute to the growth of informal settlements and worsening of living conditions in slum areas;
- Consolidate, rationalise and institutionalise a broad range of shelter related policies including the creation of institutions and mechanisms for sustainable financing and development of shelter and related infrastructure;
- Operationalise concepts of decentralisation, partnerships, consultation, stakeholder participation, consensus building, leadership and the empowerment of beneficiary communities in upgrading projects;
- Develop and implement appropriate service and livelihood improvements including designs, delivery strategies and approaches;
- Strengthen and enhance capacity for research, planning, implementation, monitoring, evaluation and replication of shelter and human settlements programmes at the central government, local authority and community levels; *and*
- Address and mitigate the prevalence and impact of HIV/AIDS.

Implementation Strategy

In order to achieve the above goals, the KENSUP Implementation Strategy outlines several programmatic principles and values that are a pre-requisite for the success of the programme; such as decentralisation, sustainability, democratisation and empowerment, transparency and accountability, resource mobilisation, secure tenure, expansion and up-scaling, and partnerships and networks.

The Implementation Strategy also outlines a general development process how the projects are planned to unfold:

- Participatory preparation of settlement strategic development plan;
- Tenure regularisation;
- Installation of key infrastructure and services; *and*
- Shelter development:
 - Socio-economic mapping;
 - Cluster/neighbourhood identification;

¹. This chapter is based on the GoK's KENSUP Implementation and Financing Strategies, 2005.

- Organising and mobilising communities including formation of cooperatives;
- Engagement of communities to agree on the nature of affordable development;
- Relocation;
- House construction;
- Housing allocation; *and*
- Post construction estates and facilities management and maintenance.

Strategic Interventions

The Implementation Strategy further recognises the need for strategic interventions that focus on the following key aspects; community organisation and mobilisation, conflict prevention and management, city/town development strategies, tenure and residential security, social infrastructure, physical infrastructure, micro-finance and credit systems, income generation activities, shelter improvement, environmental and solid waste management, vulnerable households and disadvantaged groups, HIV/AIDS prevention and impact mitigation and capacity building.

Institutional Framework

The implementation of KENSUP relies on the cooperation amongst three key institutions; the government, the local authorities and UN-HABITAT, supported by the civil society and private sector organisations, agencies and companies. The role of the three key actors is to create an enabling environment for slum upgrading interventions to succeed, for instance through provision of secure tenure to slum residents, utilisation of community contracting to implement small infrastructure works in slums, reformation of building codes to enable incremental building by slum residents, facilitation of access to micro-credit for progressive building and promotion of public-private partnerships in order to improve living conditions.

Government of Kenya

Responsible for policy, land/tenure issues, legal framework, coordination, supply of resources, global communication, and monitoring and evaluation.

Local Authorities

Responsible for project implementation, coordination of civil society organisations, local level monitoring and evaluation, provision and maintenance of physical and social infrastructure, and municipal planning.

UN-HABITAT

Responsible for lobbying and provision of technical support to the programme partners, which take the form of provision of experts, seminars, training programmes, demonstration projects, assistance in the provision of core elements of infrastructure necessary for slum upgrading, and mobilisation of financial and other resources.

Complementary Institutions (private sector, civil society organisations, development partners, media)

The private sector provides opportunities for partnerships in business ventures and charitable activities in housing and infrastructure finance and construction, civil society organisations ensure community involvement, development partners offer international exposure, resource mobilisation mechanisms and building capacities, and the media is an important channel for advocacy, and the dissemination of information, education and communication.

2.2 Memorandum of Understanding between the Government of Kenya and UN-HABITAT

The Memorandum of Understanding (MoU) signed between the GoK and UN-HABITAT on 15 January 2003, has formed the basis of the collaboration between the two organisations. It sets out (together with the existing project documents) the terms and conditions under which UN-HABITAT collaborates with the GoK in carrying out the programme and therefore, it still provides the overarching mandate for UN-HABITAT's new KENSUP strategy. Consequently, this warrants a more detailed examination of the MoU.

The goals and objectives of KENSUP are clearly set out in the KENSUP Implementation Strategy and they are aligned with the ones outlined in the MoU. However, what is not mapped out in the KENSUP Implementation Strategy is a clear allocation of roles and responsibilities of UN-HABITAT and the GoK as set out in the MoU. According to the MoU, UN-HABITAT shall mainly provide:

- Services of advisory experts, UN Volunteers and consultants selected by UN-HABITAT;
- Seminars, training programmes, demonstration projects, expert working groups and related activities;
- Assistance in the provision of core elements of infrastructure necessary for slum upgrading;
- Any other service that may be agreed upon by the parties in the project documents; *and*
- Assistance in the mobilisation of financial and other resources for the programme, including the liaison with donor agencies that might support the programme, and cooperate with the GoK in the establishment of a Trust Fund known as 'The Slum Upgrading and Low Cost Housing and Infrastructure Fund'.

The MoU outlines that the GoK is responsible for the programme and the realisation of its objectives, including the execution and management of financial and material resources. UN-HABITAT complements and supplements the programme. The GoK is to provide for the execution of the programme:

- Local counterpart professionals;
- Buildings, and training and other facilities available;
- Equipment, materials and supplies available; *and*
- Financial counter-part contribution.



Photo © Saitbones/UN-HABITAT



2.3 KENSUP Update from the KENSUP Secretariat

The GoK has a team of experts who form the KENSUP Secretariat with a role to coordinate, manage, plan, implement and monitor the different activities. At present, it employs a Programme Coordinator, two Deputy Coordinators and seven Programme Officers, as well as support staff. The GoK is currently involved in the implementation of KENSUP projects in Kibera, Mavoko, Kisumu, and Mombasa and it is in the process of initiating activities in Eldoret. UN-HABITAT's involvement in KENSUP has focused on these projects and therefore, it is necessary to examine progress in implementation of these projects from the point of view of the GoK. The GoK is engaged in interventions in these cities that are different from the activities of UN-HABITAT as the aim is that the activities of both complement each other. The focus of UN-HABITAT's activities will be examined in the subsequent chapter.

Kibera

Kibera informal settlement in Nairobi was chosen to set the pilot in terms of settlement upgrading in the KENSUP. The GoK has achieved several goals in Kibera such as:

- Election of Settlement Executive Committees in Soweto East and Laini Saba villages;
- Socio-economic mapping of the whole settlement has been completed;
- Physical mapping, undertaken in collaboration with Ministry of Lands (Physical Planning Department) is underway;
- A draft Master plan for Kibera, based on the above data, is being finalised;
- Construction works of 600 relocation houses at the Langata decanting site near the Langata Women's Prison is currently underway. 60% of work has been done while the practical completion date for the project is targeting April 2008 (Presentation by Leah Muraguri on 3-5 June 2007);
- A road design approved and a tender awarded for the construction of 1.25km road (GoK funds the first 500m and UN-HABITAT 750m) beginning from Mbagathi Way. The full stretch of the road will cover 4km on completion in the final phase; *and*
- Four cooperatives formed with assistance from the Ministry of Cooperatives and registered in Soweto East. The groups were formed according to the zones in Soweto East.

Mavoko

The GoK is planning to build 400 low- and middle-income units in Mlolongo on the 22ha, which is part of the 100ha project area where UN-HABITAT is also implementing its self-help housing project. The designs for the 400 units are complete and the tender for the construction has been awarded and construction started in December 2007 after the official groundbreaking ceremony on the project site. The GoK contracted the Machakos District Cooperative Office to continue with the cooperative registration initiated by UN-HABITAT, which was finalised in August 2007. This registration process included pre-registration training for those groups that have not yet formed cooperatives and post-cooperative training for those cooperatives that are already registered.

Mombasa

The GoK in collaboration with the Municipal Council of Mombasa has set social and physical infrastructure facilities as their priorities. The designs and costs for these facilities have been completed. One of the facilities will be in Ziwa la Ng'ombe slum, where classroom blocks at a local primary school

will be added, and the access road to the dispensary is upgraded with street lighting and water reticulation alongside the road (Presentation by Leah Muraguri on 3-5 June 2007).

Kisumu

The Ministry of Housing has allocated approximately USD 400,000 to Cities Without Slums (CWS) in Kisumu for addressing priority areas identified in the action plans. The focus is on the construction of social amenities in the slums, such as schools, clinics, water and sanitation facilities, social halls and markets. For instance, it is planning to construct public toilets at the Manyatta Market. Drawings and bills of quantities have been prepared and the implementation is due to start before June 2007 in the following projects, each costing USD 70,000:

Manyatta

- Construction of public toilets at Manyatta Market;
- Fencing of Obinju and Magadi Primary Schools; *and*
- Rehabilitation of Kosawo social hall.

Kaloleni

- Completion of a dining hall at Mama Ngina children's home;
- Construction of an incinerator;
- Upgrading of selected access road;
- Construction of an early childhood (nursery) school; *and*
- Expansion of Agape orphanage home.

Bandani

- Upgrading of selected access roads;
- Rehabilitation of Bandani dispensary; *and*
- Sinking of a communal borehole.

Obunga/Manyatta

- Extension/rehabilitation of Manyatta Arab primary school;
- Access road to Kudho primary school; *and*
- Rehabilitation of Kudho primary school.

Nyalenda/Nyamasaria

- Clearance of Auji river;
- Upgrading of Kowino Kassagam school;
- Upgrading of selected access roads ; *and*
- Rehabilitation of Akado polytechnic .

The contractors for these tasks have already been selected and work is about to start (Presentation by Leah Muraguri on 3-5 June 2007).



Facilitate the implementation of innovative and replicable pro-poor slum upgrading models through pilot projects, delivery strategies, and approaches

3.1 Main Areas of Focus

UN-HABITAT has been involved in several KENSUP projects since 2002, and most of the projects focus on 1) mapping the target communities through situation analyses and socio-economic and physical mapping, 2) capacity building of the local authorities and the local communities, and 3) provision of other technical advice to the KENSUP partners. Some of the projects, on the other hand, have 4) pilot components that are aimed at finding suitable slum upgrading models for replication and upscaling.

UN-HABITAT is involved in the following KENSUP projects;

- Kibera Slum Upgrading Initiative, Nairobi;
- Cities without Slums, Kisumu;
- Sustainable Neighbourhood Programme, Mavoko;
- Mombasa Slum Upgrading Programme;
- Provision of Basic Services in Selected Slum Settlements in Nairobi – Kahawa Soweto;
- Kibera Integrated Water, Sanitation and Waste Management Project, Nairobi;
- Kiandutu Slum Youth Project, Thika; *and*
- Youth Empowerment Programme, Kibera and Mavoko.

Detailed descriptions of all the above projects are included in the appendix. Below, UN-HABITAT's main areas of focus and their strengths and weaknesses are examined.

Situation Analysis

A starting point for UN-HABITAT's involvement in slum upgrading is often a situation analysis where the conditions in slums are assessed. For example, in Kisumu, an in-depth analysis of the conditions in informal settlements, as well as an assessment of the past efforts to upgrade slums in Kisumu was undertaken through an inclusive and collaborative process. The published situation analysis examines the political, social, physical, economic, cultural and institutional factors that have an impact on Kisumu's slums. As a solution, it proposes an integrated approach to slum upgrading, singling out issues of security of land tenure, improvement of basic infrastructure, and housing, access to health and social services, and environmental management. It sets out priorities for each settlement, as well as a common action plan. Similar interventions have been undertaken at the inception of UN-HABITAT's other activities within KENSUP.

The strength of these interventions is their inclusive nature as all relevant stakeholders are on board. It is deemed critical that all those who have a stake in slum upgrading are part of the initial assessment process in order to ensure that

the follow-up interventions sufficiently reflect the realities on the ground. Additionally, it is imperative that stakeholders are fully involved from the start of the process, as this is the only way to ensure the sustainability of the intervention. A serious limitation of UN-HABITAT's activities in undertaking situation analysis is to translate the actual findings and recommendations into reality so that they do not remain as one-off exercises but they lead into concrete activities, and therefore, it is important that more efforts are made in order to ensure that this is done.

Capacity Building

The capacity building efforts of the local authorities have focused on improving their planning capacities to cater for the sprawling development of their cities. For instance, in Kisumu, the activities supported by UN-HABITAT focused on establishing a GIS lab at the Municipal Council of Kisumu aimed at improving revenue collection efficiency and transparency. The GIS Secretariat was trained on the use of the facility, and it was also equipped with appropriate technology to run it. In capacity building efforts, it is important that the interventions are followed through in order to ensure that they are sustainable and are able to maintain themselves after UN-HABITAT has left. This is not easy to do and therefore, there is a need ensure that potential longer-term interventions are factored in the budgets in order to allow for monitoring and possible follow-up interventions in order to ensure sustainability.

UN-HABITAT's activities also focus on building the capacities of the local communities, for instance in organising themselves and negotiating with the authorities about their needs and priorities. In the Sustainable Neighbourhood Programme in Mavoko some of the community representatives were trained on participatory methodology in developing and implementing Community Action Plans aimed at facilitating the communities to take charge of issues affecting them, such as garbage collection, security and HIV/AIDS.

Provision of Technical Advice

UN-HABITAT regularly provides technical advice to its KENSUP partners. For instance, in the Kibera Integrated Water and Sanitation Initiative, UN-HABITAT assisted in the design and supervision of the road construction works in order to ensure that the mobility needs of the community are considered; and to guarantee that the community is involved throughout the implementation phase. Further, UN-HABITAT collaborated in designing sanitation (two types of toilet blocks) and waste holding facilities (e.g. chemical waste, door to door garbage collection and recycling options), and on identifying suitable sites for construction of sanitation facilities. The provision of technical advice to UN-HABITAT's KENSUP partners is a key ingredient of UN-HABITAT's involvement in slum upgrading in Kenya as it has specialised expertise in the various areas relevant for slum upgrading and therefore, it is important that this is shared with the partners.

