

PARTICIPATORY SLUM UPGRADING



**TRANSFORMING ACP CITIES,
LEAVING NO ONE BEHIND**



UN HABITAT
FOR A BETTER URBAN FUTURE



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List of Acronyms

CBO	Community-Based Organisation
CBS	Central Bureau of Statistics
CCK	County Council of Kilifi
CGK	County Government of Kilifi
CMF	Community Managed Funds
CMP	Community Managed Projects
CT	Country Team
CWSUPS	City-Wide Slum Upgrading & Prevention Policy
DPP	Department of Physical Planning
EU	European Union
EMCA	Environmental Management and Coordination Act
GIS	Geographic Information System
GLA	Government Land Act
ISUDP	Integrated Strategic Urban Development Plan
IT	Information Technology
KenUP	Kenya Urban Program
KKB	Kalolo, Kibaoni Bayamagonzi
KMP	Kenya Municipal Program
KSUP	Korogocho Slum Upgrading Programme
M&E	Monitoring and Evaluation
MCA	Member of County Assembly
MINA	Minimum Intervention Approach
MoHg	Ministry of Housing
MOL	Ministry of Lands
MOLG	Ministry of Local Government
NAMSIP	Nairobi Metropolitan Services Improvement Program
NLC	National Land Commission
NUDP	National Urban Development Policy
ODPM&MOLG	Office of the Deputy Prime Minister & Ministry of Local Government
PPA	Physical Planning Act
PSUP	Participatory Slum Upgrading Programme
P4R	Program for Results
RC	Residents' Committee
SEA	Social and Environmental Assessment
SIDA	Swedish International Development Cooperation Agency
S2KenUP	Support to KenUP
TTF	Technical Task Force
SWM	Solid Waste Management
UACA	Urban Areas and Cities Act
UDD	Urban Development Department

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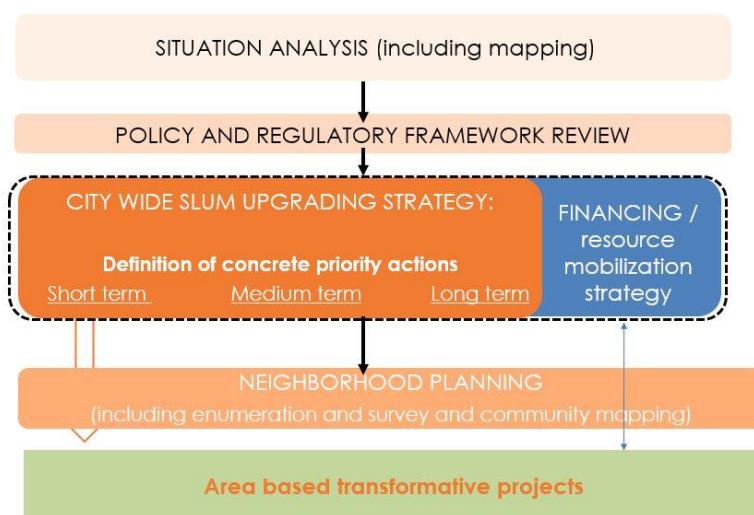
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1 INTRODUCTION

The development of City-Wide Slum Upgrading and Prevention Strategies (CWSUPS) is a central step in the Participatory Slum Upgrading Programme (PSUP) approach. CWSUPS aim at the identification of priority actions at city level focusing on physical interventions, key changes in the policy and regulatory frameworks, capacity development and institutional set up and stakeholder engagement. The objective is to move from one-off projects to an programmatic approach of slum upgrading at city level that addresses slums in wholesale and prioritises interventions in specific slums based on an integrated approach to achieve the physical, social, juridical and economic integration of all slums into mainstream form of the city.

To enable evidence-based decision making, the slum situation analysis is undertaken to inform the development of CWSUPS as it enables to understand the existing deprivations at household and neighbourhood levels to inform formulation of strategies need to address. The stakeholder analysis aims at to promote participation, building of partnerships and synergies while mapping institutional capacities and responsibilities of stakeholders in the implementation of the CWSUPS. The policy and regulatory framework review, building on the findings of the situation analysis, enables the CWSUPS identify entry points for engagement as well identify gaps in the regulatory and policy frameworks that limit the implementation of the CWSUPS. The City-Wide Slum Upgrading Strategy includes formulation of a financing and resource mobilization strategy to define short, medium- and long-term financing for the actions proposed in the strategy and innovative mechanisms to mobilise resources. Finally, the strategy will identify and guide area-based priority interventions at neighbourhood level.

Figure 1.CWSUPS in the slum upgrading process



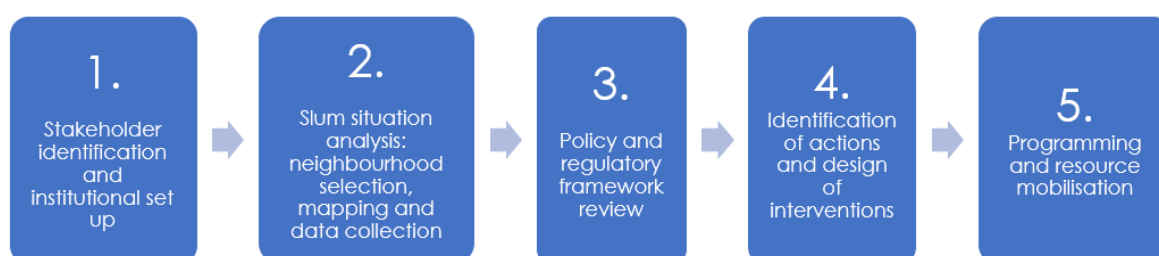
In Mtwapa, Kenya, the City-Wide Slum Upgrading and Prevention Strategy (CWSUPS) focused on providing a programmatic method for addressing the settlement challenges in line with PSUP principles through a systematic and progressive improvement in existing slums conditions in the town. The strategy aimed at achieving the integration of existing slums into the town's official urban management system, (then managed by the County Council of Kilifi) and

integrate the informal settlements into the Mtwapa Integrated Strategic Urban Development Plan (2010-2030) by providing a framework for implementation of interventions in different slums to improve living conditions as well as contribute to the implementation of the ISUDP through primary infrastructure development in informal settlements for integrated actions at city-level.

The CWSUPS formulation process illustrated in **Figure 2** below involved broad stakeholder participation and consultations in all key stages. These stages included:

- (i) Stakeholder identification and institutional set up
- (ii) Slum situation analysis: neighbourhood selection, mapping and data collection
- (iii) Policy and regulatory framework review
- (iv) Identification of actions and design of interventions
- (v) Programming and resource mobilisation

Figure 2. The CWSUPS process



The development of the CWSUPS for Mtwapa was largely informed by the strategies proposed in the Mtwapa Integrated Strategic Urban Development Plan (ISUDP2010 -2030), a 20-year city-wide level plan developed in 2010 with the purpose of providing a framework and strategy for the development of the town, which addressed various sectoral demands including housing. The process for the development of the CWSUPS engaged the national government, the county Council of Kilifi, the Mtwapa community, Private Sector representatives and the local development committees, NGOs and existing CBOs. as vested stakeholders. To enhance the participatory approach lessons were drawn from previous slum upgrading efforts implemented in Kenya such as the Korogocho Slum Upgrading Programme (KSUP)¹ in Nairobi. Earlier practices like the Tanzania Bondeni settlement upgrading and Kalolo, Kibaoni Bayamagonzi (KKB) upgrading in Voi and Kilifi town respectively provided further experiences. Indeed, a key lesson derived from the previous attempts indicated that there was a general improvement in living conditions in unplanned settlements once security of land tenure is guaranteed.

¹ KSUP was implemented by UDD and partners through funding from the Kenya - Italy debt for Development Programme (KIDDP).

Table 1. SWOT of the CWSUPS development in Kenya

STRENGTHS	WEAKNESSES
<ul style="list-style-type: none"> Participatory process for the development of the CWSUPS for Mtwapa engaging the National government, the County Government and the community. This broad stakeholder selection enabled to extract lessons learnt from previous experiences of stakeholders. 	<ul style="list-style-type: none"> CWSUPS as opposed to masterplan does not have a legal anchoring
OPPORTUNITIES	THREATS
<ul style="list-style-type: none"> The ISUDP developed in 2010 for Mtwapa provided a framework for the CWSUPS. The linkage with existing development frameworks at city level is key to ensure the coordination and coherence of actions. 	<ul style="list-style-type: none">

2 STAKEHOLDER MAPPING AND INSTITUTIONAL SET UP

The success of the PSUP relies on the development of strong partnerships and continuous engagement of key stakeholders. Stakeholder involvement marked every step of the process towards promoting inclusive integrated slum upgrading, while ensuring institutionalisation of partnerships and improvement in governance.

2.1 Institutional set up for the PSUP implementation

The Department of Urban Development (UDD) under the then Ministry of Local Government (MoLG) was identified as PSUP's lead agency/ implementing partner at country level. The department enjoyed direct links with all local authorities in Kenya, being the technical wing of MoLG, the Ministry in charge of all the local authorities in Kenya. The department formed a technical team coordinated by the Director of the UDD to oversee the activities. The multidisciplinary department provided technical assistance to local authorities throughout Kenya on issues of urban development. The department had adequate technical capacity consisting of officers with experience in the built environment. This made it the preferred institution to create the much-needed link between the programme and the County Council of Kilifi (CCK), the local authority within which Mtwapa town fell under. Technical officers, including land surveyors, urban planning and management experts with slum upgrading experience, were nominated from UDD to provide technical assistance to the implementation of PSUP II. Other technical officers, like civil engineers or quantity surveyors, from the department were engaged on need basis.

2.2 Stakeholder mapping

The team, composed of the UN-Habitat and UDD, embarked on identifying relevant stakeholders from national and local level public institutions as well as from community-based institutions. This resulted in the consolidation of a strong multi-level representation from the technical, political and local spheres. This process resulted in categorisation of stakeholders as summarised in **Table 2** below. The key relevant stakeholders were identified based on their relevance to the project scope and on the slum deprivations. Stakeholder value to the project was based on relationship with the communities, power and influence in local issues and local population. The process was driven by the PSUP Country Team ² and involved holding of consultative and sensitization meetings with different levels of stakeholders. This resulted in a list of organizations and clear definition of stakeholder roles (as summarized in Table 2 below) to guarantee the development of the CWSUPS and follow up of the PSUP implementation.

