

- DRAFT - Indicators, Outcomes and Evaluation

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I. CORE PRINCIPLES

Indicators, outcomes and evaluation (IOE) strategies are key to the success of any slum upgrading program or policy. Research from case studies analyzing slum upgrading policies in Brazil, Thailand, India, Kenya and Tanzania helps to elaborate the importance of these policy elements. The National Slum Upgrading and Prevention Policy (NSUPP) identifies objectives and outcomes that the policy will address, which presents an opportunity to explore options for these strategies, based on case study analysis and also to link an analysis of Governance and Financial Frameworks for the policy.

Slum upgrading at the community level in each of the cases, including Kenya, has demonstrated that indicators that are cross-cutting, integrate various sectors and functions of government, measure processes and outcomes, and include community participation generate the most meaningful and accurate indicators of progress. From our perspective, the Kenyan NSUPP should consider the following guiding principles:

1. Community-driven and transparent processes for data collection, tool development, analysis and action based on results
2. Processes that engage all stakeholders – community, government, academics, & others.
3. Evaluation is integrated into project implementation to inform strategy, learn as you go, refine the adjust policy, and identify what works and for which populations and specific communities.

This analysis seeks to draw out key thematic areas and processes which NSUPP might consider for establishing an integrated plan for implementation, indicators and evaluation of the proposed policy.

II. CASE STUDY INDICATORS AND OUTCOMES

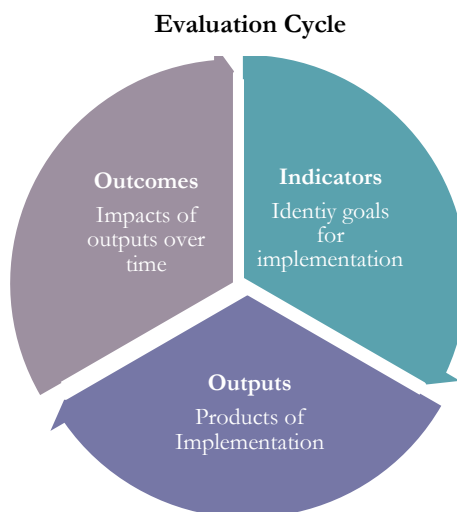
Our team's case studies (see above) of informal settlement upgrading programs and policies suggest certain thematic areas for measurement shown in the table below:

Table 1: Thematic Areas of Evaluation from Case Studies

	Indicators	Outputs	Outcomes
Kenya			
Mathare Valley	Housing, Infrastructure	Infrastructure	- Community
<i>KISIP</i>	Environmental, Economic, Housing, Infrastructure, governance	Land Tenure, Infrastructure, Planning	?
Brazil	Infrastructure, poverty, social connections	Infrastructure, Community	Socio-economic, Infrastructure, Planning, Environment, Legal Framework, Community
Thailand	# of communities improved	Land tenure	Land Tenure, Community, Decentralization, Planning
Mumbai	Housing, Land Tenure	Housing, Land Tenure	Legal framework, Land Tenure, Community, Housing
Dar es Salaam (Hanna Nassif)	Local government capacity, Community, Economic, Infrastructure, Environmental	Infrastructure	Community, Health, Economic, Infrastructure, Environmental

How do Indicators, Outcomes and Evaluation work?

Indicators can provide goals and measures of progress that can inform the successes and effectiveness of a policy. For example, in the case of the Hanna Nassif Upgrading Project, infrastructure based outputs such as “storm water drainage” or “roads” were tied to indicators such as “decreased flooding”. Such outputs can have either broad effects in the form of multiple outcome areas as seen Dar es Salaam or Favela Barrio in Brazil, or very narrow or negative impacts like decreased community cohesion in Mathare Valley.



III. OUTPUTS BASED ON PRIOR KENYAN PROGRAMS/POLICIES

The Kenya Informal Settlement Improvement Project (KISIP) administered through the Kenyan Ministry of Housing and the World Bank and the Kenyan Slum Upgrading Program (KENSUP), through the Ministry of Housing and UN Habitat are two examples of current national level Kenyan programs. These programs provide a foundation to understand how IOE strategies were used prior to the formulation of NSUPP.