Pilot Components

In Mavoko, Mombasa and Kibera Integrated Water and Sanitation Initiative, the aim is to carry out demonstration projects and test new strategies contributing to slum upgrading. In Mavoko, UN-HABITAT is involved in the facilitation of a self-help housing project, which is a pilot aimed at finding suitable community-driven self-help housing models for replication and upscaling. In the Kibera Water and Sanitation Initiative, the aim is to test the use of water and sanitation as entry points to slum upgrading, and how it can reduce the cost of housing for slum dwellers. As UN-HABITAT's role is to

find new, innovative solutions to the housing crisis, it is important that it develops new and sustainable models for replication, and therefore, pilot projects are an essential component of UN-HABITAT's activities within KENSUP.

3.2 New Areas of Focus

As KENSUP has moved to the Human Settlement Financing Division within UN-HABITAT, the activities will have a slightly new focus as they will be guided by the Water, Sanitation and Infrastructure Branch, the Slum Upgrading Facility, and the Urban Finance Section. It is important to examine these new areas of focus in greater detail.

Water, Sanitation and Infrastructure Branch

UN-HABITAT's Water and Sanitation Programme is funded by the Water and Sanitation Trust Fund. Its main focus is improving delivery of water and sanitation in African and Asia through its regional programmes, Water for African Cities and Water for Asian Cities. It does so by promoting policy dialogue, information exchange, water education and awareness raising. It also monitors progress towards achieving the Millennium Development Goal (MDG) targets on improving access to safe water and sanitation and undertakes replicable model-setting initiatives, notably the Lake Victoria Region Water and Sanitation and Mekong Regional Water and Sanitation initiatives.

The highest priority for UN-HABITAT's Water and Sanitation programme is improving access to safe water and helping provide adequate sanitation to millions of low-income urban dwellers and measuring its impact. World leaders meeting at the United Nations Millennium Summit in 2000 committed themselves to attaining the MDG 7, target 10 which aims to *reduce by half the proportion of people without sustainable access to safe drinking water by 2015*. In 2002, the World Summit on Sustainable Development in Johannesburg added another target: *to halve by 2015, the proportion of people who do not have access to basic sanitation*.

The Water, Sanitation and Infrastructure Branch's aims and strategies are affecting UN-HABITAT's involvement in the KENSUP as it will bring a new focus of basic infrastructure provision, such as water and sanitation, as an entry point to slum upgrading.

Slum Upgrading Facility

The global Slum Upgrading Facility (SUF) is designed to mobilise domestic capital for urban upgrading activities. It does so by facilitating links among local actors, and helping prepare local projects for potential investment by international donors and financial institutions, and, potentially, investors in the global capital markets – with the specific intent of leveraging further, domestic capital for slum upgrading. Its key clients are municipal authorities, civil and non-governmental organisations, central government departments, as well as the local, private sector, including retail banks, property developers, housing finance institutions, service providers, micro-finance institutions, and utility companies. It was established in 2005 in response to General Assembly Resolution A/56/206 of 2001 strengthening the United Nations Habitat and Human Settlements Foundation.

The SUF comprises a small team of specialists on international and domestic financial institutions and financing models. Their task is to seek out and develop mechanisms to mobilise domestic savings and capital for affordable housing, and to liaise between financing institutions and the normative and technical cooperation activities of UN-HABITAT.

The Human Settlements Financing Division works with the Cities Alliance, a collaborative initiative of the World Bank Group and UN-HABITAT, to improve conditions of cities in the developing world. SUF works with international donor facilities such as the Private Infrastructure Development Group, international financial institutions including the World Bank Group, International Bank for Reconstruction and Development, International Finance Corporation and the Asian Development Bank. Other partners are United Cities and Local Governments (UCLG), Slum and Shack Dwellers International, and the UN-HABITAT Governing Council. With initial funding of about USD 1.8 million from the Governments of the United Kingdom and Sweden, the SUF identified potential operations in ten countries in Africa and Asia, and is now conducting pilot programmes in four selected countries - Ghana, Indonesia, Sri Lanka, and Tanzania. The SUF Pilot Programme has a budget of USD 18.8 million from the Governments of Norway, Sweden and the United Kingdom

The Facility is being designed to work with governments, people living in slums and local financial institutions to mobilise investments for slum upgrading. Its objective is to develop, test and apply new and innovative means of financing pro-poor urban development with a strong emphasis on the mobilisation of domestic capital.

SUF is influencing UN-HABITAT'S activities within KENSUP in a positive way. SUF is expected to lead the way in regards to the housing finance issues within KENSUP and it is at the forefront of developing UN-HABITAT's financing strategy for KENSUP. It is clear that housing cooperatives will play an important role and UN-HABITAT offers its full support to these processes within KENSUP.

3.3 Impact of UN-HABITAT's Activities

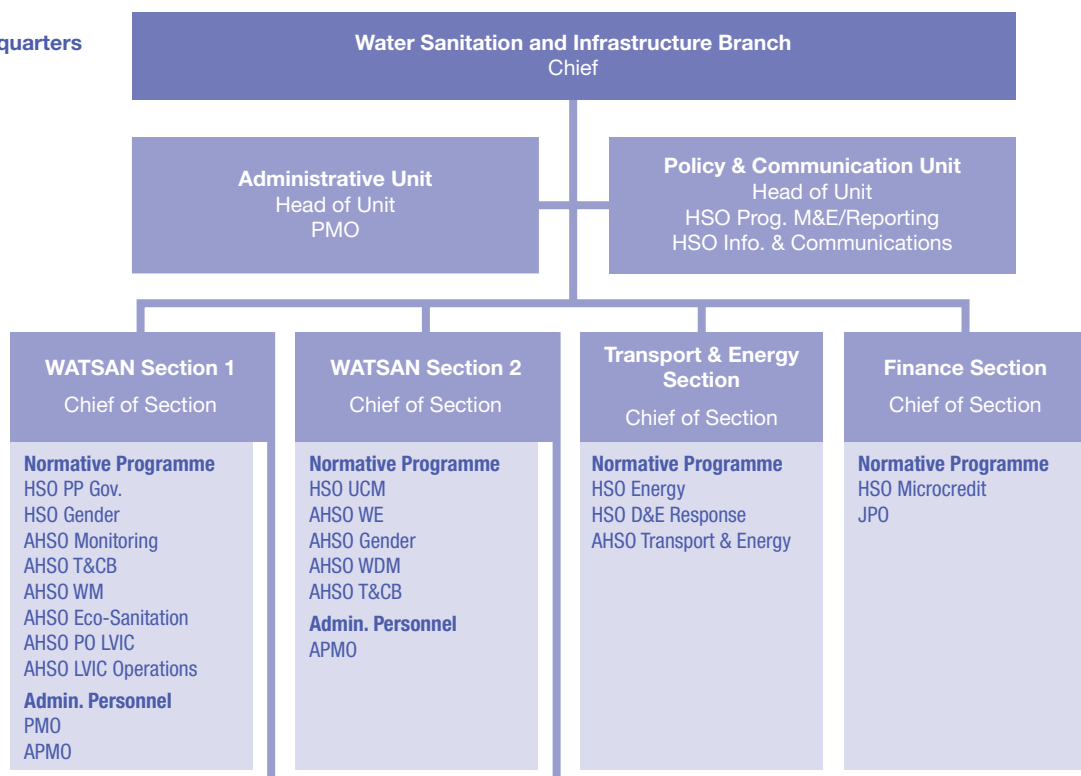
UN-HABITAT's activities within KENSUP have had a multiplier effect in Kenya. The support of UN-HABITAT and other donors has helped to increase the GoK's political commitment to slum upgrading. The GoK now has extensive KENSUP Implementation and Financing Strategies.

KENSUP has improved the awareness of the urban stakeholders that there is a need to change the living conditions of people living in slums, that it is not acceptable anymore that a majority of the urban population lives in extremely poor conditions. Further, as KENSUP requires collaboration between the relevant ministries in Kenya (such as the Ministry of Housing, Ministry of Lands, Ministry of Cooperatives, Ministry of Road and Public Works, Ministry of Local Government, Ministry of Gender, Sports and Culture), it has led to increased collaboration between the different ministries and other agencies in the slum upgrading process.

KENSUP has also improved the understanding and commitment of slum dwellers themselves to slum upgrading. They are now willing to contribute to the improvement of their living conditions, which is an important step. UN-HABITAT is hoping that slum dwellers now realise that in order to have a lasting improvement in their living conditions, they themselves need to participate and take responsibility for it. Additionally, UN-HABITAT's involvement has led to the establishment of the Kenya Slum Upgrading Fund (KENSUF), which has received an initial budgetary allocation of Kenya shillings 20 Million (USD 250,000). UN-HABITAT's involvement has also led to increased donor interest, particularly in the related land sector.

Water, Sanitation and Infrastructure Branch - Organogram

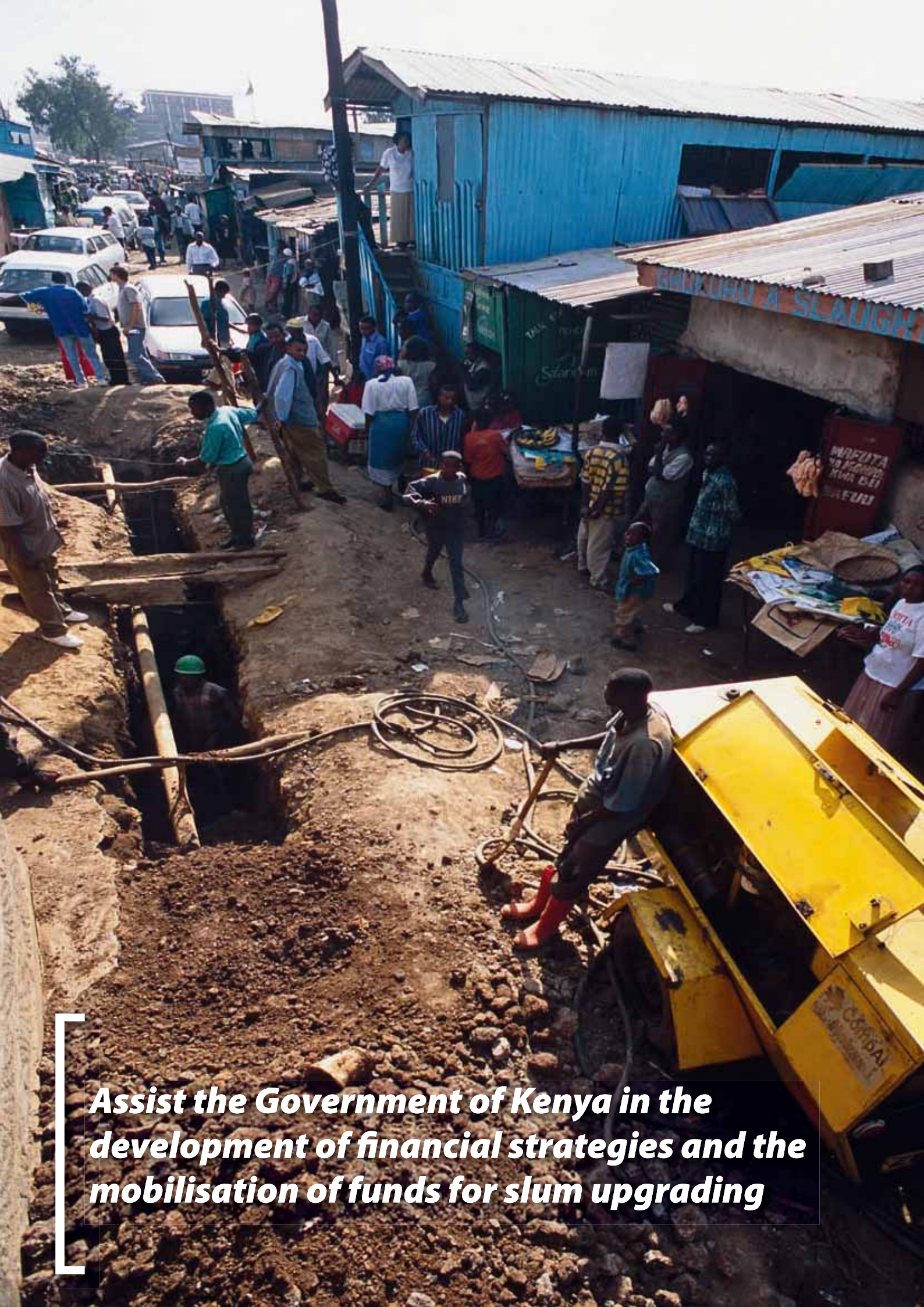
Headquarters



Field



AHSO	Associate Human Settlements Officer	PMO	Project Management Officer
CTA	Chief Technical Advisor	PO LVIC	Programme Officer Lake Victoria Initiative
D&E Respon	Disaster and Emergency Response	PP Gov.	Pro-Poor Governance
HSO	Human Settlements Officer	T&CB	Training and Capacity Building
JPO	Junior Programme Officer	WDM	Water Demand Management
M&E	Monitoring and Evaluation	WE	Water Education
NO	National Officer		



Assist the Government of Kenya in the development of financial strategies and the mobilisation of funds for slum upgrading

UN-HABITAT's New KENSUP Strategy

4

UN-HABITAT's KENSUP Strategy draws its main concepts and principles from the Habitat Agenda, which guides the agency's activities; the Millennium Development Goals (MDGs); the Government of Kenya's KENSUP Strategy; and the principles from the Water for African Cities II Programme.