² Country Team is a coordination mechanism formed at national and city levels to mainstream slum issues into national and city development and spearhead broad participation of various stakeholders in various PSUP stages of implementation while facilitating learning, sharing of knowledge and advocating for inclusion of PSUP approach into slum upgrading.

Table 2.A summary of the stakeholders
(Source: Kenya PSUP Project Document)

STAKEHOLDER	LEVEL OF INTEREST	INFLUENCE/ IMPACT ON THE PROJECT	WHAT WE WANT FROM STAKEHOLDERS	WHAT STAKEHOLDERS WANT FROM US	OUR STRATEGIC RELATIONSHIP OBJECTIVES
Local Communities	Medium/ High	Low/ Medium	<ul style="list-style-type: none"> • Cooperation & Ownership • Mobilise local resources 	<ul style="list-style-type: none"> • Improved living conditions • Security of tenure • Participation in governance 	<ul style="list-style-type: none"> • Better living conditions & quality service delivery • An empowered community
Local Authorities (Technical & Political wings)	High	Medium/ High	<ul style="list-style-type: none"> • Cooperation & Local political support • Data & information maintenance and updating • Counterpart funding 	<ul style="list-style-type: none"> • Capacity building & Exposure • Financial support 	<ul style="list-style-type: none"> • Enhancing efficiency in service delivery
Core-line ministries and Government Agencies	Medium/ High	Medium	<ul style="list-style-type: none"> • Collaboration & Support • Data & Information • Facilitation 	<ul style="list-style-type: none"> • Collaboration & Support • Data & information • Facilitation 	<ul style="list-style-type: none"> • Collaboration & Mutual consultation
Development Partners : UN-Habitat, EU	High	Medium	<ul style="list-style-type: none"> • Collaboration & Technical support & Resource mobilisation • Capacity building & Sharing of best practices 	<ul style="list-style-type: none"> • Collaboration & Support & Experience sharing • Data & Information & Facilitation • Accountability 	<ul style="list-style-type: none"> • Mutual support
Top leadership: Political, top managers, ambassadors etc.	High	High	<ul style="list-style-type: none"> • Political goodwill • Advocacy • Resource Mobilisation • Support 	<ul style="list-style-type: none"> • Collaboration & Support • Data & Information • Involvement 	<ul style="list-style-type: none"> • Collaboration & Mutual support

2.3 Establishment of the Country Team

2.3.1 National and local government representatives

Following the stakeholder analysis, the PSUP Country Team (CT) was established. The Kenya PSUP Country Team is composed of local and national level public institutions that were instrumental in slum upgrading in Kenya. The national level key CT members were drawn from:

- At national level, the Urban Development Department (UDD) under the Ministry of Local Government (MoLG) the Ministry of Housing (MoHg) and the Department of Physical Planning (DPP) under the Ministry of Lands.
- At local level, members were from departments in charge of planning and social development in the County Council of Kilifi (CCK)³, which in charge of affairs in Mtwapa town.

The key institutions were prompted to nominate knowledgeable and experienced officers in urban development and slum upgrading to be part of the technical team for the PSUP implementation. Requests were made through the UDD to the Ministries in charge of housing and physical planning to nominate officers and the Town Clerk of the County Council of Kilifi officially nominated two officers from the department of town planning and a community development officer for the programme.

2.3.2 Establishment of community representation bodies

To ensure the inputs of the community in decision making processes for the PSUP implementation and the development of the CWSUPS for Mtwapa settlement-level institutions to represent the community's interest were established. This required first the identification of community champions or representatives which could serve as entry points into the community. in the case of Mtwapa, the assistance of the Area Chief (Local Provincial Administration) was instrumental and facilitated the establishment of an *ad hoc* committee, which consisted of 4 – 6 representatives from each of the eleven informal settlements identified in Mtwapa. This Interim Resident's Committee was composed of village elders which had participated in the ISUDP process making them a special entry point for connecting with the communities. The key guiding steps for the formation of the Interim Resident's Committee in the Mtwapa example included:

- The members of the Interim Committee were amongst those who had participated in the citywide strategy definition process.
- Other members were incorporated through consultation with local administrative offices due to their linkage to national programmes and priorities.
- A survey was conducted in the community to get names of people considered influential in the community.

This committee provided crucial data while creating a channel for community mobilisation and sensitisation during PSUP preliminary stages. Furthermore, this committee paved way to institutionalisation of community participation through election (later in the PSUP process) of a community representation body known as the Residents' Committee (RC). The RC was formed at the initial stages of pilot project implementation and represented the interest groups in the informal settlements selected through the CWSUPS process for the implementation of physical activities.

³ The County Council of Kilifi became the County Government of Kilifi (CGK) following constitutional changes that resulted in devolved units known as County Governments.

2.3.3 Inclusion of community elected representatives

The PSUP also involved the political leaders elected by the community. The programme involved the sitting Councillor a member of the then County Council of Kilifi (with 2010 constitution this title was changed to Member of Assembly⁴ (MCA)). The councillor provided the much-needed political support and lobbying for support for programme initiatives at the local assembly. This was particularly important throughout the process as land administration and management has been a significant political issue for slum upgrading programmes in Kenya and endemic in coastal region of Kenya.

2.4 Capacity building

Capacity development for of the relevant stakeholders was a continuous process throughout the PSUP implementation. Community representatives and technical officers from both levels of the government were involved in various local and regional training workshops and international conferences organised by UN-Habitat and partners. This provided platforms for experience sharing among implementing teams and PSUP tool and approach training.

Table 3. Lessons learnt: Stakeholder identification

LESSONS LEARNT: Stakeholder identification	
<ul style="list-style-type: none">• Diverse stakeholders need to be engaged in the PSUP process and be part of the Country Team.• Communities need to be part for the process since the beginning.• Ensure that decision makers and technical officers are engaged in the programme implementation. The Country team should be composed of decision makers and a technical team capable of following up the implementation.	
DOs	DON'Ts
<ul style="list-style-type: none">- Request an official appointment of officers and representatives from the relevant institutions.- Engage local administration and leadership structures in sensitization of the public about the projects- Undertake consultations during stakeholder mapping to include those that don't look obvious- Map different engagement levels for different stakeholders in their participation- Balance between stakeholder power/influence and interest- Focus on those stakeholders who will benefit most with end outcome to integrate/empower them	<ul style="list-style-type: none">- Assume all stakeholders have the same level of engagement- Undertake one-off stakeholder mapping: stakeholder relevance increases and decreases at different stages- Let stakeholders derail the project goals and activities- Ignore local community power structures and they have both power, influence and interest in the project- Ignore current opinions of stakeholders to the project

⁴ The County Assembly is the legislative arm of the County Government which makes laws to govern certain operations. The assembly also has oversight responsibilities on the county's operational activities. The County Assembly consists of elected Members of County Assembly (MCAs) from the wards, nominated members and the Speaker elected by the County Assembly. Before the promulgation of Kenya National Constitution 2010, the Councillors represented the wards in the County Council which had less delegated powers than the County Governments that were created to devolve national government functions in 2010.

3 SLUM SITUATION ANALYSIS

The slum situation analysis enables to understand the situation in the slums at city level and influence the decision-making process of the City-Wide Slum Upgrading and Prevention Strategies. In the PSUP approach, the situation analysis enables the mapping and the analysis of the living conditions in all slums. This data will enable to identify and prioritise actions leading to the implementation of pilot projects in selected neighbourhoods which can then be replicated in other slums at city level.

3.1 Settlement identification

The scope of the PSUP included the informal settlements located within the boundaries of Mtwapa. Nevertheless, the whole Mtwapa town has been developed without guidance of a master or development plan which has led to a general irregular physical layout. This made the identification of the settlements where to focus the PSUP activities challenging without a physical layout structure as a reference.

To identify informal settlements for in Mtwapa, a set of criteria was developed. The criteria were based on the five UN-Habitat slum deprivations as well as criteria for settlement selection adopted by the Mtwapa ISUDP settlement upgrading strategy. Development of the integrated criteria, summarised in **Table 4**, was spearheaded by the CT and UN-Habitat in collaboration with the Residents' Committee.

Table 4. Criteria for identification of informal settlements in Mtwapa Town

UN-HABITAT CRITERIA (the five slum deprivations)	ISUDP CRITERIA (Settlement selection criteria)
Durable housing of permanent nature that protects against extreme climate conditions.	Poor housing with informal or traditional land tenure systems.
Sufficient living space, which means not more than three people sharing the same room.	Degradation of the prevailing ecosystem.
Easy access to safe water in sufficient amounts at an affordable price.	Rapid, unstructured and unplanned developments.
Access to adequate sanitation in the form of a private or public toilet, shared by a reasonable number of people.	Informal road network grids and poor sanitation networks.
Security of tenure that prevents forced evictions.	Lack of basic services like schools and emergency services.

3.2 Slum mapping

Based on the criteria developed, the mapping and GIS experts identified the informal settlements in Mtwapa building on the existing data drawn from the ISUDP GIS database. The settlement mapping exercise identified eleven informal settlements within Mtwapa town including: Mzambarauni, Kwa Goa, Kwa Mavitswa/ Kwa Samira, Makadara, Mtomondoni, Four Farm, Kwa Nyambura, Majengo, Maweni, Soweto, and Mwando wa Panya. The

Figure 4. The poor housing, poor accessibility and poor solid waste management in informal settlements in Mtwapa



3.3.3 Consolidation of the data

The findings of the slum situational analysis for the eleven settlements in Mtwapa highlighted a variety of issues affecting the 37,483 (CBS 2010) residents. The analysis (summarised in Table 5 below) indicated settlement-specific challenges affecting each of the eleven slums.

