

# UN-HABITAT's New KENSUP Strategy

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*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<sup>(2)</sup>.

### 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

<sup>2</sup> 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





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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





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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  
TAFADHALI  
USITUPE TAKATAKA  
HAPA**





## 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.

<b>KENSUP Activities</b>	<b>Technical Assistance</b>	<b>Capital investment</b>
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.

<b>Stage</b>	<b>Technical Assistance Activities</b>	<b>Capital Investments</b>
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.

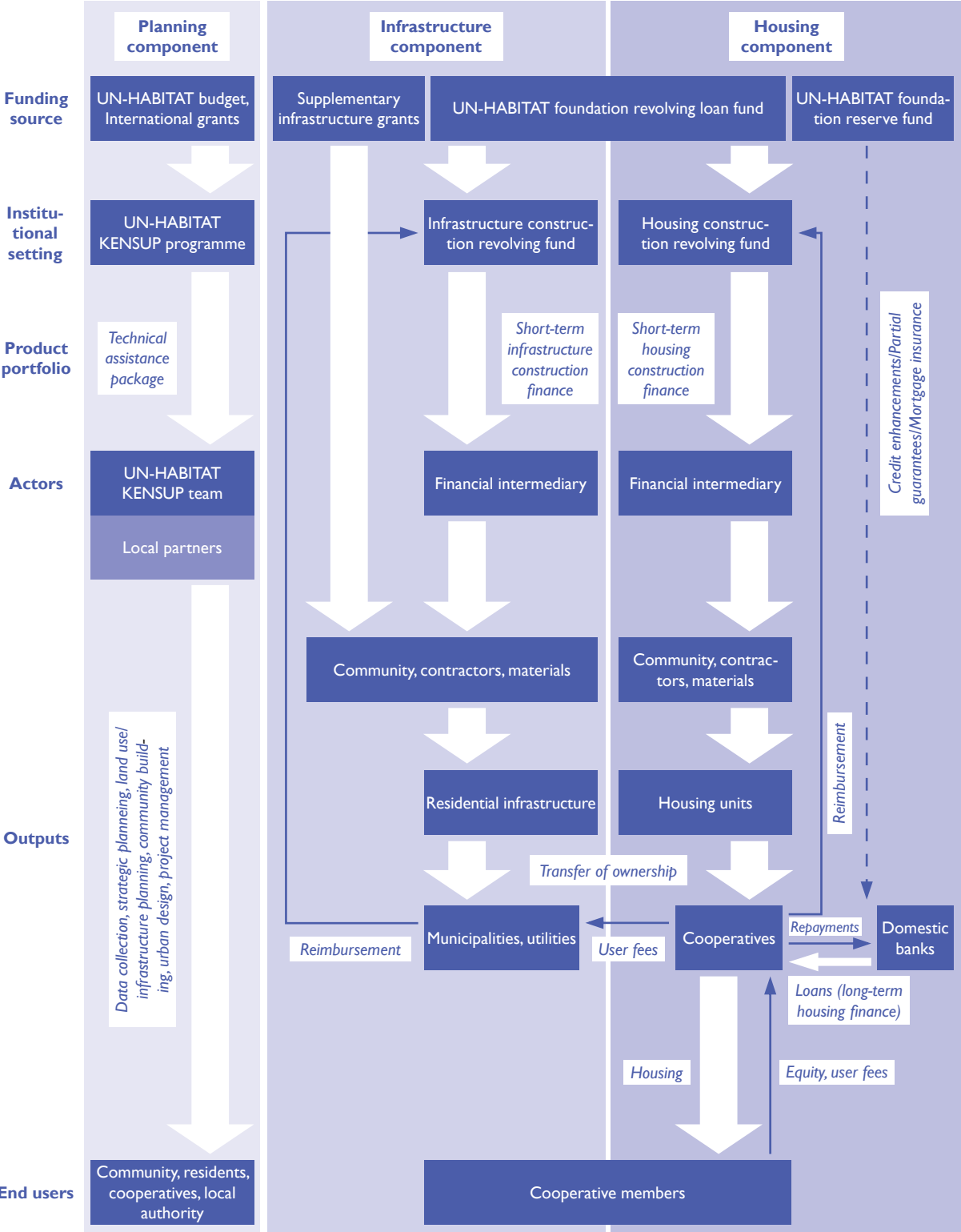


Chart 1. Financial Streams and Actors in the KENSUP Community Redevelopment Process