4.1 UN-HABITAT's Mandate

Habitat Agenda

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 cycle of poverty, homelessness and unemployment and called on governments to support community-based, private and non-governmental organisations, and to promote programmes that integrate credit, finance, vocational training and technological transfer programmes in support of small enterprises in shelter development.

The Habitat Agenda enshrines the enabling approach to shelter with a focus on principles such as sustainable urban development, adequate shelter for all, access to safe water and sanitation, social inclusion, environmental protection, gender equality, capacity building, broad-based partnerships, decentralisation and good urban governance⁽²⁾.

Millennium Development Goals

In September 2000, governments committed themselves to MDGs entailing a pledge to combat urban poverty with an objective of making major improvements in the lives of 100 million slum dwellers by the year 2020. Goal 7, 'Ensuring environmental sustainability', and its Targets 10 and 11 are particularly relevant for UN-HABITAT; Target 10 aims to 'Halve, by 2015, the proportion of people without sustainable access to safe drinking water and basic sanitation', and Target 11 'By 2020, to have achieved a significant improvement in the lives of at least 100 million slum dwellers'. These targets emerged in response to some of the most pressing challenges of the millennium; namely increased urbanisation of poverty as at present 1 billion of the world's population live in slums and many of them lack access to adequate housing, water and sanitation.

The United Nations System assigned UN-HABITAT the responsibility to assist Member States to monitor and gradually reach Target 11 of the MDGs. The main dimensions of improving the lives of slum dwellers refer to access to water and sanitation, secure tenure, durability of housing and ensuring sufficient living

² UN-HABITAT, *Habitat Agenda*, June 1996

area. These objectives are to be achieved by guaranteeing accountable urban governance, promoting a leading role for local authorities, supporting decentralisation and local democracy, building partnerships to deliver basic services, empowering the urban poor, developing innovative financial systems, motivating leadership at all levels, and funding large-scale slum upgrading.

It is clear that the Habitat Agenda and the MDGs are compatible and complement each other as their goals are the same. Further, UN-HABITAT's KENSUP strategy is compatible with the Habitat Agenda and UN-HABITAT's strategic vision, as well as being in line with the MDGs. The strategy has a strong focus on improving urban governance, promoting broad-based partnerships, empowering the urban poor, and building capacities of all the actors to participate in sustainable urban slum upgrading. It also acts as a tool to improve the slum dwellers' access to housing, water and sanitation in Kenya. Therefore, KENSUP is an important tool to meet Goal 7's Targets 10 and 11.

UN-HABITAT's Medium Term Strategic and Institutional Plan

UN-HABITAT's new Medium Term Strategic and Institutional Plan for 2008-2013 has a strategic goal to support governments and development partners to achieve sustainable urbanisation through promotion of policy and institutional reform and impact at scale. The role envisaged for UN-HABITAT is a catalytic one that emphasises partnerships and the development of a new enhanced normative and operational framework. The plan further sets out five mutually-reinforcing focus areas as an integrated approach to sustainable urbanisation; 1) advocacy, monitoring and partnerships; 2) participatory urban planning, management and governance; 3) pro-poor land and housing; 4) environmentally sound basic urban infrastructure and services; and 5) strengthened human settlements finance systems. UN-HABITAT's KENSUP interventions fall under three of these focus areas, namely areas 2, 4 and 5, and they will guide the KENSUP interventions.

Water for African Cities II Principles

The Water for African Cities is a programme within UN-HABITAT's Water, Sanitation and Infrastructure Branch, and it aims to reduce the urban water crisis in African cities through efficient and effective water demand management, minimising the environmental impact of urbanisation on freshwater resources and boosting awareness and information exchange on water management and conservation.



The programme is part of the wider efforts of the agency to meet the MDG targets of halving the number of people without access to safe water and sanitation by 2015, and promoting environmental sustainability. It also seeks to create an enabling environment for pro-poor investment. UN-HABITAT's KENSUP strategy is influenced by the following principles of the Water for African Cities programme; pro-poor water governance, urban catchment management, water demand management, gender mainstreaming and training and capacity building.

4.2 Objectives

The programme development objective coincides with that of the GoK. The main development objective is to improve the livelihoods of people living and working in slums and informal settlements in the urban areas of Kenya through housing improvement, income generation, and the provision of security of tenure and physical and social infrastructure. More particularly, the following specific objectives can be outlined;

- Promote and facilitate broad-based partnerships utilising consensus building and consultation among all the stakeholders.
- Build institutional and human resource capacities at local and national levels for the sustainability of slum upgrading interventions.
- Facilitate the implementation of innovative and replicable pro-poor slum upgrading models through pilot projects, delivery strategies, and approaches.
- Assist the GoK in the development of financial strategies and the mobilisation of funds for slum upgrading.
- Undertake collection and dissemination of information for the promotion of sustainable slum upgrading practices and the provision of linkages to global best practices.

4.3 Guiding Principles

UN-HABITAT's KENSUP Strategy is based on several strategic principles and interventions elaborated below.

Delegated Decision-Making

A key concept of KENSUP is that of delegated decision-making, which means getting decision-making focused to the lowest level, which is compatible with efficiency and equity goals. This requires a much greater role for local authorities, often to the distrust of the central government. The principle of delegated decision-making seeks to guarantee accountability and efficiency in the delivery of services. Capacity building is important in this context so that the local authorities are capable of taking care of their new responsibilities and this is the rationale of why KENSUP has such a strong emphasis on the capacity building of the local authorities.

Additionally, delegated decision-making leads to new forms of partnerships between central and local governments, and between local governments and communities. Apart from social benefits

inherent to this approach, the economic benefits are obvious. It can draw on local knowledge, expertise, insights and solutions to address locally identified priorities. A neighbourhood-scale project can be designed, initiated and implemented in a shorter time frame and with significantly enhanced degrees of local participation than larger scale initiatives. Its benefits can be reaped sooner and this represents in itself a saving both in time and in other resources.

Capacity Building

One of the main aims of KENSUP is to build the capacities of (a) the local communities to take control of their development; and (b) the local authorities to deliver basic urban services and in general respond to the needs of their constituents in a participatory manner. Hence, KENSUP recognises the need to build the capacities of both, the community sector and the local government to achieve sustainable interventions.

More importantly, UN-HABITAT recognises that there is a need to address the *relationship* between the community and government sectors because this is the only way capacity-building efforts can be sustainable. It is acknowledged that there is a need for favourable institutional structures if true social change is desired and that it is not possible to rely solely on the community sector or the government actors, but rather, there is a need for cooperation and synergy between them.

For instance, in the Sustainable Neighbourhood Programme in Mavoko, training in sustainable house construction, cooperative formation, and business development form an integral part of the programme. The training will enable community members to manufacture cheap building materials, build their own houses and participate through mutual aid in the construction of services and infrastructure. In addition, the programme recognises that housing construction and development require financial investment, which slum dwellers generally cannot afford due to their low incomes and high prices for land and therefore, it trains community members in cooperative formation and management.

Inclusive Participation

UN-HABITAT emphasises that all urban actors who have a stake in slum upgrading are involved in the process. Particularly, UN-HABITAT attempts to ensure that community members are involved in slum upgrading as this is considered as their basic right, as they must have a say in urban processes that shape their lives. KENSUP attempts to ensure that relevant community members are in charge of all stages of the project. KENSUP pays particular attention to those who have been previously excluded and those who lack formal representation. For example, during the socio-economic mapping in Mavoko, separate focus group discussions and interviews were held for men and women in order to ensure that women did not feel intimidated in disclosing issues affecting them. The aim of KENSUP is inclusive participation that acknowledges the diversity of actors and does not view the communities as comprised of homogenous interests. The ultimate aim of participation is empowerment, capacity building and sustainability.

Sustainability

Another key aim of KENSUP is to achieve social, environmental and economic sustainability. Since households are not only major consumers of natural resources, energy and water but also major generators of waste, the building of sustainable cities should start from the neighbourhood level. In addition to environmental sustainability, a key aspect of the KENSUP is economic sustainability, which



Photo © UN-HABITAT

ensures that poverty reduction activities are integrated with shelter programmes. It is important that sustainability is on the agenda, because if it is not, the intervention will remain as a one-off attempt only able to bring short-term changes. KENSUP recognises that this can be ensured when the process is 'owned' by the communities and government actors, which is further facilitated by broad participation. In addition, capacity building of the community players, as well as the local authorities will enhance the social sustainability of the process.

Affordable Housing Finance

Most of the urban poor are excluded from access to sustainable housing finance that would allow them to purchase their own houses. The majority of urban households either rent rooms or build shacks on un-serviced land. Conventional housing finance mechanisms do not favour the urban poor as they do not allow for incremental, self-help housing solutions. They also do not promote rental housing which represents a large part of effective demand. The cooperative housing approach has a key role in helping to respond to this (Speech by Mrs Anna Tibaijuka, April 2007).

UN-HABITAT recognises that there are several advantages of saving communally; a cooperative is highly participatory in its management; it is a good entry point for other shelter related issues, such as sanitation and waste management; and because a cooperative allows collective land acquisition, useful partnerships are likely to emerge with local authorities in the provision of services. Lastly, participation in cooperative saving schemes brings the community together as it works towards a common goal, and hence it contributes to social integration and cohesiveness.

Partnerships

Slum upgrading requires partnerships of all the key urban stakeholders in order to have a lasting impact. It is important that relevant governmental departments learn to coordinate and collaborate. Further, there is a need to balance the interests of the local and central government to address the often-problematic relationship between them. This is all part of striving towards good governance.

Yet KENSUP does not only facilitate partnerships within and between the local and central government, it also facilitates partnerships between the local government and the civil society, as well as with the private sector. Hence, KENSUP promotes broad-based partnerships, which allow the participants to alleviate their weaknesses by utilising strengths of others.

A new approach to shelter acknowledges that in addition to their skills, time and willingness to work, slum dwellers possess much more attributes - they are a community of people who often have strong ties to one another, they share the same aspirations, and are willing to make significant sacrifices to improve their living conditions. KENSUP believes that broad-based partnerships promote community participation, capacity building, empowerment, and efficient resource mobilisation.

Provision of Basic Infrastructure as an Entry Point to Slum Upgrading

Provision of basic infrastructure, such as water and sanitation, are key components of slum upgrading. It is widely accepted that the development of an integrated infrastructure system for newly established settlements and in slum upgrading programmes, accounts for as much as 40% of the overall cost of the settlement. The logic is clear; if we can reduce the cost of infrastructure through integrated housing and infrastructure development, it will make housing more affordable for the poor.

UN-HABITAT's basic infrastructure interventions would constitute three phases. The first phase undertakes physical infrastructure improvements within the selected project area, linked to income generation. At the same time, pro-poor governance will be developed, which will have a positive impact by building confidence within the participating communities. The second phase will focus on refining the governance structures developed and stimulating investment from all sources. The third phase will focus on full-scale replication and scaling up in the selected communities.

Communication

UN-HABITAT emphasises communication as an essential tool to effective and efficient interventions within KENSUP. This applies to communication at all levels, both internal and external. Firstly, good communication internally within UN-HABITAT is important in order to avoid duplication of tasks, to ensure UN-HABITAT presents itself as a unified front to its outside partners, as well as to ensure constructive exchange of ideas and information within the organisation. All of these can be facilitated with regular KENSUP meetings with all the staff present, as well as exchanges of update e-mails and informal discussions. Secondly, KENSUP promotes efficient and effective communication with all of its partners, from the Ministry of Housing to the participating communities. It is necessary to have regular meetings with the KENSUP Secretariat at the Ministry of Housing aimed at keeping both sides up-to-date with developments in the programme. Further, it is necessary to keep the participating communities and the local authorities well informed of all the developments in the projects, in order to



maintain their commitment. It is evident that the participating communities and the local authorities are key stakeholders in the programme and therefore, it is their right to be fully informed. It is recommended to have UN-HABITAT staff based on the ground, which enables them to be in a position to be able to respond to emerging queries and issues. Moreover, legitimate mechanisms and structures should be created in each of the project components that allow for regular communication between all the partners, including an avenue where all the partners are able to freely voice their concerns.

Good Governance

UN-HABITAT recognises that good governance is a prerequisite for successful slum upgrading interventions. Governance refers to the relationship between civil society and the state, to the process of decision making and the process by which decisions are implemented. Government is only one actor in the governance relations, and hence, governance commonly refers to the relationship between civil society and the state and central to it is the idea of credibility, of the governing institutions and their representatives (McCarney *et al.* 'Towards an Understanding of Governance: The Emergence of an Idea and its Implications for Urban Research in Developing Countries', 1995). Good governance, on the other hand, refers to governance that is characterised by the following; participation, consensus orientation, accountability, transparency, responsiveness, effectiveness and efficiency, equitability and inclusiveness in accordance to the rule of law.