Table 5. Summary of the slum analysis for eleven settlements in Mtwapa (Source Kenya PSUP project Document)

SETTLEMENT NAME	ANALYSIS PER SETTLEMENTS	MAJOR CHALLENGES
Mzambarauni	<ul style="list-style-type: none"> Exhibits the lowest availability of piped water on plot & High percentage of households depending on sources other than piped water. Among the lowest availability of electricity connection. Among the lowest percentage of households with permanent source of income. Lowest proportion of rental housing. 	<ul style="list-style-type: none"> Insecurity of tenure Poor accessibility Congestion Poor lighting (at night) & Insecurity Poor waste management Poor electricity connection
Majengo	<ul style="list-style-type: none"> Lower proportion of permanent dwellings than the temporary dwellings. Among the lowest proportion of permanent dwellings & Second lowest average monthly rent per room. Average availability of electricity connection. 	<ul style="list-style-type: none"> Insecurity of tenure Congestion Poor accessibility and lack of SWD & Flooding (Makweza swamp overflows when it rains) Insecurity & Poor lighting

	<ul style="list-style-type: none"> • Lowest average income per household. • High percentage of households depending on sources other than piped water. 	
Maweni	<ul style="list-style-type: none"> • Average proportion of permanent dwellings. • Lowest average income per household. 	<ul style="list-style-type: none"> • Poor accessibility • Poor street lighting • Poor waste management • Congestion • Poor housing & amenities • Flooding (when it rains)
Mtomondoni	<ul style="list-style-type: none"> • Extension of the slum is the highest, with the highest number of dwellings. • High percentage of households depending on sources other than piped water. • Average availability of electricity connection. 	<ul style="list-style-type: none"> • Poor accessibility • Poor lighting
Makadara	<ul style="list-style-type: none"> • Lowest percentage of households with permanent source of income. • Highest average monthly income per household. 	<ul style="list-style-type: none"> • Poor accessibility • Poor street lighting • Poor waste management • Inadequate drainage system
Kwa Nyambura	<ul style="list-style-type: none"> • Low availability of piped water on plot. • High percentage of households depending on sources other than piped water. 	<ul style="list-style-type: none"> • Poor accessibility and floods when it rains • Poor street lighting • Poor SWM
Kwa Gowa	<ul style="list-style-type: none"> • Low availability of piped water on plot. • High percentage of households depending on sources other than piped water. • Among the locations with the lowest percentage of households with a permanent source of income. 	<ul style="list-style-type: none"> • Insecurity of tenure • Poor accessibility • Inadequate clean water and sanitation facilities. • Poor waste management • Poor lighting/electricity connection
Soweto	<ul style="list-style-type: none"> • The average household size is amongst the highest 	<ul style="list-style-type: none"> • Insecurity of tenure • Poor accessibility • Lack of sanitation facilities (toilets) • Poor SWM • Inadequate clean water • Poor lighting/electricity connection
Mwando Wa Panya	<ul style="list-style-type: none"> • The average household size is amongst the highest. 	<ul style="list-style-type: none"> • Insecurity of tenure • Poor lighting • Inadequate health facilities (existing far from the settlement)
Kwa Mavitswa/Kwa Masira	<ul style="list-style-type: none"> • Lowest percentage of households with main income or productive activity at home. • Lowest availability of electricity connection. • High percentage of households depending on sources other than piped water. • Lowest proportion of permanent dwellings. 	<ul style="list-style-type: none"> • Insecurity of tenure • Poor lighting • Inadequate health facilities (existing far from the settlement) • Poor sanitation
Four Farm	<ul style="list-style-type: none"> • Lowest percentage of households with main income or productive activity at home. • Lowest availability of electricity connection. • High percentage of households depending on sources other than piped water. • Lowest proportion of permanent dwellings. 	<ul style="list-style-type: none"> • Insecurity of tenure • Poor lighting • Inadequate health facilities (existing far from the settlement) • Poor sanitation

The data gathered for all the settlements in Mtwapa during the situation analysis included:

- **General information about the settlements** (Slum population; area covered by the settlement; Number of dwellings; Population density and Average household size)
- **Information about the five slum deprivations:**
 - o Overcrowding (Room occupancy (number of persons per room)
 - o Housing (Proportion of permanent, semi-permanent and temporary dwellings; average construction cost of dwellings).
 - o Tenure (Average residential plot size; Proportion of rental housing; Average monthly rent per room)
 - o Access to water and other infrastructure (Availability of piped water on plot; Distance to piped water; Proportion of households depending on sources other than piped water (water vendors, rivers, wells); Availability of electricity connection (formal connection) in dwelling).
- **Socio-economic information about the dwellers:**
 - o Livelihoods (Average monthly household income; Households with permanent source of income; Households with main income or productive activity at home/plot)
 - o Health (HIV/AIDS prevalence).
- **Crosscutting issues:**
 - o Gender and inclusion (Female headed households; Proportion of population receiving food assistance)
 - o Climate change (Main environmental hazards (floods, landslides, pollution from surroundings).

Whenever possible, the data was disaggregated by sex to understand the specific challenges and situation of women. The consolidation of the data was guided by the PSUP data collection tools for slum situation analysis. Annexes

Annex 1 presents the overview of the information gathered for all settlements in Mtwapa.

Table 6. Lessons learnt: Slum situation analysis

LESSONS LEARNT: Slum situation analysis	
<ul style="list-style-type: none"> In the case of Mtwapa, much of the needed information was already available. Assessing the existing data sources and consolidating the data can provide you with most of the needed information to understand the slum situation at city level. Data collection mechanisms include interviews and focus groups discussions. These are also a key tool to validate and share the findings and ensure that all stakeholders share the same baseline which will then inform participatory decision making. 	
DOs	DON'Ts
<ul style="list-style-type: none"> Validate the data available or collected with the key stakeholders. Develop simple data collection tools that communities can understand Use community members to undertake local data collection and provide them with skills Utilise existing information at city level as baseline information and seek to build capacity of municipalities to collect, analyse and store this data in shareable format 	<ul style="list-style-type: none"> Treat the data as a secret from stakeholders as this will reduce trust of partners in the project Discredit the statutory data (census, enumerations) collected for different purposes Exclude communities in data collection and mapping exercises as they have valuable local information Favour complex technology that excludes the people and local departments

- Make the findings public to get interest of the stakeholders	- Focus too much on physical data but instead emphasis should be more on the effects on the lives of people living in slums
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4 POLICY AND REGULATORY FRAMEWORK REVIEW

The policy and regulatory framework review aim at identifying the provisions within the existing policy and regulatory frameworks facilitating or hindering slum upgrading interventions. Furthermore, the analysis enables to identify the gaps in relation to slums in the existing frameworks. The analysis builds on the findings of the situation analysis as, the recurrent in all settlements can indicate that there is a gap or a provision hindering in the policy and regulatory instruments for that specific area to be addressed.

4.1 Mapping of relevant policies and legislation

In the process of the development of the CWSUPS the existing policy and regulatory framework was reviewed (as summarised in

Table 7). This review enabled to ensure that every key step of PSUP implementation was backed up by the frameworks in place, identifying the provisions facilitating slum upgrading.

Table 7. A summary of the legal & institutional framework

LEGAL FRAMEWORK	RELEVANCE TO PSUP
Constitution of Kenya 2010 (Supreme law of the Republic and binds all persons and all state organs at both levels of government.)	Section 43 part 1(b) everyone has the right to accessible and adequate housing, and to reasonable standards of sanitation. Section 44 (4) Public land shall not be disposed of or otherwise used except in terms of an Act of Parliament specifying the nature and terms of that disposal or use.
Vision 2030 (2008 – 2030) (Provision of high-quality life to all citizens by the year 2030.)	Aims to provide the country's population with adequate and decent housing in a sustainable environment. Recognises overcrowding, lack of adequate sanitation and pollution in slums as major health risks to residents.
Government Lands Act 2012 (Revise, consolidate and rationalise land laws to provide for sustainable administration & management of land & land-based resources, & for connected purposes.)	Land under question in Majengo and Mzambarauni is Government land and therefore falls under the stipulations of the Act. Land allocations expected as the culmination of the Planning exercise be pursuant to GLA 280. GOK is the leaser while the beneficiaries in are the lessees while all roads and public amenities revert to the government.
Physical Planning Act, Cap 286 & the Physical Planning Hand Book (Provide for the preparation and implementation of physical development plans and for connected purposes.) (The Handbook is a supplemental guidance and standards on the process and practice of land use planning.)	Planning of slums in Mtwapa is within the framework of the Physical Planning Act and the Physical Planners Registration Act. Preparation of the Action Area Plans is provided for in the third schedule of the Act under short term plans.
Urban Areas and Cities Act of 2011 (Provide for classification, governance and management of urban areas and cities; To provide for the principle of governance and	Provides general guidelines as to the standards to be followed when developing various Land uses. Guides realisation of strong controls to secure proper use of land and ensure achievement of planning objectives.

participation of residents and for connected purposes.)	
County Government Act of 2012 (Provide for county governments' powers, functions and responsibilities to deliver services and for connected purposes)	Provides for preparation of integrated plans. The PSUP plans are anchored in the Mtwapa ISUD plan provides a basis of development control and provision of physical and social infrastructure and transportation etc. Promotes participation by residents in the governance of urban areas and cities.
Environmental Management and Co-Ordination Act Cap 387 (EMCA), 1999 (Provide for the establishment of an appropriate legal and institutional framework for the management of the environment and for matters connected therewith and incidental thereto.)	Legislation governing the management of natural resources in the country and upholds the importance of environmental protection. Provides for substantial public involvement in any major development decisions, which have an environmental bearing.
National Land Commission Act (An Act of Parliament to make further provision as to give effect to the objects and principles of devolved government in land management and administration, and for connected purposes.)	Management of public Land on behalf of the National and county governments. Advise national government on a comprehensive programme for the registration of title in land in Kenya. Encourage application of traditional dispute resolution mechanisms in land conflicts. To monitor and oversee land use planning throughout the country.
National Land Policy (Promote positive land reforms for the improvement of the livelihoods of Kenyans through the establishment of accountable and transparent laws, institutions and systems dealing with land.)	Supports PSUP Kenya's key components of provision of secure land tenure. Complies with one of the key guiding principles of NLP: equitable access to land for subsistence, commercial productivity, settlement, and the need to achieve a sustainable balance between these uses.

1.2. Recommendations for the strengthening of the policy and regulatory framework.

The identification of the relevant policies and legislation enabled to analyse the policy and regulatory framework for slum upgrading in Kenya. The process for the legislation and policy review engaged key stakeholders such as the Ministry of Land, Ministry of Housing through thematic focus groups discussions.