## 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
<b>Status of specific activities</b>						
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





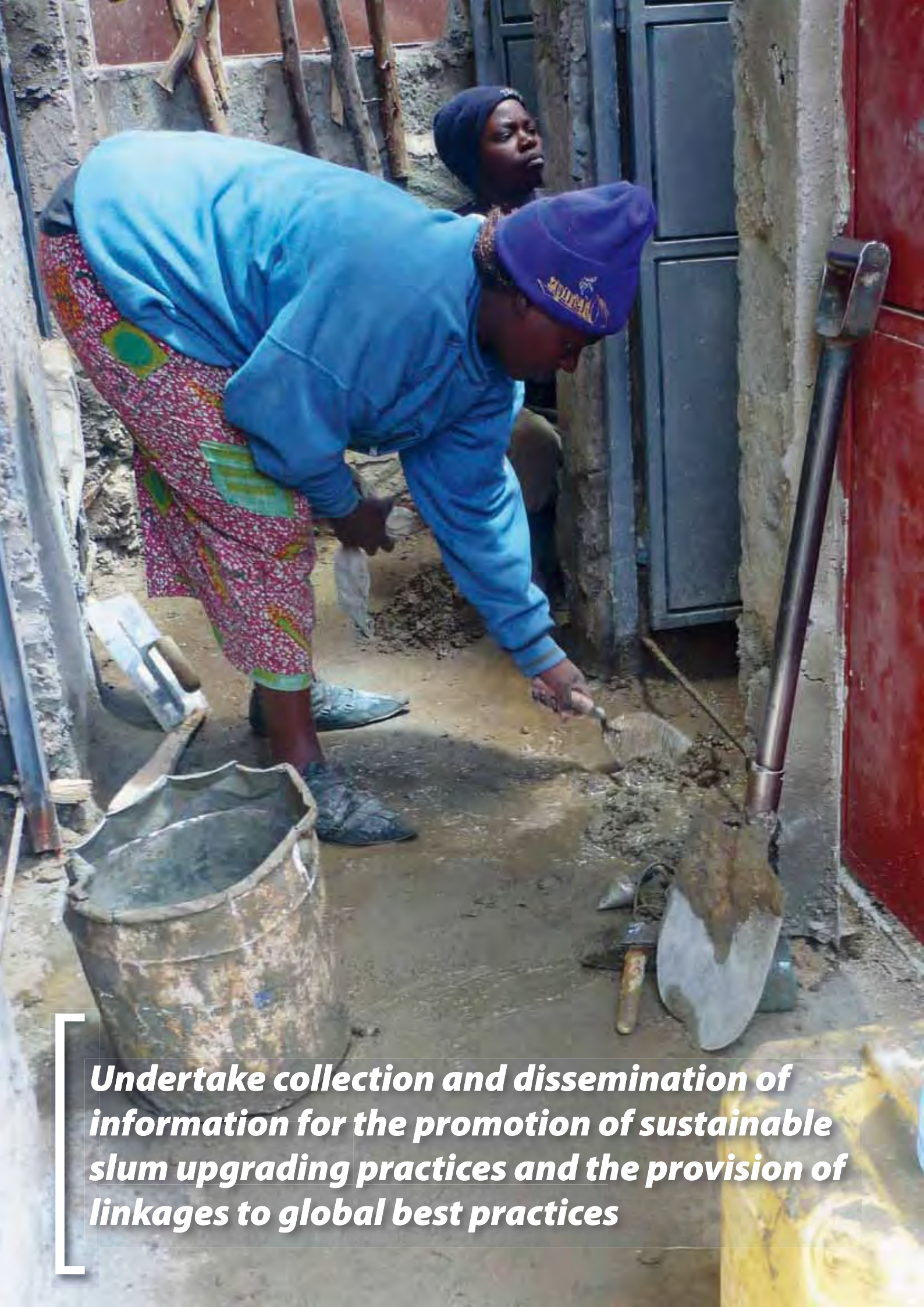


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future users, commercial loans, domestic public grants, loans for infrastructure or international grants. While grant financing for capital investments that benefit end users is certainly preferable, the large scale of required investments suggests 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***