Gender Awareness

A gendered awareness is vital for the understanding of how urban societies function as gender divisions are found at every level of any society. It is accepted that men and women use and experience urban areas differently. Gender is understood to refer to the social relations between men and women, women and women, and men and men in a given society, meaning that these relations are context specific. However, gender relations do not exist in a vacuum but they intersect with other social relations, such as class, ethnicity, age and race. Gender relations are socially constructed and they do not remain fixed but are constantly being recreated and redefined. For our purpose, if our interventions are to be successful, they have to cater for the different needs and interests of both, men and women. Hence, it is recommended that gender awareness must permeate all of the activities of the programme, and it should not be dealt with as a separate 'women's category'. For instance, men and women use housing differently due to their diverse roles which translate into different needs in housing. If a housing project is to benefit both men and women, a clear understanding of the different gender roles and strategies is needed.

Public Private Partnerships

UN-HABITAT acknowledges that public private partnerships in urban services are essential when we realise that the public sector and the NGOs cannot meet all the needs of the urban poor. The public private partnerships between government and the private sector do not imply that government retreats from its role in urban community development, but rather, redefines its role in an arrangement where the work of the public sector is complemented by that of the private sector and *vice versa*.

KENSUP can be an important tool in facilitating these types of partnerships as they have a tendency to bring about a more beneficial type of development for all parties involved. The savings for governments are considerable, and the benefits to the communities are substantial when and where the state has shifted its orientations from being a "controller" to a "service provider".

4.4 UN-HABITAT, Partners and their Roles

Promotion of broad-based partnerships is one of the key concepts of the Habitat Agenda and UN-HABITAT's Medium Term Strategic and Institutional Plan for 2008-2013 and therefore, it is at the centre of UN-HABITAT's activities. In order to have meaningful interventions, it is necessary to work in partnership with all the urban actors who have a stake in slum upgrading. It also recognised that the partners have different roles depending on their capacities and interests:

UN-HABITAT

UN-HABITAT recognises that KENSUP is a programme of the GoK, and that the role of UN-HABITAT is to complement and supplement the programme as UN-HABITAT does best: by providing technical advice through its special expertise in human settlements development and slum upgrading, in mobilising, finances and in undertaking training and capacity building, as per the Memorandum of Understanding signed in 2003, which guides all of UN-HABITAT's collaboration with the GoK. Additionally, UN-HABITAT has a role in developing pilot projects and testing their applicability in order to find sustainable and cost-effective solutions to slum upgrading that the GoK can utilise in its efforts to meet the goals of the KENSUP. This is particularly important now as UN-HABITAT is testing the suitability of applying the provision of water and sanitation as an entry point to slum upgrading. Lastly, UN-HABITAT plays a role in documenting the experiences in Kenya and analysing and learning from them, which can be utilised in the future activities of both UN-HABITAT and the GoK.

Government of Kenya

The GoK has the responsibility for the execution and management of KENSUP and therefore, it takes care of the land/tenure issues, coordination, resource supply, and monitoring and evaluation. Additionally, it is responsible for the legal and policy framework, as it is up to the GoK to develop the regulatory, legal and institutional framework and the enabling conditions more favourable for slum upgrading and the alleviation of poverty.



Local Authorities

UN-HABITAT believes that involving the relevant local authorities is crucial for a successful intervention. It is within the mandate of a local authority to carry out project implementation taking place within the municipality, to undertake urban planning functions, and to provide and maintain physical and social infrastructure. It also has a role in developing the regulatory framework and service provision concerning slums. Hence, local authorities are key actors in urban management and governance and without their involvement, slum upgrading cannot succeed.

Participating Slum Communities

UN-HABITAT recognises the participating slum communities as equal partners in the programme. As KENSUP is geared towards improving the livelihoods of people living and working in Kenya's slums, without working together with them and having their inputs as they are the ones who know what they need (and who can guarantee the programme is owned by them, hence ensure sustainability), the programme cannot succeed.

Civil Society Organisations

Civil society organisations have a lot of expertise on different issues relevant to KENSUP, whether technical or community-based experience. They are also well placed to mobilise communities and represent their interests. Their involvement will enhance participation and help mobilise slum dwellers around common goals and promote consensus building for slum upgrading.

Private Sector

KENSUP recognises that there is a need to look for innovative ways of involving the private sector in slum upgrading. The private sector can also demonstrate its corporate social responsibility towards its workers who live in slums by taking part in KENSUP.



4.5 Necessary Pre-Conditions for Success

There are a variety of pre-conditions, which need to exist within the operational environment if the KENSUP interventions are to be strategic and successful. The whole KENSUP process is dependent on the political and institutional support of the government and other involved partners during the whole process. In addition, a relative political and social stability in the region where the activities take place is essential, and available funding to implement the programme is needed.

Political Commitment

It is essential that the programme enjoys the political will and commitment of the GoK and the participating local authorities. The local authorities are essential in the implementation phase of each of the projects as it is within their mandate to carry out project implementation.

An important first step on the part of the GoK is that it recognises that slums exist and that slum upgrading is the way to address the poor living conditions in them. Additionally, the GoK has taken several steps in the past few years in order to initiate institutional structures that promote broad-based stakeholder participation at the municipal level. For instance, initiatives, such as the Local Authority Service Delivery Action Plan, are important in ensuring more inclusive local planning processes that specifically encourage community participation. These are viewed as positive steps, also for KENSUP, as they set a positive regulatory framework for it. It is expected that the promise of enabling slum dwellers to be actively involved in improving their own livelihoods is translated into reality, rather than remaining as mere rhetoric.

Economic Climate

The GoK has indicated that the total budget for the implementation of KENSUP for 2005-2020 is Kenya shillings 884 billion (GoK, KENSUP Implementation Strategy, 2005). It is essential that these resources are actually available, which requires a positive economic climate, a stable political climate, as well as that corruption remains at check. Kenya has experienced improved economic performance in the past few years, for instance the GDP grew 5.8% in 2005. Tourism, construction, transport and communications are the fastest growing areas of the economy and are driven by private capital, not donor funds.

The economy is expected to grow 5% in 2007, but the government is facing pressures as it implements social programmes and finances the elections in 2007, particularly, when it is not able to call for substantial aid funds for its assistance. As the negotiations on direct budgetary support with the US and the EU failed (due to disagreements over corruption and other issues), the 2007 budget is left with a sizeable deficit, which might have a negative impact on the current programmes to be financed by the government, such as KENSUP.

Regulatory Framework

The regulatory framework in general has a negative impact on the livelihoods of slum dwellers in Kenya as it is complex, bureaucratic, inefficient and prone to corruption. Slum dwellers usually operate on the outside of the regulatory frameworks as majority of their activities, whether economic, social or political, take place outside of the official, 'formal' sphere. For instance, there are over 30 statutory land acts addressing land issues making procedures to acquire land unnecessarily complex. These need to be simplified if slum dwellers are to gain more secure rights to land.

Therefore, the GoK has to have the political commitment to begin a process of transforming the regulatory frameworks more favourable towards the 'informal' activities of slum dwellers. What is also important is that proper decentralisation policies are implemented that ensure that local authorities have the necessary financial and human resource capacities to carry out their new tasks.

4.5 Development Approach

The role of UN-HABITAT in KENSUP is to complement and supplement the activities of the GoK, which is the main executor and manager of the programme. UN-HABITAT's role is clearly defined in the MoU and it focuses on giving technical advice, for instance through conducting situation analyses and socio-economic and physical mapping

of the target communities, undertaking training, providing assistance in the provision of core infrastructure works, and testing new approaches through pilot projects. It is within these parameters that UN-HABITAT's development approach and activities in KENSUP are defined and formulated.

The approach to slum upgrading is fully tested through the implementation of pilot projects and it is to be integrated and holistic as the aims are multiple. Firstly, UN-HABITAT offers its technical advice in undertaking a comprehensive assessment of the pre-intervention conditions with the aim of conducting situation analyses, socio-economic and physical mapping of the target communities and their living environments; secondly, the aim is to use the development of an integrated infrastructure system as an entry point to slum upgrading (for instance through the provision of water and sanitation) in order to reduce the cost of housing; thirdly, this is combined with the construction or upgrading of the existing housing stock; fourthly, the aim is to link the above developments to capacity building and income generation activities where the slum dwellers are trained in new skills, such as production of building materials and building components so that they can take charge of their own development. Participation in cooperative savings schemes also plays an important role in empowering slum dwellers in accessing housing finance that generally is beyond their reach. Hence, the aim is that slum dwellers are able to improve their livelihoods. Fifthly, these activities go hand in hand with improving the capacities of local authorities in developing their planning capacities to cater for the sprawling development of their cities. Additionally, supporting the capacity of local authorities to support and coordinate community-led development in the provision of shelter and infrastructure is necessary. Hence, the approach is holistic as the aim is to tackle all the above five aspects simultaneously. The aim is to improve local governance and strengthen the capacity and the role of the informal and the community sector in developing sustainable neighbourhoods.

The aim is to link the demand for improved infrastructure and housing to the need for work and incomes. The concept of participating in infrastructure or housing provision, or starting one's own small construction company, is appealing as it is the essence of what slum dwellers have been doing all along – constructing their houses themselves, and creating employment in the informal sector. Where this has not been possible, the determination and resilience of slum dwellers is demonstrated by their willingness to pay high rents for the poor quality structures they occupy, not to mention the high costs they have to pay for services, such as water and electricity. Hence, the aim is to link infrastructure and housing provision with capacity building and income generation activities, which makes the approach holistic and integrated.

4.6 Implementation Strategy & Methodology

Undertaking Situation Analysis and Mapping of Target Communities

UN-HABITAT can offer its expertise through undertaking situation analyses and socio-economic and physical mapping of the target communities. The aim is to analyse the existing situation in slums and the effects of past interventions. This is the starting point for slum upgrading interventions as they build on the analysis and consultation in order to prepare the groundwork for the implementation phase. It will normally begin with systematic social mapping including enumeration of slums (consultations with structure owners, tenants, and local authorities), participatory assessment of basic services, land, shelter, and employment, followed by physical mapping that includes acquisition of imagery and aerial photos and examination of trunk infrastructure. Tools and practices will be developed, tested and demonstrated by the partners. Slum dwellers are involved throughout the processes in establishing the situation of their living conditions. Once completed, the analyses are used as the basis for any further plans and actions.

Strengthening Civil Society through the Establishment of Project Management Committees (such as Water Management Committees)

Central and local governments have been unable to provide shelter and related services for the growing number of slums. Therefore, a crucial idea is the sustainable strengthening of the civil society. There is a need to empower and enable people to organise themselves to take charge of their own needs related to housing, services and infrastructure. The institutional sustainability of the different projects is achieved through the establishment of project management committees that will monitor and coordinate the implementation of project activities at the local level. It is important for communities to organise themselves to be involved in the construction, operation, and maintenance of the facilities provided in order to gain maximum benefits and ensure that all running costs are met.

It is essential that communities appreciate the role of sound management to ensure sustainability of interventions. It is necessary to provide training for groups taking part in such committees. Ideally, each participating neighbourhood will establish its own project management committee, a building association, a water management committee or a solid waste management committee (as appropriate depending on the related activities), and eventually all neighbourhoods will be united under umbrella associations representing all low-income neighbourhoods. Therefore, government should acknowledge community organisations as implementing partners in urban development





Photo © Sara Candracca/UN-HABITAT

and housing. There are numerous examples proving that community organisations, if properly organised and supported, can be responsible for many aspects related to development of sustainable neighbourhoods, including construction of roads, water supply, sewers, and solid waste disposal. Strong and well-organised community organisations constitute the key to sustainable urban development.

Providing Technical Advice to Partners

UN-HABITAT has a vast amount of technical expertise in areas relevant to slum upgrading. Support and substantive inputs are provided in those areas drawing from established tools and participative methodologies to help develop and enhance opportunities to increase access to livelihoods, shelter, security of tenure, and improve social and economic integration amongst other concerns for slum communities.

Empowering Community Members through Training

To achieve sustainable urbanisation, training community members in practices, such as construction, water supply, sanitation and solid waste lies at the core of this programme. The training will enable them to manufacture cheap building materials, build houses and participate through mutual aid in the construction of services and infrastructure. For instance, in Mavoko, the aim is to increase the skills and capacity of low-income communities in plumbing and sanitation, infrastructure development, waste management and the production and use of eco-building materials. Additionally, low-cost builders' associations, and construction and assets committees are established in order to ensure sustainability.

Community members will also be assisted in drafting business development plans towards setting up small-scale enterprises. The ultimate aim of the training is to empower community members to start up income generation activities (or to support already existing activities), which UN-HABITAT views as an essential part of the holistic approach to slum upgrading where income generation activities go hand-in-hand with upgrading. UN-HABITAT fully supports community contracting where community members are hired to do the construction work using labour-based methods offering job opportunities for the community members. This, in turn, enables them to earn an income, and hence to improve their livelihoods, or to invest in improved housing and infrastructure.

Empowering Community Members through Cooperatives

Joining cooperatives allows slum dwellers to access housing finance that is usually beyond their reach as conventional housing finance mechanisms do not favour the urban poor as they do not allow for

incremental, self-help housing solutions. Forming cooperatives is also recommended as they are highly participatory in their management; they are good entry points for other shelter related issues, such as sanitation and waste management; and because a cooperative allows collective land acquisition, useful partnerships are likely to emerge with local authorities in the provision of services.

When dealing with communities and cooperatives, it is of paramount importance to include a specific focus on women, their needs and roles in housing and infrastructure development and service provision. In low-income neighbourhoods, women predominantly remain the managers of homes and neighbourhoods, and the providers of services and hence, their involvement is crucial.