Table 8: Lessons learnt: Policy and regulatory framework review

LESSONS LEARNT: POLICY AND PREGULATORY FRAMEWORK REVIEW	
DOs	DON'Ts
<ul style="list-style-type: none"> - Engage legal and policy experts in the analysis of the legislation and policy but also other parties who are impacted by them - Create thematic teams to analyse sectoral policies and legislation to ensure efficiency - Make the process as participatory as possible but focused - Invite policy makers for the validation workshops and discuss with them areas - Make policy recommendations and establish consultative process with relevant policy institutions on the changes required 	<ul style="list-style-type: none"> - Assume slum dwellers are not knowledgeable on policies and legislation. Undertake consultations with them and document their concerns and inputs - Over-emphasise on technical aspects of the review that excludes contribution of communities and other stakeholders that may not be legal experts.

5 DEVELOPMENT OF THE STRATEGY

The City-Wide Slum Upgrading strategies aim at the identification of strategic actions to improve the living conditions in informal settlements city-wide. Based on the results of the slum situation analysis, the vision for the development of the city will be identified and the causes of the deprivations observed in the settlements analysed. The strategy will aim at addressing the root causes of the problems observed through actions in the short, mid and long term. The strategy development also entails the selection of priority settlements where pilot interventions will be implemented. This will enable to pilot the approach at settlement level to learn and replicate in other areas in the future for a phased approach for upgrading at city-level.

The process for the identification of the priority actions, the settlement selection and the pilot projects definition is a participatory process, engaging all relevant stakeholders through thematic focus group discussions and other participatory forums and sessions.

5.1 Cause root analysis and visioning

The results of the mapping and situation analysis guided prioritisation of interventions and formulation of strategies to address specific slum challenges observed at settlement level. This step enables to identify the causes of the problems observed through a cause-root analysis methodology, the process resulted in a summary of the interventions for each settlement as identified by stakeholders including the settlement dwellers to address the main issues observed.

The identification of the priority interventions at settlement level - summarized in **Table 9** below - was done through focused group discussions that involved Country Team members and community representatives from all the settlements.

Table 9: Priority interventions in informal settlements in Mtwapa ⁵

SETTLEMENT NAME	CAUSE ROOT ANALYSIS
MZAMBARAUNI	<ul style="list-style-type: none">• Formalisation of tenure• Improved roads & drainage• Lighting (urban masts)
MAJENGO	<ul style="list-style-type: none">• Formalisation of tenure• Improved roads & drainage• Lighting (urban mast)
MTOMONDONI	<ul style="list-style-type: none">• Improved roads & drainage• Lighting• Construction of a secondary school block
MAKADARA	<ul style="list-style-type: none">• Market sheds• Street lighting (on the existing roads)

⁵ Two of the 11 settlements identified in the mapping exercise were in private properties which were repossessed and the residents relocated.

KWA NYAMBURA	<ul style="list-style-type: none"> Improved SWD & Sustainable SWM system Lighting (street lighting and urban masts)
KWA GOWA	<ul style="list-style-type: none"> Improved roads & drainage Lighting Sustainable solid waste management systems
KWA MAVITSWA/KWA MASIRA	<ul style="list-style-type: none"> Formalisation of tenure Provision of sanitation facilities Improved roads
FOUR FARM	<ul style="list-style-type: none"> Formalisation of tenure Provision of sanitation facilities Improved roads
MAWENI	<ul style="list-style-type: none"> Formalisation of tenure Health facility Lighting

5.2 Selection of priority intervention areas at city-level

Table 10: Priority issues in informal settlements in Mtwapa

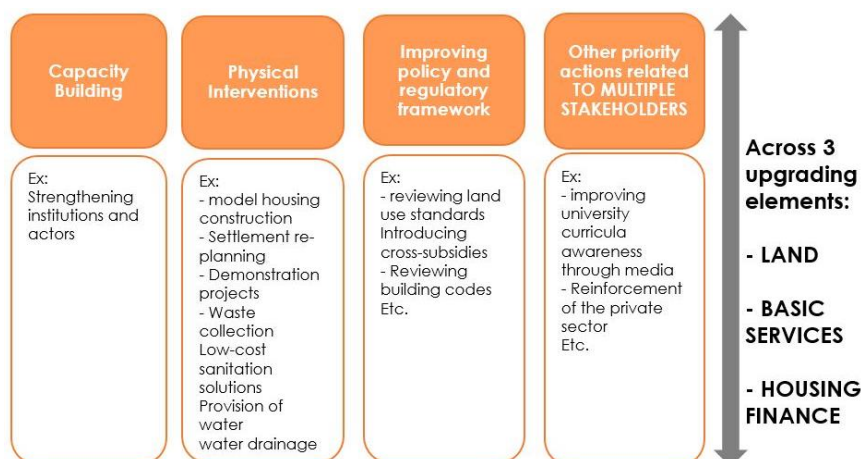
UPGRADING ELEMENT	PRIORITY AREA	INTERVENTION	DESCRIPTION: ANALYSIS AND ONGOING ACTIVITIES
1. Land	Formalization of tenure		<ul style="list-style-type: none"> Two (2) of the settlements (Majengo and Mzambarauni) lie on Council/Government land Six (6) settlements lie on private land where structure owners have some form of agreements with the land lords (Characterized by relatively better housing conditions and services). In one of the settlements (Makadara), most residents have ownership documents.
	Accessibility		<ul style="list-style-type: none"> Apart from the villages abutting main tarmac roads as the boundary, there is no tarmac road as one moves to the interior and in other places there lacks motorable roads. Existing roads (where there exists) are in poor condition as they are not well maintained
2. Basic Services	Drainage		<ul style="list-style-type: none"> Six (6) of the settlements face flooding at varying levels especially when it rains. Two (2) of the settlements are located near swamps which overflow when it rains causing havoc within the settlements
	Lighting (leading to increased security)		<ul style="list-style-type: none"> Inadequate lighting in the settlements resulted in insecurity especially at night. Considering Mtwapa is known for its 24hr economic activities, lack of lighting in these settlements hinders this achievement. Ongoing initiatives by the council to put up street lights and urban mast to enhance security.
	Solid Waste Management System		
	Sanitation Facilities		

5.3 Definition of priority actions

Once the priority intervention areas have been identified at city level, the CWSUPS aims at the identification of concrete actions including:

- Capacity building actions;
- Physical interventions;
- Actions for the improvement of the policy and regulatory framework;
- Other actions related to the institutional set up.

Figure 5. Participatory identification of priority actions



The identification of the actions was done across the identified two intervention areas for Mtwapa: land and basic services. The process of identification and prioritisation of interventions was undertaken through thematic group discussions and consultations engaging the CT members and the community representatives as well as based on data collected during the situation analysis phase.

The priority interventions were further broken into strategic interventions and priority actions as summarised in Table 11

Table 11 below.

Table 11: Summary of the City-Wide Slum Upgrading and Prevention Strategy (Source Kenya PSUP Project Document)

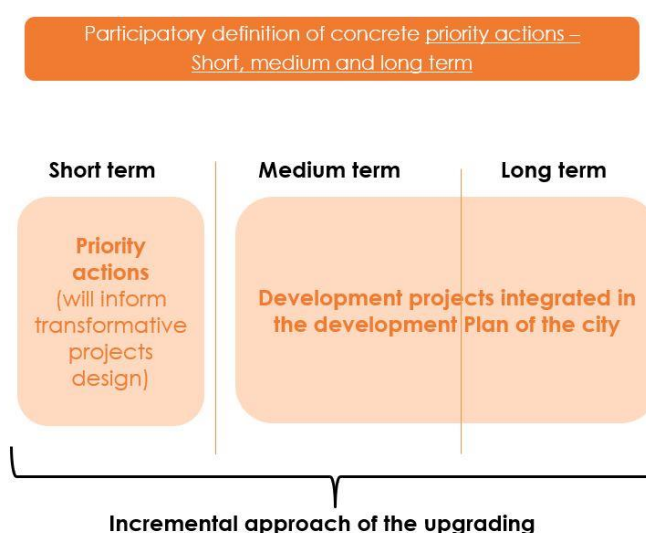
UPGRADING ELEMENT	PRIORITY INTERVENTION AREA	PRIORITY ACTIONS IDENTIFIED
1. Land	Informal Settlements Regularisation through security of tenure	<ul style="list-style-type: none"> • Informal settlements mapping update • Ownership registration • Socio-economic survey & enumeration of the informal settlements • Physical Planning/layout planning • Cadastral survey & tenure registration
1. Basic Services	Accessibility and Drainage System	<ul style="list-style-type: none"> • Improvement of 2.5 km road from Mzambarauni through Kwa Gowa & Mikanjuni up to Chief's camp and back to the Stage

	<ul style="list-style-type: none"> • Opening and grading of roads within the settlements (approx.. 1km per settlement) including construction of drainage systems • Construction of vertical drains and soak pits at the flood affected areas
Lighting (leading to increased security)	<ul style="list-style-type: none"> • Installation of streetlights along existing access corridors • Installation of high mast security light within the settlement
Solid Waste Management System	<ul style="list-style-type: none"> • Capacity build, especially youth groups, in establishment and management of a sustainable solid waste management system
Sanitation Facilities	<ul style="list-style-type: none"> • Provision of proper sanitation facilities at strategic points within the 2 settlements that lack the facilities • Promote service charge for sustainability • Promote service charge for sustainability of the initiative service

5.4 Action planning: activities, budget, timeframe and responsibility allocation

To ensure the implementation of the actions identified through the CWSUPS, the estimated budget, timeframe for implementation and responsible stakeholder need to be identified. This step entails identifying which of the actions will be implemented in the short, medium and long term. Providing the estimated budget for the implementation of the activities and designating the responsible stakeholder will also ensure that resources are allocated and that stakeholders are held accountable of the implementation of the strategy.

Figure 6. Participatory definition of concrete priority actions – Short, medium and long term



For Mtwapa, a framework for the implementation of the priority actions was developed. This framework included the activities and sub activities needed for the implementation of the identified actions, the timeframe, the budgeting and the responsibility allocation shown in Table 12 below were developed by the relevant stakeholders. The identification of a timeframe and responsible

stakeholders aimed at ensuring there was a follow through for implementation of the actions identified by the CWSUPS for Mtwapa and achieve the accountability of stakeholders. The activity plan aimed at guiding the allocation and mobilisation of resources from national and local governments to complement the PSUP programming grant funds from European Commission (EC) allocated for implementation of actions. The action planning was informed by the actions, responsibilities and timeframes for implementation identified in the Mtwapa town ISUDP action plan in Annex 3: Mtwapa Town settlement Upgrading Action Plan (Source: Mtwapa ISUDP).

Table 12: Implementation plan and budget

ACTIVITY	SUB – ACTIVITIES	MAIN ACTORS	TIME FRAME	COSTS (KSHS.)
Rapid Project Appraisal	<ul style="list-style-type: none"> Review of secondary data Reconnaissance Fine tuning of project documents Verification of ISUD results 	<ul style="list-style-type: none"> CCK ODPM& MoLG Mtwapa Residents UN – Habitat/PSUP 	1 month	2 Million
Community Mobilisation	<ul style="list-style-type: none"> Awareness creation Community Organisation/ Election and registration of Committees Training/ capacity building 	<ul style="list-style-type: none"> UN – Habitat/PSUP, CCK ODPM& MoLG Mtwapa Residents 	3 months	15 Million
Appreciation of existing situation	<ul style="list-style-type: none"> Base mapping Ownership registers Socio-economic survey and enumeration 	<ul style="list-style-type: none"> CCK ODPM& MoLG Mtwapa Residents UN – Habitat/PSUP 	6 months	12 Million
Participatory planning process (Physical Plans/ Layout plans)	<ul style="list-style-type: none"> Visioning workshops Planning proposals drafts Final plans 	<ul style="list-style-type: none"> CCK ODPM& MoLG Mtwapa Residents UN – Habitat/PSUP MoL 	3 months	5 Million
Cadastral Survey and Land tenure registration	<ul style="list-style-type: none"> Cadastral survey Registration of titles 	<ul style="list-style-type: none"> ODPM & MoLG MoL Mtwapa residents, UN – Habitat/PSUP, other donors 	12 months	30 Million
Infrastructure improvement	<ul style="list-style-type: none"> km link road from Mzambarauni through Kwa Gowa and Kwa Nyambura to connect to the main Mombasa-Malindi road Access Roads (1 Km/ Village) & SWD Street lighting Water and sanitary blocks 	<ul style="list-style-type: none"> UN – Habitat/PSUP, ODPM & MoLG Mtwapa residents, Other Donors 	24 months	450 million

Environmental management	<ul style="list-style-type: none"> • Capacity building • SWM • Greening and beautification • Environmental conservation 	<ul style="list-style-type: none"> • UN – Habitat/PSUP • CCK • ODPM& MoLG • Mtwapa Residents 	6 months	0 Million
Preparation of a Land Information System (LIS) and GIS	<ul style="list-style-type: none"> • Data collection • Capacity building (Training and Equipment) • Establishment of a GIS/LIS 	<ul style="list-style-type: none"> • UN – Habitat/PSUP, • CCK • ODPM& MoLG 	6 months	20 Million
Housing Improvement⁶	<ul style="list-style-type: none"> • Formation of Housing Cooperatives • Building plans and standards 	<ul style="list-style-type: none"> • CCK • ODPM& MoLG • Mtwapa Residents • UN – Habitat/PSUP 	3 months	10 million

Table 13: Lessons learnt: Development of the Strategy

LESSONS LEARNT: DEVELOPMENT OF THE STRATEGY	
<ul style="list-style-type: none"> • Partnership building for bringing change in informal settlements is dependent on having a shared vision by all stakeholders; • A mechanism for implementation of priorities identified needs to be part of the strategy development especially for the immediate pressing community needs (water, sanitation and safety); • Citywide strategy needs to link with the statutory planning instruments in the city to benefit from institutional support and funding. In the case of Mtwapa this was the Integrated Strategic Urban Development Plan (ISUDP), 2010 	
DOs	DON'Ts
<ul style="list-style-type: none"> - Review the stakeholder mapping to match the growing needs and emerging issues - Involve policy makers and decision makers at National and City level on the CWSUPS process and keep communication flowing - Align and integrate the CWSUPS with the statutory development and spatial plans - Maintain close attention to the marginalised and weaker groups to ensure their interests are included in the Strategy and action plans 	<ul style="list-style-type: none"> - Leave the strategy to technocrats as the process may become too complex for community representatives - Detach the CWSUPS from on-going city and community developments - Divert from the common vision agreed in the visioning process that remains as the charter

⁶ This was among the main catalytic project undertaken by the Ministry of Local Government (MoLG) to implement the ISUDP

6 SETTLEMENT SELECTION AND PILOT PROJECTS

The limited resources available within the PSUP for the implementation of physical interventions forced this prioritisation of settlement to pilot the physical interventions to showcase the PSUP approach.

6.1 Settlement selection

6.1.1 Selecting settlements for piloting interventions

The Kenya PSUP Country Team (CT) initially proposed to consider all the eleven slums in Mtwapa for the implementation of slum upgrading interventions under PSUP, however, it was decided that it was more strategic to localise the funds for the intervention in two settlements to pilot the planning and implementation methodology.

The decision to settle on the two settlements was informed by the ease in negotiating release of public land with responsible authorities. Private land on the other hand would have generated inconveniences including litigations. The CT prioritised the neighbourhoods of Majengo and Mzambarauni for the development of participatory neighbourhood plans under the PSUP and the implementation of transformative projects.

6.1.2 Site selection criteria

In order to ensure a transparent and strategic process in the selection of the settlements for the implementation of the priority projects, the CT in conjunction with the UN-Habitat PSUP team, and in consultation with representatives from the eleven settlements, agreed on a set of criteria for selecting slums with the highest need for interventions. The criteria considered settlements established on public land to facilitate the piloting of the intervention and settlements that experienced at least four of the five slum deprivations. The following criteria were developed and applied for the selection of Majengo and Mzambarauni for the implementation of pilot interventions under the PSUP:

- Settlement identified in the City-Wide plan as a slum;
- Settlement experiencing the five slum deprivations;
- Land availability and land tenure insecurity;
- Settlement located on publicly owned land;
- Support of upgrading efforts by the authorities;
- Support of upgrading efforts by the community.

6.2 Pilot project identification

Based on the priority interventions identified in the CWSUPS, pilot projects were designed for the settlements of Mzambarauni and Majengo.

6.2.1 Concept note development

The pilot projects identified for the settlements of Majengo and Mzambarauni included:

- Participatory neighbourhood plan for tenure regularisation;
- The improvement of the water connection in Mzambarauni;
- A modern ablution block in Mzambarauni;

- The construction of two RC offices that acted as community empowerment centres in Majengo and Mzambarauni; and
- The construction of solid waste transfer station at strategic locations in Majengo settlement.

Concept notes were developed for the physical interventions to guide the implementation and enable to allocate and mobilise resources for the implementation of the identified projects.

6.3 Implementation of the pilot projects

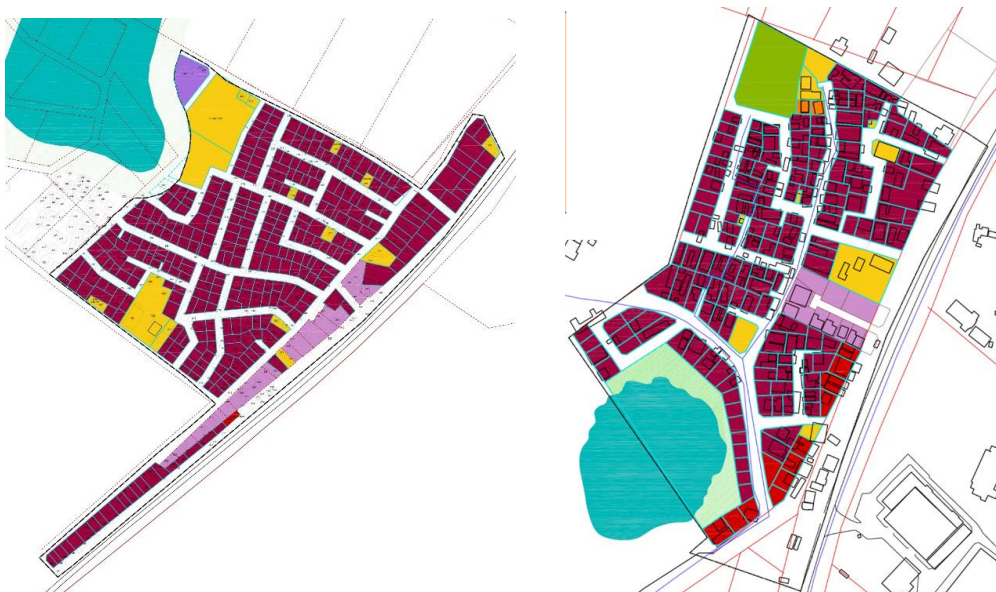
With the funds available within the PSUP, some of the pilot projects identified were implemented. The projects were implemented through community contracting under the supervision of a technical officer from the County Government which enabled to exploit local skills and to provide income generation opportunities in the neighbourhoods.

PARTICIPATORY NEIGHBOURHOOD PLANNING

The neighbourhood planning was identified in the City-Wide Slum Upgrading and Prevention Strategy (CWSUPS) for Mtwapa as one of the strategic intervention areas for addressing the lack of access to land and basic services.

The participatory neighbourhood planning process led to the development of an integrated development plan for the neighbourhoods of Majengo and Mzambarauni addressing the lack of effective development control in the settlements and guiding the development of the areas given the current rapid growth of Mtwapa town. The output of the stakeholder-driven planning process was a neighbourhood scale spatial plan which provides a framework for the delivery of land tenure security, infrastructure and services and serves as a guideline for the implementation of short-, medium- and long-term interventions aimed at improving living conditions in the target settlements.

Figure 7: Neighbourhood plan for Majengo (left) and Mzambarauni (right)



The entire planning process was guided by the PSUP principles, including stakeholder empowerment and partnership building; the promotion of in situ and climate resilient upgrading and of a people-centred participatory approach, among others.