Supporting Small-Scale Firms and Building Material Producers

Governments and local authorities have mainly worked with formal sector builders, ignoring the potential of self-help builders, artisans and community organisations. Activating and harnessing the informal construction sector in the provision of shelter, services and infrastructure, would not only stimulate employment and delivery of housing and infrastructure, it would also result in savings for the government because community construction has proved to be considerably cheaper than the traditional approach whereby an established contractor is selected to carry out the contract.

Most residential construction in Africa is carried out by local artisans and community-based contractors. They are usually employing labour-based methods of construction, thus producing job opportunities for the local residents. These firms usually operate informally in slum settlements, as they have no licenses to operate and because the construction in which they are involved does not comply with building and planning laws. While they are often more cost-effective than the established contractors, they are often unable to bid for larger scale contracts because of many barriers.

Small-scale enterprises producing building materials are often viable in comparison with large-scale firms, because they can continuously adjust the type of products and the production process according to the demand. However, the growth of small firms is constrained by a number of factors including; lack of access to credit, building standards that forbid the use of locally produced materials, constraints in the regulatory framework, lack of technical knowledge of proven low-cost housing technologies and alternative building materials, and lack of equipment.

Promoting and Facilitating Broad-Based Partnerships

The programme is implemented through partnership arrangements. The aim is to create an enabling environment for partnerships to flourish. UN-HABITAT facilitates partnerships within and between the local and central government, in order to improve their often strained relationship. It also facilitates partnerships between the central and local government and the civil society, as well as with the private sector. Hence, KENSUP promotes broad-based partnerships, which allow the participants to alleviate their weaknesses by utilising strengths of others. UN-HABITAT's role is to facilitate these partnerships by bridging the gap between the different actors by bringing them to the same negotiation table and support the collaboration and cooperation through mediating their differences.

Assisting in Setting up and Developing Institutional Programme Structures

The GoK is setting up institutional structures within each KENSUP project and UN-HABITAT offers its assistance in these processes. It is essential that each project component has its own institutional structure in order to ensure that all the stakeholders have representation and they feel like they have

a place where they can meet and voice their queries and concerns on a regular basis. UN-HABITAT can utilise its broad base of partners for the benefit of the programme.

Implementing Pilot Projects

UN-HABITAT is to test new and innovative slum upgrading strategies through pilot projects in order to find sustainable and fresh approaches to slum upgrading. The pilots will enshrine the key concepts outlined in this strategy document and will develop them further in order to test what is suitable in the Kenyan context.

Strengthening the Role and Capacity of Local Authorities

Strengthening institutional capacities at the local authority level to enable them to support and facilitate infrastructure delivery and community-driven housing forms an important part of the programme. It is necessary to address the local authorities' capacity to plan and cater for the developments occurring in their cities and towns, which, for instance, involves training tailored according to the specific needs of each participating local authority.

The capacity building interventions can be technical in improving urban planning functions, and/or budgeting capacities of the local authority or it can be human or institutional in improving the ability of the local authorities to participate in governance processes. Capacity building is not perceived merely as a technical exercise but it is also improving the capacities of communities to empower themselves in order to make their voices heard to demand better accountability. It is also the local authorities whose capacities need to be built so they can facilitate, as well as to improve their own accountability, transparency and responsiveness.

There are many ways in which municipalities can support people-driven and sustainable development, such as: 1) Ensuring sufficient land for new housing; 2) Eliminating constraints imposed by the regulatory framework which discourage the development of small-scale sectors; 3) Facilitating the participation of small-scale firms and community groups in public works through community contracts; 4) Providing strategic plans and technical manuals, for the construction of services and infrastructure; 5) Establishing technological support for communities and self-help builders; and 6) Setting up effective cost recovery systems.

Providing Infrastructure

UN-HABITAT wants to test whether the provision of basic infrastructure, such as water and sanitation, can contribute to a sizable reduction of the costs of housing in slum settlements. It is widely accepted that the development of an integrated infrastructure system for newly established settlements and in slum upgrading programmes, accounts for as much as 40% of the overall cost of the settlement. Therefore, an important part of UN-HABITAT's implementation activities focuses on the provision of basic infrastructure, be it water, sanitation, roads or electricity.

Monitoring and evaluation

Monitoring and evaluation is an integral part of KENSUP and regular monitoring and evaluation will take place within each of the project components.

4.7 Expected Results

Local Authority Level

The capacity of local authorities will be built in institutional, legislative, financial and implementation frameworks as a strategic contribution to slum upgrading. Through the socio-economic and physical mapping exercises, local authorities gain information about the existing conditions in the slum settlements, which will enable them to prioritise and plan for the way forward. Their awareness of slum upgrading will be drastically improved and therefore, slum upgrading will gain greater recognition within each municipality, which is hoped to translate into enhanced commitments.

In general, KENSUP projects are expected to positively influence the capacity of local authorities to facilitate slum upgrading and related processes, which will enhance their accountability, transparency and responsiveness. The project will improve their technical, political, institutional and human resource capacities, for instance, by encouraging the participation of small-scale firms and community groups in public works through community contracts.

The technical capacity building efforts are hoped to lead to improvements in physical planning, implementation and budgeting capacities. The long-term goal is to influence the policy framework by creating enabling conditions to support slum upgrading as well as possible innovative local finance measures. The local authorities will also learn new skills and gain knowledge on how to support people-driven and sustainable development within their municipalities, which will contribute to the improvement of their relations with their constituents. The enhanced dialogue between the local authorities and the local communities should also result in greater compliance in tax payments, adherence to rules and regulations and hence, improved revenue for the local authorities.

Community Level

It is expected that KENSUP will improve the livelihoods of the people living and working in Kenya's slums. This is achieved by empowering slum dwellers socially and economically through cooperatives, building associations, project management committees etc. The different KENSUP projects offer training opportunities for slum dwellers in sustainable practices, such as construction, water supply, sanitation and solid waste in order to empower community members to start up income generation activities, which will enable them to improve their livelihoods.

KENSUP will further improve the living conditions in Kenya's slums by assisting in the provision of adequate and affordable physical infrastructure and improved housing. By collaborating with the central and local authorities, the local communities will further learn to negotiate with the authorities, which will positively affect the dialogue between them leading to a more open relationship and thus, improved governance relations. This is an important outcome which will train slum dwellers in political participation empowering them to be more involved in urban decision-making processes.

Participation in KENSUP projects will also facilitate the organisation of slum dwellers to collectively address issues concerning them, which enhances their bargaining power in the urban sphere. It further improves the sustainability of the interventions as it ensures that the participation of slum dwellers is guaranteed.

It is also hoped that KENSUP will demonstrate that slum dwellers can take responsibility for their living conditions, and that their contribution is essential in finding lasting solutions to the slum issue. Their participation will also build social cohesiveness and integration within their own communities.

ONYO KALI
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USITUPE TAKATAKA
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Central Government Level

The support of UN-HABITAT and other donors has already helped to increase the central government's political commitment to slum upgrading and it is hoped that this trend continues and gains even greater momentum as more concrete results materialise in the programme.

KENSUP advocates for a common vision and an action plan, which have been developed by the central government, which are important steps forward in addressing the issue of slums in Kenya. Most importantly, the programme enjoys the political support of the central government, which is a key to its success. KENSUP also promotes a multidisciplinary approach to slum upgrading which calls for collaboration between the relevant ministries in Kenya. It is hoped that the programme will demonstrate the need for a concerted effort if sustainable solutions are to be found. Further, not only promoting collaboration between the different ministries, KENSUP advocates a broad-based partnership approach to slum upgrading where all the relevant urban stakeholders have an important role to play. It is hoped that the central government will take up the role of a coordinator bringing together local authorities, the civil society, local slum communities, UN-HABITAT and the private sector to participate in the programme.

It is also expected that the central government develops enabling conditions for the slum upgrading activities to really succeed, including the regulatory, institutional and funding frameworks that would seek to alleviate urban poverty and enhance prospects for slum upgrading. There is also scope for mobilising funds addressing slums within national priorities.

UN-HABITAT

Broadly, UN-HABITAT expects that the programme will contribute to the realisation of the objectives set in the Habitat Agenda, and the MDGs, particularly Goal 7, Targets 11 and 12. As a small UN agency with global responsibilities, UN-HABITAT has had to find ways of maximising its impact by focusing its resources and by adopting a strategic approach that promotes certain policy principles to guide city management all over the world.

With these imperatives in mind and with a sharper focus on urban poverty and, in particular, slums as the most visible manifestation of urban poverty within the overall urbanisation process, the UN-HABITAT strategic vision focuses on knowledge management, the financing of housing and human settlements and strategic partnerships. All of these fit well within the principles of KENSUP and this programme is a test case where these principles will be tried out.

Therefore, UN-HABITAT wants to demonstrate the combination of these new and innovative concepts and strategies in practice and gain first-hand experience about their applicability. UN-HABITAT hopes to find a sustainable strategy for slum upgrading that is also replicable in other countries, not just in Kenya. Additionally, UN-HABITAT expects to act as a lobbying agent in order to attract more donors to financially support the programme.

Other Partners

All activities undertaken will have a direct effect in building capacities of local stakeholders in fields related to slum upgrading. The participating civil society organisations will have improved technical, organisational and management skills. Their involvement and participation will enhance and foster consensus building for sustainable slum upgrading as well as establish new constructive relationships amongst actors that may not have previously engaged with each other. It is also hoped that through their participation in KENSUP, the civil society organisations will increase their commitment to slum upgrading.

4.8 Financing Strategy

The following section sets out the financing and funding arrangements for UN-HABITAT's KENSUP activities. The first part defines the general principles of the financial support for KENSUP, while the second part displays current and potential funding sources for ongoing and planned activities.

Introduction: The Need for Financial Support for Shelter for the Poor

In many countries, private sector actors like developers, banks, landlords and institutional and individual investors play a crucial part in the delivery of housing. Therefore, it can be assumed that housing can be left to market responses. However, in Kenya, as in many other developing countries, the engagement of the private sector in housing is highly limited due to various constraints. Private actors mostly focus on the middle- and high-income strata, resulting in a lack of low-cost housing construction. Even more serious is the lack of residential infrastructure, which is a classic public good that only attracts private capital under special arrangements.

KENSUP attempts to address these problems by developing physical and financial models for low-cost housing and infrastructure that can be applied by private and public actors. In addition, communities should be put in a position to be able to actively contribute to the financing, development and maintenance of housing and infrastructure. The wider goal of UN-HABITAT's KENSUP activities is to develop and apply organisational, financial and physical models for sustainable neighbourhoods that have the potential to be replicated in other settings. The goal of sustainability also has implications for the financial strategy of the programme itself. With regard to pilot housing and infrastructure projects, they require models that are as close to commercial models as possible.

Nevertheless, a certain portion of subsidies and grants are necessary for enabling low-income housing development and infrastructure. Even in countries with well functioning housing and land markets, low-income residents usually receive some form of a subsidy that enables them to access shelter or reduce the financial burden of housing. Other options are subsidies for private developers or landlords providing housing for the poor or direct provision by public agencies. However, in the interest of replicability, non-commercial inputs to housing developments should be made explicit and transparent in the overall project design and implementation to show the conditions under which models can be applied elsewhere.

While KENSUP focuses on technical assistance rather than equity provision, the project activities can play a crucial role for leveraging domestic and international funds for pro-poor housing and infrastructure investment. The type of tenure selected in model projects has direct implications for housing finance. Due to the limited capacity of poor residents to become homeowners or to sustain homeownership, emphasis of the programme activities should be on rental, rent-to-buy or cooperative housing arrangements that offer less control to the individual user but also much more flexibility and lower obligations. Nevertheless, helping residents to acquire their own home should still be part of the portfolio.

The Urban Development Context for KENSUP Projects

Chapter 4.6 has highlighted the different elements of the KENSUP implementation strategy. To define financial arrangements and funding strategies, it is important to place these activities in the wider context of the urban development processes. Between the initial planning phase and the time housing units can be used, there are several stages of planning, community participation, construction and transfer of ownership. A series of public and private actors are involved in these processes that are characterised by a wide range of activities. Table 1 below provides an overview of the different development stages, actors involved and the specific activities.



Stage	Actors	Activities
1 Urban planning and land management	Local governments in participation with communities, businesses, utility companies, and the national government	Socioeconomic data gathering and analysis/enumeration; Land registration and administration; Land use planning and physical site layout/master plans; Building codes; Land use regulations
2 Land acquisition	Private companies, communities, and local governments	Allocation of plots to developers/individual households
3 Infrastructure planning	Local governments, developers and utility companies	Site and investment planning
Housing design	Developers, housing cooperatives, homeowners, supported by architects	Developing housing designs; Selecting building materials
4 Infrastructure development	Local government, developers and utility companies	Implementing construction
Housing construction	Developers, contractors, housing cooperatives, communities, homeowners	Implementing construction
5 Infrastructure transfer		Transfer to municipalities and other entities
Housing delivery	Developers, real estate agents, housing cooperatives, and homeowners	Transfer of Ownership; Renting out; Entering cooperative user agreements; Homeowners moving in
6 Infrastructure and service provision	Local governments, utility companies, and private companies	Education, health etc.; Garbage collection
Housing usage/management, refinancing	Landlords, housing cooperatives, individuals, banks/financial institutions	Refinancing; Maintenance planning; Reinvestments
7 Monitoring and evaluation		

Table 1. The Urban Development Process: stages, actors and activities

Types of KENSUP Activities

The generic model for urban development, which is common around the world, also forms the basic structure for UN-HABITAT's involvement with KENSUP. However, compared to the conventional model, there is greater emphasis on community development, participation and monitoring and evaluation.

As discussed in chapter 4.6, UN-HABITAT's implementation strategy for KENSUP covers 12 elements. With regard to funding and financing, these individual programme items can be categorised into two types. First, funds are required for project activities in the different locations in Kenya (Table 2, No. 1 to 10) and for the monitoring and evaluation component (Table 2, No. 13). Second, funding has to be mobilised for capital investment for construction of pilot housing and infrastructure components 10 and 11 (Table 2).

The two activity types differ in terms of their financial character and their relation to overall project costs. Expenses for technical assistance through staff and other running costs can be regarded as start-up, community development and evaluation costs. The purpose of these activities is to develop and apply organisational and physical models for sustainable neighbourhood development that can be replicated in other locations and countries. Consequently, their costs should not be incorporated into the price of the final physical outputs. On the other hand, capital investments undertaken in specific project locations should be accounted for in the final project outputs since these represent permanent assets that are being transferred to future owners.

KENSUP Activities	Technical Assistance	Capital investment
Undertaking situation analysis and mapping of target communities	X	
Strengthening civil society through the establishment of project management committees (such as water management committees)	X	
Providing technical advice to partners	X	
Empowering community members through training	X	
Empowering community members through cooperatives	X	
Supporting small-scale firms and building material producers	X	
Promoting and facilitating broad-based partnerships	X	
Assisting in setting up and developing institutional programme structures	X	
Strengthening the role and capacity of local authorities	X	
Providing infrastructure		X
Implementing pilot housing projects		X
Monitoring and evaluation	X	

Table 2. KENSUP Project Activities and Funding Categories

Relation between KENSUP Activities and the Urban Development Process

In the processes from project design to implementation, the two KENSUP activity types are applied at different stages. The following table highlights how the different activities and contributions are situated in relation to the overall process of housing and infrastructure provision, financing and usage.

Stage	Technical Assistance Activities	Capital Investments
0 Project preparation		
1 Urban planning and land management	Enumeration, formation of cooperatives, and site planning	
2 Land acquisition		Preparatory development activities: fencing/demarcation
3 Infrastructure planning	Development of site plan/assistance to municipalities	
Housing design	Development of model design	
4 Infrastructure development	Construction of infrastructure	Leverage/provide short-term construction finance through umbrella cooperatives (capitalised through one-time endowment grant and/or member equity), UN-HABITAT grants or loans from a revolving fund
Housing construction	Capacity building in construction techniques, personal and cooperative financial management, implementation of construction with communities	
5 Infrastructure transfer	Capacity building of local authorities/utilities	Public-private partnerships for infrastructure refinancing
Housing delivery	Consumer education in financial management	Mortgage financing for future users through umbrella cooperative or private/cooperative domestic bank
6 Infrastructure and service provision	Assistance to municipalities and utility companies in financial management and infrastructure maintenance	
Housing management/usage	Assistance to cooperatives/users in financial management and building maintenance	
7 Monitoring and evaluation	Evaluation of community-development efforts, construction costs, and maintenance arrangements	

Table 3. The Urban Development Process and KENSUP Project Activities



With regard to financial streams and necessary funding, KENSUP processes consist of three main elements; technical assistance, capital investment process for infrastructure, and investment in housing. Chart 1 provides an overview of the different project tasks, the financial streams and actors.

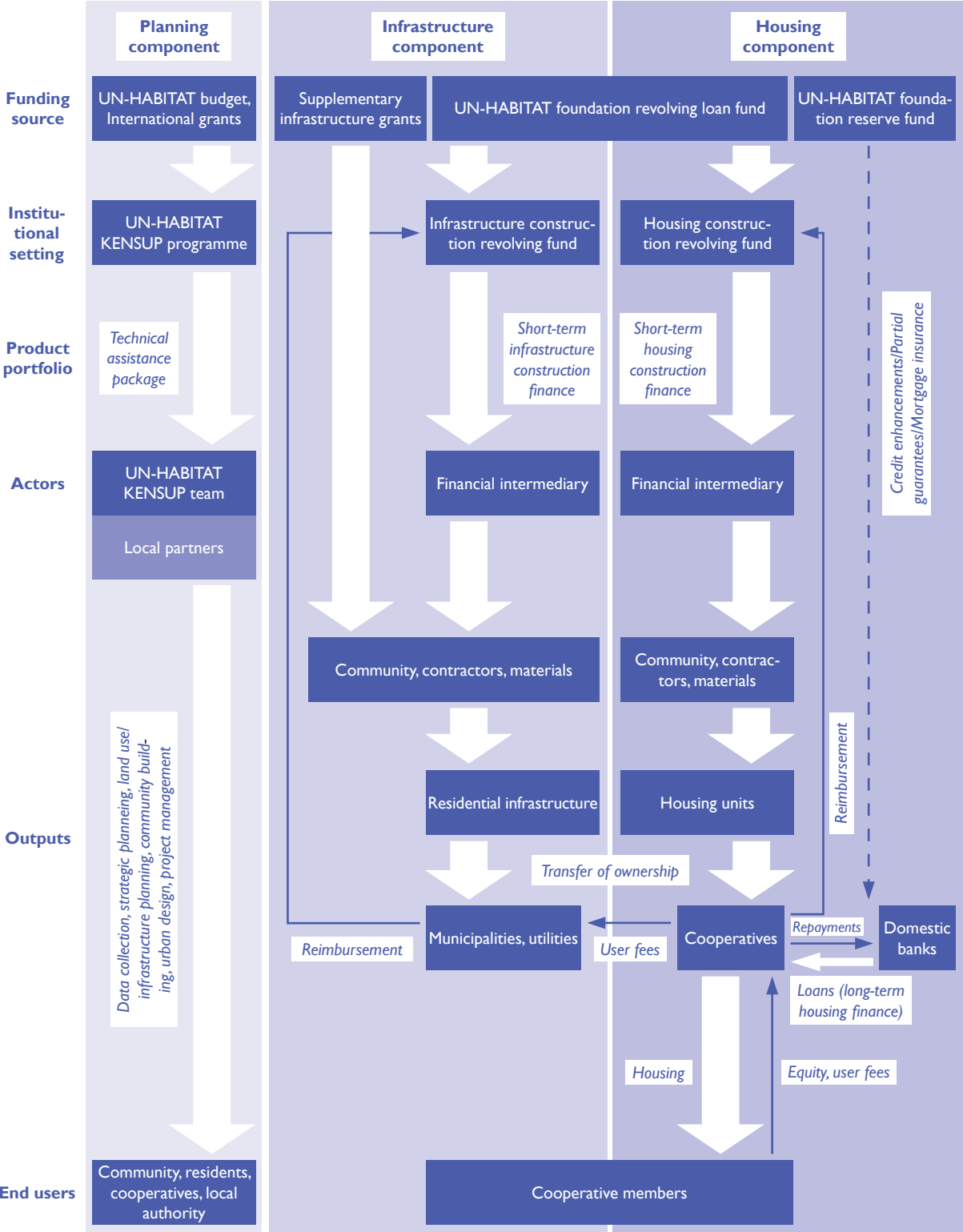


Chart 1. Financial Streams and Actors in the KENSUP Community Redevelopment Process

Status and Funding of Current KENSUP Activities

Currently, UN-HABITAT is involved in six KENSUP-affiliated projects, which are at different stages of the development cycle. The heterogeneity of the projects in terms of size and stages is reflected by the variation of allocated and available funds. Table 4 provides an overview of the funding and status of these projects and the progress of specific activities as of September 2007.

KENSUP Project	Kibera Slum Upgrading Initiative	Kibera Water and Sanitation Management Programme	Kahawa Soweto	Mavoko	Kisumu	Mombasa Slum Upgrading Programme
Overall project status	○	○	○	○	✓	○
Funds allocated (USD)	350,000	579,684	240,000	750,000	111,777	200,000
Funds available (USD)	0	Not yet known	Not yet known	130,000	0	Not yet known
Status of specific activities						
Undertaking situation analysis and mapping target communities	✓	✓	✓	✓	✓	×
Strengthening civil society through project management committees	✓	✓	✓	✓	✓	×
Technical advice to partners	×	×	○	×	✓	×
Empowering community members through training	×	×	○	×	✓	×
Empowering community members through cooperatives	○	×	○	✓	×	×
Supporting small-scale firms and building material producers	×	○	○	×	×	×
Promoting and facilitating broad-based partnerships	○	○	×	○	✓	×
Assisting in the set up and development of institutional programme structures for implementation of pilot projects	○	○	✓	○	✓	×
Strengthening the role and capacity of local authorities for urban planning, infrastructure investments and maintenance, and provision of technical assistance in the implementation process	×	○	○	×	✓	×
Providing infrastructure	×	○	✓	×	×	×
Establishment of management structures for local service provision and sustainable management of physical infrastructure (including tariffs models)	×	○	○	○	✓	×
Monitoring and evaluation	○	○	○	○	✓	×

✓ - Complete ○ - On going × - Not Started

Table 4. Funding and Status of Current KENSUP Projects (9/2007)

Budget Estimates for KENSUP Activities and Investments

Based on the preceding list of activities, the following budget estimates can be made for the six project areas and for potential additional activities.

Project Activities

The six project areas vary in size, community involvement, physical setting, construction requirements and duration. However, based on past experiences with KENSUP, it is assumed that for the average project engagement a budget of USD 500,000 over five years will be necessary to allow enough time for project set-up, urban planning processes, infrastructure provision, technical assistance

during house construction and transfer of ownership, refinancing and maintenance phase.

Assuming synergy effects between the six existing and potential new projects, an annual total KENSUP activity budget of USD 3 million should be sufficient to fund the various activities.

Capital Investments

Most KENSUP project activities fall under technical assistance. The total funds required for associated capital investments in the communities are much higher than for technical assistance activities. The specific capital investments necessary for housing and infrastructure investments in the project areas are not yet known due to the unknown number of residents and required housing units. However, based on affordability considerations a broad estimate can be undertaken for the sum of private and public capital necessary.

Current income levels in the communities suggest that the price for a housing unit, including infrastructure, has to be below Kenya Shillings 500,000, if not below 250,000 (~USD 7500/3750). Assuming an exemplary target population of 100,000 and an average household size of 5, even the lower number represents already a total investment need of USD 75 Million. Assuming a total number of 1 million clients, the estimated funds necessary will be USD 750 million.

For capital investments to be possible at this scale in low-income communities, it will be important to explore a wide range of potential funding sources. First, there is a need to motivate the domestic private sector to make investments in housing and extend their reach to lower income segments. Yet even if this can be achieved, it can be expected that some form of outside support through grants or low-interest or long-term loans will still be required. Consequently, the task will be to explore new financing mechanisms and public-private partnerships to develop affordable and sustainable financial packages for the Poor.

Fundraising strategy

As described above, KENSUP entails both activities related to technical assistance to communities, local governments, businesses and other housing actors, and actual investments in housing and infrastructure. Consequently, the two types have distinctive implications for UN-HABITAT's KENSUP fundraising strategy.

Project development, capacity building and monitoring activities should be financed through grant funding since they cannot be charged to future users. For these start-up costs and community development efforts, it is important to achieve stable medium-term grant financing. Potential sources for these comparatively small amounts are international donors or foundations, but also the Kenyan Government by way of slum-upgrading and infrastructure grants.

On the other hand, funds required for construction and acquisition of housing units can come from a variety sources, such as private equity of