Figure 8: Majengo and Mzambarauni RC members participating in development of the draft plans



For more information about the planning of Majengo and Mzambarauni, see documentation of the participatory neighbourhood planning process in Mtwapa, Kenya.

WATER SUPPLY

Through a collaboration between the PSUP and KIMAWASCO (Kilifi Malindi Water Service Company), the local water company, the company facilitated the connection of the water kiosks constructed by PSUP to the existing main water lines in Mzambarauni.

Figure 9: Connection of the water kiosks to the water lines



MZAMBARAUNI ABLUTION BLOCK

The ablution block was built to bridge the existing gap of sanitation facilities in the settlement.

Figure 10: Completed sanitation blocks in Mzambarauni settlement



The sanitation facility was built in front of a playground in the Mzambarauni settlement. The RC gave the responsibility of the management of the facility to the local youth group in charge of the playground as it was expected that they would frequently use the facility as changing rooms before and after activities in the field. The final structure includes latrines and showers in the ground floor and an upstairs office space for the use of the group managing the facility. The office space is currently used as classrooms by a nearby school.

COMMUNITY EMPOWERMENT CENTRES

The Mzambarauni and Majengo empowerment centres accommodate the Residents' Committees office and spaces to host other community activities. The RCs were an active stakeholder in the design stage of the centres and were involved in the supervision of the implementation to enhance their ownership as the users of the final facility.

Figure 11: Mzambarauni community resource centre



The construction of the facilities was supervised by a civil engineer hired by the CT and the construction works were done by workers drawn from the community. The construction of the centres was overseen by technical officers from the Kilifi County Government and the National Government for quality assurance. The CT team leader oversaw the procurement of materials ensuring that the material requirements provided by the community were followed and that materials were provided by local suppliers.

Figure 12: Majengo community empowerment center



Through the continuous engagement of community members in all steps of implementation, the project enhanced the capacity of the community to handle community projects. Furthermore, the construction engaging community labour and with the procurement of local materials ensured employment opportunities and economic benefits to the community.

COMMUNITY MANAGED FUNDS

Part of the funds allocated for the implementation of the pilot projects in Majengo and Mzambarauni was channelled as Community Managed Funds (CMF). to support community-led and community-driven projects. Community-led because projects implemented through CMF focus on addressing the major slum deprivations and improving the living condition of slum dwellers including solid waste management, improved access to portable water and affordable housing while supporting the local economic development and livelihoods. Community-driven because projects are identified, designed, implemented and monitored by communities. The CMF mechanism enabled the communities of the two settlements to identify,

design, implement and monitor interventions to improve the lining conditions in the settlements' in line with the intervention areas identified- and to generate income.

Through the CMF, seven Community Based Organizations (CBOs) were selected through a competitive process and received CMF funds to implement projects which ranged from solid waste collection and management; water provision through local water selling points; and the provision of alternative building materials through sustainable brick making.

Figure 13: Community-led waste management activities



Figure 14: Community managed water kiosks



For more information about the CMF in Majengo and Mzambareuni, see documentation of the Community Managed Funds in Mtwapa, Kenya.

Table 14: Lessons learnt: Settlement selection and pilot projects

LESSONS LEARNT: SETTLEMENT SELECTION AND PILOT PROJECTS	
<ul style="list-style-type: none"> • Empowered communities are able to negotiate with duty-bearers from position of knowledge and strength for projects and interventions that have transformative impact on their lives • Community mobilisation and organisation into community Development Committees (CDCs) created structures that were key to the success of the participatory neighbourhood planning • Communities possess adequate capacity to contribute with skilled and unskilled labour for the construction of projects. This provides opportunities for skills and economic development as it provided employment opportunities and ensures that the investments for the construction remains in the settlements. 	
DOs	DON'Ts
<ul style="list-style-type: none"> - Involve the community in the design, procurement and implementation for purposes of capacity building and enhancing ownership. - Undertake participatory neighbourhood planning in intervention communities to align interventions with future growth of the settlements - Empower communities to engage with city/local authority technical people to undertake planning and project selections - Encourage flexibility in planning for informal settlements and build capacity for local authority for technical personnel to engage with community representatives 	<ul style="list-style-type: none"> - Avoid recruiting labour from outside the community unless its special technical skills cannot be found within the community. - Allow dominance of community groups with power in planning and project selection but find mechanisms to identify marginalise groups to participate - Forget to factor in Operations and Maintenance of community infrastructure in planning and budgeting as well as allocating responsibilities

7 RESOURCE MOBILISATION STRATEGY

The identification and budgeting of concrete actions for the implementation of the strategy and the development of pilot project concept notes enables to understand what the need in resources for the implementation of the City-Wide Slum Upgrading Strategy is. To ensure the sustainability of slum upgrading efforts and to achieve scale, diverse sources of financing must be tapped. No single financing source will be able to cater for all the needs in terms of resources. The PSUP funds available for the implementation of physical projects aim at piloting the approach but cannot cater for all the needs identified for slum upgrading in Mtwapa.

The resource mobilisation strategy developed along with the CWSUPS aims at identifying the alternative sources of resources that can be mobilised for the implementation of the identified actions. The resources to be mobilised include financial, technical, human and land resources.

7.1 Identification of resource contributions from stakeholders

The identification of alternative sources for financial, technical, land and human resources for the implementation of the identified priority actions involved assessing the possible contributions to a comprehensive slum upgrading intervention by the government, development partners and communities.

The process of development of resource mobilisation strategy involved having consultative meetings with key stakeholders mapped to action planning process and undertaking a resource mapping exercise. Resource mapping exercise included identification of all possible resources that were required for the implementation of the strategy as well as those that were available with government, civil societies, private sector and communities. This included both capital (land, infrastructure) and financial resources (allocations and grants). A list of possible resources, their sources, conditions for access and timing to implement the CWSUPS was developed and used in consultative meetings.

NATIONAL AND LOCAL GOVERNMENTS

The upgrading of slums in Mtwapa depends on the availability of adequate **land** resources. The County Government of Kilifi (CGK) is the custodian of public land on which for example the Majengo and Mzambarauni settlements are located. In the priority action implementation for these two settlements, the County provided the land to facilitate the upgrading.

The County Government of Kilifi can leverage the increased land value resulting from the overall improvement in the settlements (through taxes or through selling of commercial land, etc.). These **financial** resources can be channelled back to slum upgrading interventions to provide infrastructure and services in the upgraded settlements or improve the living conditions in other areas as expand the scope of intervention. In addition, the county assembly and the mobilisation of other political representatives in the process is instrumental in influencing the allocation of existing resources to the priority interventions such as infrastructure and services within the informal settlements and slums in Mtwapa.

Furthermore, the National Government and CGK further can provide **technical** and **human** resources from various departments to oversee the entire the slum

upgrading process. This was the case for the implementation of the PSUP priority actions in the settlements of Majengo and Mzambarauni.

DEVELOPMENT PARTNERS

The participatory action planning exercise provides fundraising opportunities from development partners. The development of concept notes, the piloting of interventions and the identification of priority actions within the strategic and sustainable framework of the CWSUPS provide an entry point for the mobilisation of resources for sub-projects by development partners in their areas of interest and competence. UN-Habitat has a key role supporting in the identification of donors and sharing international experiences and best practices in similar programmes to mobilise further resources.

COMMUNITY LEVEL RESOURCES

The beneficiaries are expected to bear some costs of slum upgrading, which is a way of enhancing ownership of the interventions. For example, when an intervention leads to the regularisation of tenure, the community as the beneficiaries of the resulting plots, can cater for some of costs such as survey fees. Furthermore, the beneficiaries are expected to take the primary responsibility of improvement of housing once land tenure security is provided. Other charges like premiums and other statutory fees like land are often the responsibility of the beneficiaries of the improvement of infrastructure and service provision, tenure security or accessibility in a settlement. These contributions facilitate the implementation of improvement interventions and ensure the sustainability of the actions.

Efforts can be made to support the mobilisation of private resources by communities by ensuring the affordability of the solutions, linking the communities with possible financing partners or the adoption of sustainable joint funding mechanisms, subsidies, etc. such as pre-financing options for private improvement and agreements for repayment of infrastructure improvements by the beneficiaries.

7.2 Identifying actions for resource mobilisation

The CWSUPS is the guiding document for development of a resource mobilisation strategy. Actions identified and prioritised inform the resources required to implement immediate interventions but also funding stakeholders identified to be engaged for alignment of budgets and planning. The resource mobilisation needs to be allocated was allocated to the MoLG. As a state Ministry it had leverage to access state resources and influence to negotiate with international partners and local authorities on behalf of the communities. Local resource mobilisation responsibility was allocated to local council through elected officials and NGOs.

Table 15: Lessons learnt: Resource mobilisation strategy

LESSONS LEARNT: RESOURCE MOBILISATION STRATEGY	
<ul style="list-style-type: none"> • Engage experts in developing financing and resource mobilisation strategy but also involve funding stakeholders actively through the whole process • Align the statutory funding windows with institutions that are government funded including the budgeting timelines • Resource mobilisation strategy is key factor in the success of the formulation and implementation of the CWSUPS and needs continuous engagement with all stakeholders 	
DOs	DON'Ts
<ul style="list-style-type: none"> - Undertake extensive research on all possible sources of finance and resources and analyse them for appropriateness for slum upgrading - Consult and engage funding stakeholders regularly through the CWUSP process - Include community resources including labour into the strategy and consult with communities on what they can provide - Explore mechanisms to blend different resources for various interventions and actions - Consider land-based financing and private sector involvement by innovation 	<ul style="list-style-type: none"> - Ignore in-kind contributions from various sources - Forget to align the resource strategy to action plans (short, medium and long-term) - Over-rely on government (treasury) funding - Emphasise on one-off interventions but rather incremental funding to achieve desired state - Go deep in sectoral intervention but balance depth and breadth of intervention and spread resources accordingly

8 Institutionalisation of the CWSUPS

The City-Wide Slum Upgrading and prevention strategy is not only an output but a process which aims at influencing the approach for slum upgrading. The participatory approach for the development of the strategy will pave the way for the institutionalisation of the strategy, influencing the approach and resource allocation for slum upgrading at city and national level.