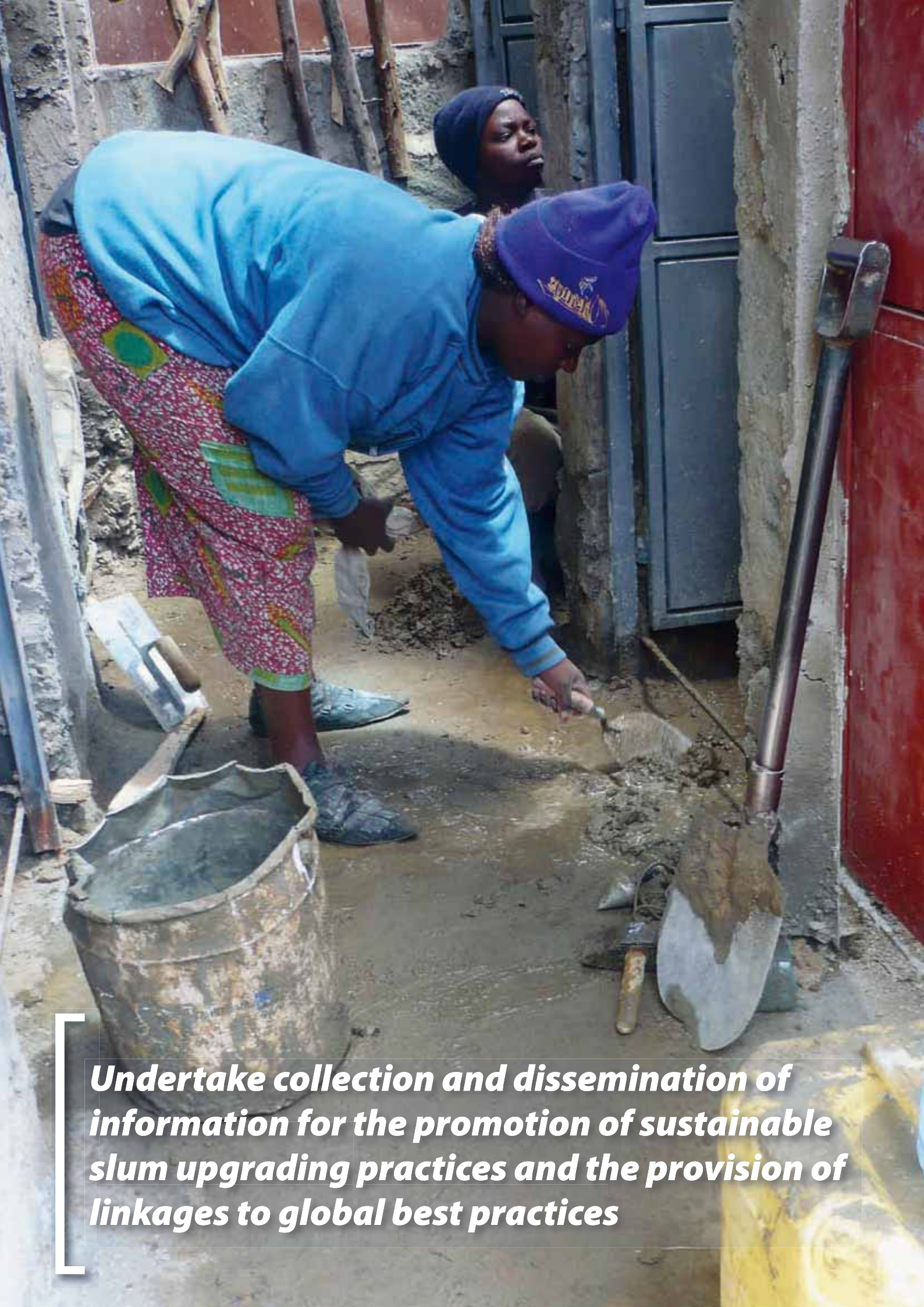




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future users, commercial loans, domestic public grants, loans for infrastructure or international grants. While grant financing for capital investments that benefit end users is certainly preferable, the large scale of required investments suggests that it is most likely that available grants will not be sufficient. Therefore, innovative funding mechanisms by way of low-interest loans, composite financing arrangements from private domestic and international loans, or guarantees will be necessary.

However, in the interest of developing a sustainable model, even grant financing should not be disbursed to users directly, but rather used to set up revolving funds. With such recoverable funds, later project generations can benefit as well. While UN-HABITAT's capacity to directly provide investment capital is currently limited, it can actively assist housing cooperatives, municipalities and other entities in the process of developing bankable housing and infrastructure projects through its KENSUP activities. In addition, UN-HABITAT is exploring opportunities to enter into partnerships with domestic financial institutions to leverage funds at a greater scale. In addition, the organisation is exploring options to further accelerate the provision of finance for shelter and related infrastructure following UN General Assembly resolutions regarding the status of the UN-HABITAT Human Settlements Foundation. The 21st Governing Council, held in April 2007, adopted a resolution that enables UN-HABITAT to engage in field-testing experimental seed capital operations and other innovative finance mechanisms to support pro-poor housing and urban development in cooperation with financial intermediaries and other partners. The KENSUP activities provide an opportunity to leverage funds in the context of these efforts by developing models and procedures for field-testing capital operations for financing pro-poor housing and urban development. With these wider implications, UN-HABITAT's involvement in KENSUP can also strengthen the agency's role as a pre-investment catalyst for bringing local initiatives in pro-poor housing and infrastructure to scale.



Undertake collection and dissemination of information for the promotion of sustainable slum upgrading practices and the provision of linkages to global best practices

5.1 Strategy Document, Project Document and Activities

The aim of this strategy document is to assist UN-HABITAT in defining its way forward with KENSUP. After the strategy document is finalised, there is a need for the entire UN-HABITAT KENSUP team to discuss and agree on a strategy and plan for the way forward. The team must agree on a common project document and an action plan, which define the activities for the future. Particularly a new focus for the activities must be commonly agreed upon. There is also a need to repackage slum upgrading in UN-HABITAT as a 'housing and infrastructure upgrading facility'. There is also a need to update the KENSUP team on the lesser known KENSUP activities within UN-HABITAT in Kahawa Soweto and Mombasa so that the team has a holistic picture of all the activities.

5.2 Funding

An urgent review must be undertaken of the existing resources and assets and once this is completed, there is a need to consolidate the funds under a common budget. The KENSUP team will require assistance from the SUF team in drafting an elaborate financing strategy for KENSUP that is innovative and sustainable. This must include a new fundraising strategy on how to raise new funds for the programme.

5.3 Relations with the Ministry of Housing

It is necessary to establish a productive working relationship with the Ministry of Housing, particularly with the KENSUP Secretariat. Firstly, it is important to have one focal point within UN-HABITAT for all the KENSUP activities, who will be responsible for the official correspondence and communication with the Ministry of Housing. UN-HABITAT's communication with the ministry must be coordinated in this way in order to minimise the difficulties that have existed in the past.

Additionally, it is essential that UN-HABITAT presents itself as a unified voice to the ministry, as well as to our other partners. UN-HABITAT's KENSUP team must be formally introduced to the Ministry of Housing and it is of essence that regular meetings are instituted with the KENSUP Secretariat in order to keep both parties up-to-date about developments in the programme. Only with this approach can UN-HABITAT move forward with its activities, as KENSUP is managed and executed by the Ministry of Housing and the only way to progress is to liaise with its KENSUP team.

5.4 KENSUP Team

There is a need to agree on the roles and responsibilities of the members of the KENSUP team. Each team member must have clear terms of reference and lines of reporting. It is essential that all team members report to the Chief, Section I, within the Water, Sanitation and Infrastructure Branch. Additional technical staff might be required to successfully implement the existing activities, and this is something that has to be considered.

To further facilitate the implementation process, UN-HABITAT's field presence must be strengthened, i.e. there is a need to ensure that some of the staff members are stationed in the field offices in



order to be more responsive to the needs of the participating communities, as well as to ensure that the works on site are progressing as planned. For instance, the office in Kibera must be made operational and a site office must be established in Mavoko and staff placed there.

5.5 Other Partners

It is important to assess and review the current KENSUP partnership network whether there is a need to bring on board new partners who could meaningfully contribute to the implementation and facilitation of KENSUP.



UN-HABITAT KENSUP Projects





Cities without Slums (CWS)

Project title:	Cities without Slums Sub-Regional Programme for Eastern and Southern Africa
Start date:	July 2004
Completion date:	May 2006
Total cost:	USD 111,777 from the Governments of Italy, the Netherlands and Germany, as well as Swedish International Development Co-Operation Agency, and CORDAID
Partners:	Municipal Council of Kisumu, Ministry of Housing, Maseno University, Sustainable Aid in Africa International, Kisumu Water and Sewage Company, Regional Centre for Mapping of Resources for Development and the private sector

Project description

CWS aims to improve the livelihoods of people living and working in Kisumu's informal settlements by promoting and facilitating the provision of secure tenure, housing improvement, income generation and physical and social infrastructure through participatory interventions. To realise these objectives, the programme has four phases; the inception phase, the preparatory phase, the implementation phase and the replication phase. UN-HABITAT's inputs focused on the two first phases; on building capacity of the Municipal Council of Kisumu in GIS and urban planning, and undertaking a situation analysis and socio-economic mapping of Kisumu's informal settlements.

Main achievements

The programme's inception and preparatory phases delivered to target.

Inception phase

A situation analysis on Kisumu's informal settlements was completed, published and distributed. It proposes an integrated approach to slum upgrading, focusing on security of tenure, improvement of basic infrastructure, housing, health and social services and the environment. An action plan was developed for the improvement of the informal settlements, with each informal settlement identifying their own priorities.

Preparatory phase

A GIS lab was established at the Municipal Council of Kisumu, the social mapping was completed and the capacity of the GIS Secretariat was built. Additionally, a slum upgrading secretariat was established within the municipal council, as well as a steering committee comprised of the main urban stakeholders.



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Lessons learnt

- Empowering the local authority has contributed to the success of the initiative. The Ministry of Housing has little influence in the day-to-day activities and this has given confidence to the local authority;
- The establishment of the GIS has helped in providing a central point of reference for all enquiries on slum upgrading within the municipality;
- There is no budget for slum upgrading within the municipality and the motivation to address slum issues is relatively low. The Ministry of Housing has yet to establish a proper institutional structure at the local level. The reliance is on UN-HABITAT to take the lead, which is not sustainable;
- Lack of funding from UN-HABITAT has had a negative effect on the initiative and the partners in Kisumu have lost confidence in the project, which is a negative development as the UN-HABITAT's role should only be as a facilitator;
- Most slum dwellers confuse slum upgrading to mean construction of housing, and this myth is hard to erase from their minds;
- Setting up the GIS lab at the local council is a good initiative but there is a need to continue training the relevant staff. Currently the knowledge levels are basic and the GIS lab has not helped the council to use the facility for other important tasks, such as collecting and editing information generated by their day-to-day activities;
- There is plenty of literature on slums in Kisumu (both published and unpublished) but they do not always translate into actual work on the ground;
- Students from different universities have visited and conducted field work in many of Kisumu's slums but their presence has not translated into projects; *and*
- The involvement of the slum dwellers in the project has been difficult because no one wants to work for free.

Way forward

UN-HABITAT is looking for additional funding in order to support the next two phases of the programme. Cities Alliance has demonstrated an interest in providing funding and an application by UN-HABITAT was made in 2006 but it was rejected (as it did not meet certain Cities Alliance criteria). Plans exist to make a new application in the near future addressing the shortfalls of the previous application. The Ministry of Housing has allocated approximately USD 400,000 to CWS in Kisumu (through KENSUP) for addressing priority areas identified in the action plan. The focus is on the construction of social amenities in the slums, such as schools, clinics, water and sanitation facilities, social halls and markets. Drawings and bills of quantities have been prepared and the implementation is due to start before June 2007.



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Sustainable Neighbourhood Programme (SNP), Mavoko

Project title:	Sustainable Neighbourhood Programme (SNP)
Start date:	July 2004
Completion date:	December 2008
Funding:	Euro 750,000 from the Government of Finland, USD 120,000 UN-HABITAT contribution
Partners:	Municipal Council of Mavoko, Ministry of Housing, Practical Action, National Cooperative Housing Union, University of Nairobi, National Environment Management Authority, Machakos District Cooperative Office, private sector, and Mavoko's slum communities

Project description

The SNP is a slum resettlement programme relocating slum dwellers to a piece of land in Athi River made available by the GoK exchanged in a debt swap with the Government of Finland. The SNP is a self-help housing project linked to capacity building and income generation where slum dwellers are to build their own homes.

The main goals of the SNP are to improve local governance and strengthen the capacity and the role of the informal and the community sectors in developing sustainable neighbourhoods. The emphasis of the SNP is not primarily on the production of houses, but rather on the improvement of livelihoods of slum dwellers by training them in self-help and income generation activities such as production of building materials and building components so that they can take charge of their own development for instance by getting employed as skilled workers once the SNP has finished. The sustainable neighbourhood concept refers to mixed housing development that caters for all income groups within one location where infrastructure and social services are shared. UN-HABITAT's role is to test new, innovative approaches to slum upgrading in Kenya through the SNP pilot, and develop a comprehensive housing package including a finance component that will enable slum dwellers to improve their housing and other living conditions.

Main achievements

- Digital Satellite Imagery of the SNP site and part of the Municipal Council of Mavoko (447km²) acquired;
- Draft master and house plans for the SNP site developed;
- A socio-economic profile of Mavoko's slums completed;
- Community organisation reinforced;
- 100 groups registered as self-help groups with the Ministry of Gender, Sports, Culture and Social Services, which have now registered as cooperatives;



- A Mavoko SNP sub-office set up within the Municipal Council of Mavoko with three local community coordinators working on community mobilisation; *and*
- A broad-based partnership of the main stakeholders formed.

Lessons learnt

- To form broad-based partnerships can be time consuming;
- Good communication channels are essential between the Ministry of Housing and UN-HABITAT;
- It is important to maintain regular update meetings with all the partners, particularly the slum communities;
- Government bureaucracies can seriously slow down the process;
- Translating the verbal commitment of partners from slum upgrading to action is not always easy;
- Too many partners can lead to lack of taking responsibility of what needs to be done;
- UN-HABITAT has to allocate clear responsibilities to its staff within the programme and have a clear reporting structure; *and*
- UN-HABITAT has to have better internal coordination structures.

Way forward

- Redesign the project to meet the present realities. Reformulate the concept to some degree to include the role of water and sanitation infrastructure provision, and decide on new goals, and an action plan;
- Fence the 22ha and put up a signboard together with the Ministry of Housing and the Municipal Council of Mavoko;
- Reconstitute the Executive Committee and agree on its role;
- Employ additional technical staff;
- Develop a physical layout plan;
- Establish a site office;
- Start construction of a demonstration house or a training centre;
- Agree on house designs;
- Agree on the typology of land and housing tenure systems to be utilised;
- Investigate the possibilities of additional funding;
- Contact the private sector and get them on board;
- Contact the Mavoko and EPZA Water and Sewerage Company and get it on board;
- Continue with training for the registered cooperatives if required;
- Obtain socio-economic data of cooperative members (of selected beneficiaries) to inform about their ability to pay (also determines designs);
- Define selection procedures for the first generation homes; *and*
- Undertake a rapid and participatory selection of beneficiaries.