8.1 Validation of the CWSUPS

The CWSUPS strategy along with the resource mobilisation strategy and the pilot projects concept notes developed in the process was shared with the relevant stakeholders at city level for their inputs and approval.

The validation of the strategy was done in a city-wide validation workshop where the inputs from the relevant stakeholders were gathered. The validation stage is key for the implementation of the strategy as it enables to ensure that all the relevant stakeholders are aware of the identified actions and of the agreed responsibilities and timeframes.

8.2 Monitoring of the implementation of the CWSUPS for Mtwapa

The CWSUPS in Mtwapa influenced the allocation of resources by the Kilifi County Government.

8.3 Upscaling strategy of PSUP in Kenya

There are major ongoing urban development projects under the UDD and Housing Department in which the core PSUP Country Team members are key players. These programs include urban planning, urban development and slum/informal settlement upgrading at a larger scale than the PSUP pilot projects. They provide excellent potential for Upscaling and replicating the PSUP methodologies. Below is a brief description of four such programs, all co-financed by the World Bank and SIDA.

(i) **The Kenya Municipal Program, KMP.** This is a 5-year urban development program ending in mid-2017 and covering 15 of the Municipalities in Kenya. Its components include Capacity building and institutional strengthening, Mapping and Urban Planning, Infrastructure and services, and finally Project management and M&E. All its Planning and infrastructure are citywide. It has resulted in up to date digital topo-cadastral maps and Integrated Strategic Urban Development Plans for 12 Municipalities; all in digital GIS compatible formats. They include Capital investment plans, and various sector specific strategies. They also include area action plans for neighbourhoods and specifically informal areas and CBDs. The process was very participatory and involved engagement with all sections of the municipal residents. Most of these plans have now been approved by the County Authorities and are ready for implementation. This provides excellent opportunities for upscaling and replicating the PSUP methodology in the 12 towns, using the plans, data and prioritized projects generated as basis, then consulting the slum communities and ensuring alignment with PSUP methodologies, then implementing them.

(ii) **The Kenya Informal Settlement Improvement Program, KISIP.** This program is targeting the same 15 KMP towns but focuses on informal settlements only (though avoiding the actual slums). Its components include infrastructure improvements, planning and tenure regularization in the informal settlements. It borrowed from the citywide town plans that were done under KMP. The program has identified various projects some beyond its capacity to implement. PSUP could pick similar projects but targeting the very poor slums, most of which were not covered by KISIP. The first step would be reviewing the KISIP methodology and realigning it with the PSUP methodology.

(iii) **Nairobi Metropolitan Services Improvement Program, NAMSIP.** This is also a WB cofounded program but targeting the towns in the Nairobi Metropolitan region. Like KMP, it has urban Planning and Infrastructure components. PSUP would use the plans and data generated to initiate detail planning and infrastructure improvement in the towns covered by NAMSIP.

(iv) **Kenya Urban Program KenUP, and S2KenUP.** To implement the now approved National Urban Development Policy, NUDP, the UDD has formulated a major government urban development program KenUP. This is to be implemented by various actors including the County Governments, National Government Agencies and Non-State Actors. It is to be financed by the National government, County Governments, Development partners and other Donors. Currently the World Bank has committed to finance part of KenUP and is, together with UDD finalizing preparation of the USD 300M program called Support to KenUP (S2KenUP), to be effective by Oct 2017. S2KenUP will be a Program for Results (P4R) to be implemented by both the National and County Governments. It targets secondary cities (excludes Nairobi and Mombasa). Its objectives include enhancing urban management by building and supporting urban Institutions (Municipal boards), supporting urban planning, and implementing urban infrastructure and services projects. The preparation of this program is underway, at appraisal stage. S2KenUP hopes to interest other development partners to take other portions of the larger government program KenUP, thus building synergies. All 66 Municipalities will be eligible to join but will be subjected to some minimum conditions and performance measures. This is an excellent opportunity for upscaling and Replicating PSUP by doing its projects in counties that have formed the Municipal boards as supported by S2KenUP. Some members of the PSUP Country Team are in the S2KenUP preparation Team, and successfully lobbied for inclusion of “Area based projects” in the draft program menu.

8.4 Next Steps in replicating and upscaling PSUP in Kenya

It is proposed that the Replicating and Upscaling phase of PSUP in Kenya be done in three parts:

- a. Phase 3 Pilot sites (Mzambarauni and Majengo in Mtwapa). This would involve finalizing the remaining Tenure Security activities, intensifying the infrastructure and services, upscaling the piloted CMF model, and improving the resource and Empowerment centres already built; thus, making the two settlements model upgraded sites in the country. This would make them centres of excellence in upgrading and provide learning sites for Government Departments and agencies, NGOs, CBOs and organized community groups interested in Slum Upgrading.
- b. Replicating the project in the other 9 settlements in Mtwapa town, thus making Mtwapa slum free, and replicating in the other towns in Kilifi

County (one of the coastal counties with massive slum problems across all its towns)

- c. Replicating the PSUP Methodology, but at larger scale, in other towns in the Country, particularly towns where recent town plans and municipal boards are in place. This would be implementing scaled up PSUP projects as part of the larger government program, KenUP, thus become part of implementing the National Urban Development Policy, NUDP and the recently amended Urban Areas and Cities Act. It would involve working with the other urban programs like KMP, KISIP, NamSIP, and S2KenUP, and using the supported urban institutions, maps, data and plans to implement PSUP projects in the project towns.

The next steps would then be:

- Program Preparatory Activities from proposal preparation to final program document and commitment of funding, including counterpart funding.
- Appraisal of the Mtwapa Pilot Project to identify areas of further action as outlined in (a0 above
- Implementing the scaling up activities in the two settlements in Mtwapa
- Consultations with residents, stakeholders and County Government of Kilifi followed by Initiating PSUP in the other 9 settlements in Mtwapa and other towns in Kilifi County
- Consultative forum with other UDD Urban programs like KMP, KISP, NamSIP, and particularly S2KenUP. This would create the synergy with the other programs and identify the towns and areas for PSUP upscaled projects.
- Participate in preparation of Regulations to the Urban Areas and Cites Act, and ensure issues of slums come to the fore, and are guided towards PSUP methodologies.
- Training of Municipal boards (once formed) and staff on PSUP Methodologies; and provide technical assistance in selected towns on formulation of projects
- Consultations with County Government elected leaders, and staff of both Counties and urban boards on including slum upgrading in the County Urban Policies, strategies and programs. The NUDP requires Counties to prepare (domesticate) individual Urban Development Policies, Strategies and programs. This would lead to institutionalization of slum upgrading.
- Participatory selection of project towns; borrowing from the other urban programs
- Implementation of PSUP projects in selected towns depending on available funds
- Monitoring and Evaluation

Table 16: Lessons learnt: Institutionalisation of the CWSUPS

LESSONS LEARNT: INSTITUTIONALISATION OF THE CWSUPS	
<ul style="list-style-type: none"> • Institutionalisation of the strategy needs to take into consideration the on-going government and other development partner programmes • The strategy need ownership at local authority (Kilifi County) and mandate of custodian departments to integrate it into development framework 	
DOs	DON'Ts
<ul style="list-style-type: none"> - Consult with political and technical leadership at national and city level - Understand the policy and national development framework and align the Strategy to development - Keep stakeholders engaged in the institutional framework 	<ul style="list-style-type: none"> - Develop the CWSUPS independently without considering the relevant stakeholders. The participatory process will be key to enable the implementation of the strategy in the future. - Forget to get commitments between the city/national government and communities to implement the strategy

9 Annexes

Annex 1. Summary of studies conducted in Mtwapa Informal Settlements (Source: Kenya PSUP Project Document)

Data	Mzamba rauni	Majengo	Maweni	Mtomoni	Makadara	Kwa Nyambura	Kwa Gowa	Soweto	Mwando Wa Panya	Kwa Mwawira/ Kwa Samira	Four Farm
1) Slum population (persons disaggregated by gender)	300	5200	644	2000	1000	7550		660	1296	2000	
2) Land area covered by slums (hectares)	50	41	106	150		106	64		35		
3) Number of dwellings	166	1783	186				1339				
4) Population density (persons/hectares)											
5) Average household size (number of persons per household)	3.8	2.9	3.5	3.2	6	2.6	2.9	6	5.4		
6) Room occupancy (number of persons per room)											
7) Average residential plot size (meters squared)	300	300	300	300	300	300	300			300	300
8) Proportion of permanent dwellings (cement block or burnt brick walls; iron sheet or other permanent roof) (% or number)	10%	10%	30%	50%	90%	90%	90%			20%	20%
9) Proportion of semi-permanent dwellings (mud/poles walls; iron sheet roof) (percentage or number)	30%	20%	30%	30%	5%	5%	5%			30%	30%
10) Proportion of temporary dwellings (mud/poles or other temporary wall materials; thatched roof) (% or number)	60%	70%	40%	20%	5%	5%	5%			50%	50%
11) Average construction cost of permanent dwelling (local currency and USD)	An average of Kshs. 1-1.5 million										
12) Average construction cost of semi-permanent dwelling (local currency and USD)											
13) Average construction cost of temporary dwelling (local currency and USD)											
14) Availability of piped water on plot (percentage or number)	Less than 20%	40%(pipes fitted but no water flowing)		30%(pipes fitted but no water flowing)	80%	30% (pipes fitted but no water flowing)	30% (pipes fitted but no water flowing)			20	20
15) Distance to piped water (if not on plot) (meters)										1Km	1-1.5Km
16) Proportion of households depending on sources other than piped water (water vendors, rivers, wells) (% or number)	80% (boreholes, water vendors)	70% (boreholes, water vendors)		70% (Boreholes, water vendors)	(Boreholes)	80% (Boreholes, water vendors)	80% (Boreholes, water vendors)			80% (only one borehole, water vendors)	80% (only one borehole, water vendors)
17) Availability of electricity connection (formal connection) in dwelling (percentage or number)	Less than 20%	30%		50%	80%	80%	70%			Less than 3%	Less than 3%

18) Average monthly household income (local currency and USD)	USD 50 (Kshs. 5000)	USD 4.5 (Kshs. 4500)	USD 3.5 (Kshs. 3500)	USD 50 (Kshs. 5000)	USD 90 (Kshs. 9000)	USD 50 (Kshs. 5000)	75US\$ (Kshs. 7500)			USD 50 (Kshs. 5000)	USD 50 (Kshs. 5000)
19) Households with permanent source of income (employed in the formal sector) (percentage or number)	Less than 10%	20% (Umoja, Sweets & Fish processing, Coca-cola)	Less than 10%	30%	Less than 10%	30%	20%			50% (Horticulture Farm)	50% (Horticulture Farm)
20) Households with main income or productive activity at home/plot (small shop, dressmaker, shoemaker, etc) (percentage or number)	60%	60%	30%	50%	70% (landlords, small scale businesses)	70%	70%			Less than 10%	Less than 10%
21) Proportion of rental housing (percentage or number)	30%	Over 70%	Less than 10%	50%	50%	70%	65%			Most are owners	Most are owners
22) Average monthly rent per room (local currency and USD)	USD 7.5 (Kshs. 750)	USD 9 (Kshs. 900)	USD 1.2 (Kshs. 1200)	USD 10 (Kshs. 1000)	USD 15 (Kshs. 1500)	USD 18 (Kshs. 1800)	15 US\$ (Kshs. 1500)				
23) HIV/AIDS prevalence (percentage or number of persons infected)	6.3%	6.3%		6.3%	6.3%	6.3%	6.3%			6.3%	6.3%
24) Proportion of population receiving food assistance (percentage or number)		Less than 5% (not in totality)	Less than 5% (not in totality)	Less than 5% (not in totality)	N/A	N/A	N/A	N/A	N/A	Less than 5% (not in totality)	Less than 5% (not in totality)
25) Female headed households (percentage or number)											
26) Main environmental hazards (floods, landslides, pollution from surroundings) (name and frequency)	Floods, Garbage	Floods, Garbage		Floods, Garbage		Floods, Garbage	Floods			Lack of sanitation facilities (Toilets), Garbage	Lack of sanitation facilities (Toilets), Garbage
27) Other								Squatters are on private land and the developer has already fenced in the squatters, with the promise of resettlement to another area by the developer.	The squatters are on private land and there is a case in court. Efforts ongoing to get more data on this settlement.		
28) General comments and comparisons by different slums											

Annex 2: Summary of the supporting legal and institutional framework

LEGAL FRAMEWORK	NEIGHBOURHOOD PLANNING	LAND TENURE	INFRASTRUCTURE-SERVICES	CITIZEN PARTICIPATION
Constitution 2010 (Supreme law of the Republic and binds all persons and all State organs at both levels of government.)	Chapter five provides for management of land and environment. Article 184 provides for the governance and management of urban areas and cities and operationalization of the UACA 2011 and CGA 2012.	Highlights equitable access to land, security of land rights and suitable and productive management of land resources as among the key principles of the land policy. Section 44 (4) Public land shall not be disposed of or otherwise used except in terms of an Act of Parliament specifying the nature and terms of that disposal or use.		Section 43 part 1(b) highlights the right of citizens to accessible and adequate housing, and to reasonable standards of sanitation.
Vision 2030 (2008 – 2030) ("Provision of high-quality life to all citizens by the year 2030")	Vision 2030's effort to provide the country's population with adequate and decent housing in a sustainable environment. The plan provides for land tenure security empowering structure owners to improve their housing towards.		The plan will further address slum challenges like overcrowding, lack of adequate sanitation and pollution that the Vision highlights as major health risks to residents.	
Government Lands Act 2012 (Revise, consolidate and rationalize land laws; to provide for sustainable administration & management of land & land-based resources, & for connected purposes)	The plan is a form of application that provides a framework for disposal of the public land on which Majengo and Mzambarauni are located guided by the GLA 2012 (Section 12 (b) application confined to a targeted group of persons or groups in order to ameliorate their disadvantaged position.	Operationalizes Article 68 of the Constitution of Kenya & Guides the choice of available land tenure options while providing for management of public amenities like roads and open spaces.		
Physical Planning Act, Cap 286 & the Physical Planning Hand Book (Provide for the preparation and implementation of physical development plans and for connected purposes) (The Handbook is a supplemental guidance and standards on the process and practice of land use planning.	Preparation of the Majengo and Mzambarauni neighbourhood plans within the framework of the Physical Planning Act (Part IV (B) of the PPA 286). The plan is a form of Action Area Plans that is specifically provided for in the third schedule of the Act under short term plans. PPA tasks the Director Physical Planning the power to prepare plans and declare an area a special planning area ⁷ .			

⁷ Special Planning Areas are areas with unique development potential or problems

	<p>The Handbook provides standards for Slum rehabilitation and upgrading schemes and guidelines for implementation of the PPA (Chapter 2 outline some of the legal statutes to consider when planning and stakeholder involvement, Chapter 5 and 6 of the handbooks provides general guidelines as for various Land uses.</p> <p>Guides realisation of strong controls to secure proper use of land and ensure achievement of planning objectives.</p>			
<p>Urban Areas and Cities Act of 2011 (Provide for classification, governance and management of urban areas and cities; To provide for the principle of governance and participation of residents and for connected purposes)</p>	<p>Operationalizes Article 184 of the COK 2010 by providing for preparation of integrated plans. The Majengo and Mzambarauni plans can be anchored in various parts of Section 36 of UACA.</p>		<p>The PSUP plans are anchored in the Mtwapa ISUD plan provide a basis of development control and provision of physical and social infrastructure</p>	<p>Section 22 (a) (v) provides specifically for citizen participation stating that residents can deliberate and make proposals to proposed development plans of the county and of the national government</p>
<p>County Government Act of 2012 (Provide for county governments' powers, functions and responsibilities to deliver services and for connected purposes)</p>	<p>Operationalizes Chapter 11 of the COK and outlines the role of the county government in the planning process. Section 37 outline the Role of the executive committee in urban area or city planning</p> <p>One of the roles of the County Assembly under Section 8 (e) is approval of county development planning.</p>			<p>Provides for citizen participation in development of policies and plans, and delivery of services in the county. Section 113 of the County Government Act makes public participation in county planning processes mandatory</p>
<p>Environmental Management and Co-Ordination Act Cap 387 (EMCA), 1999 (Provide for the establishment of an appropriate legal and institutional framework for the management of the environment and for matters connected therewith and incidental thereto)</p>	<p>Operationalizes by article 69 (a) and (d) of the Constitution of Kenya and governs management of natural resources in the country and upholds the importance of environmental protection. Section 38 (h) propose guidelines for the integration of standards of environmental protection into development planning and management</p>			<p>Provides for substantial public involvement in any major development decisions, which have an environmental bearing</p> <p>Section 3 (5) (a) the principle of public participation in the development of policies, plans and processes for the management of the environment.</p>

National Land Commission Act (An Act of Parliament to make further provision as to give effect to the objects and principles of devolved government in land management and administration, and for connected purposes)	One of the functions of NLC under Section 5 (h) is to monitor and oversee land use planning throughout the country.	Management of public Land on behalf of the National and county governments. Section 3 (2) (a) on behalf of, and with the consent of the national and county governments, alienate public land in line with Article 67(3) of the Constitution; Encourage application of traditional dispute resolution mechanisms in land conflicts.		
National Land Policy (Promote positive land reforms for the improvement of the livelihoods of Kenyans through the establishment of accountable and transparent laws, institutions and systems dealing with land.)	Provides a framework of policies and laws designed to ensure the maintenance of a system of land administration and management. Provides for survey and mapping, cadastral and Land Information Management System principles (3.5.4. 3.5.5 & 3.5.6)	Supports PSUP Kenya's key components of provision of secure land tenure. Provides for upgrading of Informal Settlements. 211 (h) (h) provide for establishment of a legal framework and procedures for transferring unutilized land and land belonging to absentee land owners to squatters and people living in informal settlements; Identifies Land rights in informal settlements and for informal activities as one of the land issues requiring special intervention under 3.6 (171 (f)).		

Annex 3: Mtwapa Town settlement Upgrading Action Plan (Source: Mtwapa ISUDP)

PROBLEMS	OBJECTIVES	STRATEGIES	ACTION PLANS	ACTOR	TIME FRAME
1. Poor road networks and accessibility	To open up roads of access and construction of proposed ones	Road Network Proposals	Adhere to development policies and planning regulation	County Council of Kilifi Ministry of Roads	Planning Period
2. Encroachment on road reserves	To clear all encroachments on road reserves	Demarcation and mapping of all roads (new and old)	Develop standardized road networks	County Council of Kilifi Ministry of Roads	Planning Period
3. Lack of security of tenure	To establish land tenure security To address matters of squatter development	Work out modalities on security of tenure of the settlers Address land matters and issues related to land ownership	Issue of certificates of titles Issue of lease agreements	County Council of Kilifi Ministry of Lands and Settlements	Planning Period
4. Unemployment and Poverty	To create avenues for self-employment To eliminate poverty by a	Income generating activities Self-help groups	Develop of Jua-kali sector Fund of Community organizations and self-help groups	CDF Committee CBOs NGOs	Planning Period
5. Lack of sufficient fresh water	To provide adequate fresh water for domestic and other uses	Exploit natural sources of water Provision of piped water	Drilling of boreholes Provide piped water Construct fresh water reservoirs at designated areas	Local Authorities Private Drilling firms CDF committee NGOs	Planning Period
6. Dilapidated dwelling units	To reduce the number of informal settlements	Housing policy for the informal settlements	Rehabilitation of the informal settlements	County Council of Kilifi	Planning Period
7. Poor quality building materials	To establish standards for housing.	Building code and standards.	Establish recommended building materials	Ministry of Housing	Planning Period
8. Congestion in informal settlements					
9. Lack of proper liquid waste and solid waste systems	To establish proper liquid waste management systems.	Development of drainage systems	Establish sewage networks as well as septic tanks where feasible Construct artificial surface drains	Local Authorities Local authorities/Private means	Planning Period
10. Indiscriminate dumping of solid waste – a health hazard to Mwando wa Panya residents	To designate a public dumping site	Centralized dumping areas Waste management	Use of landfills as an alternative to hazardous burning	County Council of Kilifi	Planning Period