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Kibera Slum Upgrading Initiative, Nairobi

Project title:	Kibera Slum Upgrading Initiative
Start date:	September 2002
Completion date:	June 2004
Funding:	USD 240,000 from Cities Alliance, USD 110,000 UN-HABITAT contribution
Partners:	Nairobi City Council, Ministry of Housing, Ministry of Roads and Public Works, and Ministry of Cooperatives

Project description

The overall aim of the project is to improve the livelihoods of people living and working in Kibera through targeted interventions to address shelter, infrastructure, services, land tenure and employment opportunities, as well as the impact of HIV/AIDS in the settlements. UN-HABITAT's activities focused on the preparation of a situation analysis.

Main achievements

- Situation analysis of Soweto East is completed. Institutional arrangements are well established (such as Inter-Agency Coordination Committee, Programme Implementation Unit, Settlement Programme Implementation Unit, and Settlement Executive Committee);
- Community and stakeholders are sensitised on the goals of the programme and the community mobilisation is on-going;
- Physical mapping of Soweto East is still not complete as the verification exercise at the local level of data collected is still not completed;
- The work plan for the capacity building and communication strategy has been completed; *and*
- Improved layout plan is to be done through participatory community planning and proposals have been developed.

Lessons learnt

- Slum upgrading is a complex operation that should be guided by the local situation. Success depends on ensuring full support and engagement of local actors;
- Slum upgrading must be carried out holistically – the Kibera-Soweto upgrading process will not only improve the physical living conditions of the people, but also focus on addressing the high incidence of HIV/AIDS and unemployment in the slum;
- One has to take into consideration the historical context, for instance, the issue of lack of trust between the GoK and slum dwellers;

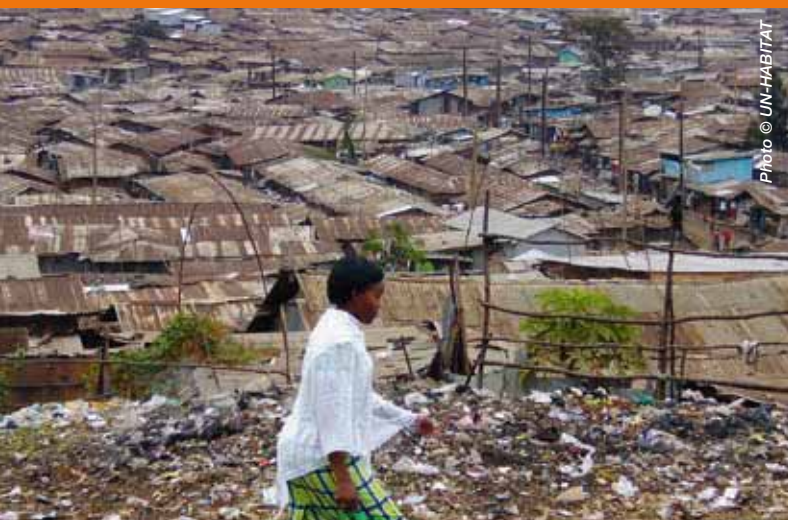


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- Capacity building efforts are essential at all levels;
- The resource base (particularly human and financial resources) amongst the project partners is weak;
- There is a lack of coordination capacity at the local level;
- Good communication between all the project partners is essential; *and*
- UN-HABITAT must have a KENSUP structure to ease coordination and delivery.

Way forward

- Complete improved layout plan for Kibera;
- Select beneficiaries for the decanting site housing allocation;
- Ensure the formation of housing cooperatives;
- Operationalise a slum upgrading trust fund; *and*
- Replicate the demonstration project in other villages in Kibera.

Mombasa Slum Upgrading Programme

Project title:	Mombasa Slum Upgrading Programme
Start date:	October 2006
Completion date:	October 2008
Funding:	USD 200,000 from the Government of Turkey
Partners:	Municipal Council of Mombasa, Ministry of Housing, Mombasa Water and Sewerage Company, and the World Bank

Project description

The broad aim of the project is to initiate and support slum upgrading in Mombasa and improve the living conditions and livelihoods as a means to alleviate poverty. More specifically, the aim is to conduct a situation analysis of Mombasa's slums, to prepare an action plan for upgrading of the settlements, as well as for identifying potential sources of funding, and to undertake construction of demonstration projects for basic services, focusing on water and sanitation.

Main achievements

The project has only commenced in May 2007 so the activities are at their initial phase.

Way forward

As the project has only started, the activities will proceed as per the existing project document.



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Kibera Integrated Water, Sanitation and Waste Management Project, Nairobi

Project title:	Kibera Integrated Water, Sanitation and Waste Management Project
Start date:	January 2007
Completion date:	January 2009
Funding:	USD 579,684
Partners:	Government of Kenya, and Maji na Ufanisi (Water and Development) as an implementing partner

Project description

Management Project (K-WATSAN) is a pilot demonstration project implemented in Soweto East (one of Kibera's 12 villages), which has an estimated population of 70,000. The project aims to improve the livelihoods of people living in Soweto East, by supporting small-scale, community based initiatives in water, sanitation and waste management, and by providing basic services, infrastructure and capacity building. The project is guided by the following specific objectives:

- Improve water, sanitation and waste management conditions, through the provision of storm water drains, communal water and sanitation facilities, and small-scale door-to-door waste collection and recycling services;
- Improve the mobility within Soweto East, by constructing a low-volume road, taking into account the needs of non-motorised transportation users;
- Establish non-motorised transport as an alternative and efficient tool for creating income earning opportunities and providing low cost sustainable access to waste management services;
- Provide household power connections in conjunction with the Kenya Power and Lighting Company;
- Support the community to identify and venture into new income generating and business opportunities;
- Enhance information and technology skills among the population through the establishment of a Community Information and Communication Technology Centre; *and*
- Strengthen the institutional and technical capacities of selected key target groups by conducting training courses.



Main achievements

- Community mobilisation according to zones in Soweto East (the village is divided into four zones) is complete;
 - Physical identification of all the sites for the proposed infrastructure is completed;
 - Design work for all the proposed infrastructure and information education and communication materials is completed;
 - Upper container floor of the UN-HABITAT site offices is cleared for partitioning to accommodate the Information and Communication Technology Centre; *and*
 - Actual construction of the infrastructure components is on course.
-

Lessons learnt

- It is difficult to gauge the willingness of the population for some of the project implementation activities, such as creating space for roads or forming committees;
 - It is important to promote efficient and effective communication with all partners, as well as combine and coordinate all activities through regular meetings;
 - Good communication internally within UN-HABITAT is important;
 - It is important to facilitate partnerships and cooperation within and between the local and central government, and between the local government and the civil society, as well as with the private sector;
 - It is necessary to keep the participating communities and the local authorities well informed of all the developments in the project, in order to maintain their commitment; *and*
 - UN-HABITAT staff should be based on the ground or visit the site regularly, in order to be in a position to respond to emerging queries and issues, and to strengthen the relationship between the community, UN-HABITAT and the local authorities.
-

Way forward

- Support the community to enhance accessibility to water and sanitation facilities and improve their management;
- Initiate small-scale door-to-door waste collection and recycling demonstration projects;
- Establish and strengthen governance frameworks to regulate accessibility to and management of water and sanitation services;
- Through micro credit mechanisms, support the community to venture into new income-generating and job opportunities stemming from the production, sale and use of modified bicycles for collecting solid waste;
- Ensure the formation of housing cooperatives;
- Operationalise a slum-upgrading trust fund; *and*
- Replicate the demonstration project in other villages of Kibera.



Youth Empowerment Programme, Kibera and Mavoko

Project title:	Youth Empowerment Programme
Start date:	January 2008
Completion date:	October 2008
Funding:	USD 100,000 from Secretary General's Pony Chung Foundation
Partners:	To be confirmed

Project description

The aim of the project is to improve the livelihoods of at least 200 youth, both male and female, living and working in slums and informal settlements in the urban areas of Kenya through provision of practical training in construction, business development and information communication technology that will lead to income generation activities. Additionally, the aim is to activate and strengthen key strategic civil society, public and private sector partnerships related to housing construction, and to promote youth entrepreneurship through catering for the individual and collective dimensions of small enterprises with the aim of establishing economically viable and competitive small enterprises.

Main achievements

- Interested youth identified and selected;
- Selected youth divided into different training groups according to their interests;
- Training programme and curriculum prepared;
- Implementing partner organisations identified; *and*
- Procurement of training materials initiated.

Way forward

- Finalise partnership agreements followed by negotiations with partners on the division of training tasks;
- Initiate the training programme;
- Construct a training facility at the Sustainable Neighbourhood Programme site in Mavoko;
- Recruit private sector to provide short placements; *and*
- Ensure youth graduates complete short apprenticeships with the private sector.



Kiandutu Slum Youth Project, Thika

Project title:	Kiandutu Slum Youth Project
Start date:	June 2008
Completion date:	October 2008
Funding:	USD 85,000 from Adventist Development and Relief Agency (ADRA), Good Earth Trust, Municipal Council of Thika, Government of Kenya, Vakcord, Bamburi Cement and Mabati Rolling Mills
Partners:	Adventist Development and Relief Agency (ADRA), Good Earth Trust, Municipal Council of Thika, Government of Kenya, Vakcord, Bamburi Cement and Mabati Rolling Mills

Project description

The aim of the project is to build a youth-driven model housing unit which will function as a youth resource centre. The project has three phases which essentially consist of youth training on construction skills, building of a housing unit and establishment of a youth resource centre.

Main achievements

A situation analysis on Thika informal settlements is complete, and a report is being prepared by the Municipal Council of Thika to be forwarded to the Ministries of Housing and Local Government. The situation analysis focused on youth needs, training and capacity building. A manual on youth training on basic construction skills has been finalised, and drawings for an affordable model housing unit have been completed.

Way forward

ADRA is looking at duplicating the same type of affordable housing units in slum areas around the country.



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Kahawa Soweto, Nairobi

Project title:	Provision of Basic Services in Selected Slum Settlements in Nairobi
Start date:	November 2005
Completion date:	December 2006
Funding:	USD 240,000 from the Government of Italy
Partners:	Nairobi City Council, and Roman Catholic Parishes in Kibera and Kahawa

Project description

The overall objective of the proposal is to support the improvement of living conditions of people residing and working in selected slum settlements in Nairobi through targeted upgrading projects within KENSUP. Through this project, an action plan with a funding strategy is prepared and it specifically focuses on the delivery on basic services in Kahawa Soweto and Soweto East in Kibera. The project also includes demonstration activities that combine tenure security, improvement of basic services, and the promotion of micro-enterprises. The programme is implemented in collaboration with the Nairobi City Council and it builds on lessons drawn from other KENSUP initiatives. The three main objectives are: 1) To build consensus on the scope of the programme and respective activities in Kibera Soweto east and Kahawa Soweto; 2) To develop Action Plans for each of the two areas and outline an implementation strategy for sustainable delivery of the agreed basic services; and 3) To develop and implement demonstration projects for the agreed basic services and draw up lessons of experience to inform the long-term sustainable slum upgrading programme in Nairobi and KENSUP at the national level.

Main achievements

- Construction of public facilities using community labour such as toilets, access road, garbage collection points, and a resource centre;
- Community participation in settlement planning; *and*
- Adoption of community land trust for secure tenure.

Lessons learnt

- Community mobilisation is not easy to bring about due to diversity of interests.

Way forward

- Improve the settlement layout plan;
- Finalise the community land trust; *and*
- Form cooperatives.



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Korogocho Slum Upgrading Programme, Nairobi

Project title:	Korogocho Slum Upgrading Programme: Kenya-Italy Debt for Development Programme
Start date:	June 2008
Completion date:	May 2010
Funding:	USD 274,000 from the Government of Italy for UN-HABITAT (the overall cost of the programme is about USD 3,350,000)
Partners:	Ministry of Local Government, Ministry of Housing, Ministry of Finance, Ministry of Lands, Nairobi City Council, Community Based Organisations, and Faith Based Organisations

Project description

The aim of the programme is to improve the livelihoods of people living and working in Korogocho by initiating and supporting a slum upgrading initiative to be implemented in a consultative manner. More specifically, the aim is to develop a detailed situation analysis of Korogocho; prepare an advisory physical plan; build capacity of various actors/institutions; prepare a sustainable integrated plan for upgrading Korogocho; provide collective security of tenure to the residents; and improve the infrastructure and housing stock. UN-HABITAT's role is to provide technical assistance and capacity building to the partners, as well as to mobilise funds for the programme.

Main achievements

The programme will commence in June 2008 and the major output of the programme will be a Sustainable Integrated Upgrading Plan, which will define the priorities and implementation strategy, including funding mechanisms and institutionalisation of the consultative process. The capacity of the various institutions involved in the programme will be enhanced and the physical, economic and social conditions in Korogocho will be improved.

Way forward

As the project has not started yet, the activities will proceed as per the existing project document.



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List of Abbreviations

AIDS	Acquired immune deficiency syndrome
CWS	Cities without Slums
EPZA	Export Processing Zones Authority
GIS	Geographical Information Systems
GoK	Government of Kenya
HIV	Human immunodeficiency virus
KENSUF	Kenya Slum Upgrading Fund
KENSUP	Kenya Slum Upgrading Programme
MDG	Millennium Development Goal
MoU	Memorandum of Understanding
NGO	Non Governmental Organisation
SNP	Sustainable Neighbourhood Programme
SUF	Slum Upgrading Facility
USD	United States Dollar
UN-HABITAT	United Nations Human Settlements Programme

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