Table 2: Output Indicators for KISIP and KENSUP

KISIP

Number of project beneficiaries %, of which are female %
Number of people with access to improved drainage
Number of people provided with access to all-season roads within a 500 meter range
Number of people in urban areas provided with access to improved water sources
Number and area of informal settlements benefiting from enhanced tenure security
Number of households benefiting from improved tenure security

KENSUP

Situational Analysis and Mapping of Targeted Communities
Creation of Project Management Committees
Training of Community Members
Development of Cooperatives
Set up and develop institutional program structures
Provide infrastructure

IV. OUTCOMES BASED ON PRIOR KENYAN PROGRAMS/POLICIES

Table 3: Outcomes for KISIP and KENSUP

	Short-Term Outcomes	Medium-Term Outcomes	Long-Term Outcomes
KISUP	Invest in infrastructure	Strengthen tenure security	Improve living conditions in informal settlements in selected municipalities
		Strengthen institutions and program management	
		Plan for urban growth	
KENSUP		Technical capacity will create enabling conditions to support slum upgrading and innovative finance measures	Improve the livelihoods of people living and working in Kenya's slums through provision of security of tenure, housing improvement, income generation and physical and social infrastructure
		Provision of adequate and affordable physical infrastructure and improved housing	
		Enhanced participation, improving likelihood of sustainability	

The distinction between outputs and outcomes is critical for developing a framework for evaluation. As one can see, the outcomes of programs are broad. There is very little distinction between short, medium and long-term outcomes and in addition, the outputs listed for these programs are not aligned with the outputs. For example, the outcome of land tenure is critical; however, prior steps necessary to achieve this long-term outcome are missing. For example, the development of guidelines for implementation, development of a database, and establishment of laboratories are key outputs. The corresponding short-term outcome for these outputs is the completion of foundational infrastructure to support the tenure process. Then, the development of maps, data analysis, and preparation of plans are additional outputs. This then leads to a medium term outcome of enhanced and transparent data on existing boundaries and ownership of all land in Kenya. In parallel to this, outputs such as plans being created for delineation of roles and responsibilities across government structures is necessary. From these plans and clarity in government structure, additional outputs regarding land tenure include identification and agreement of beneficiaries of each plot (or whatever tenure status is agreed), the development of new titles and appropriate registration, and finally a surveying of plots, boundaries and person/people receiving allocation of land. Thus, these outputs correspond to the long-term outcome of strengthened land security.

Please note, for each one of these outcomes, indicators/measures must be developed. These specifically identify how to measure progress. However, identification of indicators/measures is beyond the scope of this project. Instead, we will focus on a menu of illustrative outcomes that theoretically can lead to the long term outcomes that are articulated in current Kenyan policy.

V. OUTPUTS BASED ON NATIONAL SLUM UPGRADING AND PREVENTION POLICY (NSUPP)

Outputs for NSUPP correspond closely to seven thematic areas addressed in the plan:

- Legal frameworks, governance and institutional
 - Infrastructure and services
 - Housing and Shelter
 - Planning, Development Control and Environment
 - Land Tenure and Administration
 - Safety and Security
 - Socio-economic Factors
1. A legal and institutional framework to guide accountable implementation of slum upgrading and prevention on a sustainable basis;
 2. Institutional and organizational guidelines for the implementation of slum mainstreaming programs in counties, cities and towns under devolved system of government;
 3. Framework for actualizing right to housing, reasonable levels of sanitation and other relevant rights provided for in the Constitution;
 4. Empowerment of the poor households living in slums to access housing units, services and infrastructure that is necessary for a healthy living environment.
 5. Integrated and coordinated approaches towards slum improvement and prevention programs.
 6. Improved livelihoods through implementation of national, county, urban local economic, social and environmental development programs.

Proposed NSUPP Outputs and Example Measures

Each of the following outputs requires measures to track and evaluate their progress. This raises questions for each of the outputs:

Table 4: Examples to inform NSUPP

NSUPP Proposed Goals	Example Measures	Case Study References
1. Legal and institutional framework to guide slum upgrading	# of municipalities who adopt proposed framework	CODI
2. Institutional and organizational guidelines for implementation	# of counties, cities and towns who adopt guidelines for implementation	Mumbai, CODI, Favela Barrio
3. Framework for right to housing, “reasonable levels” of sanitation and other constitutional rights	1) # of toilets per population area or # of miles of sewage infrastructure 2) the # of housing needed to meet total demand over a given period	Mumbai, Favela Barrio
4. Empowerment of poor households to access housing units, services and infrastructure for healthy environment	# of households with access to credit # of households with affordable access to services sanitation within a given radius	Dar es Salaam
5. Integrated and coordinated approaches toward slum upgrading	# of stakeholders collaborating # of stakeholders adopted policy approaches	CODI, Favela Barrio
6. Improved livelihoods through economic, social and environmental programs	# of poor households with increased income # of poor households with access to schools # of poor households with sanitation and waste management systems	Dar es Salaam, Favela Barrio

VI. OUTCOMES BASED ON NATIONAL SLUM UPGRADING AND PREVENTION POLICY (NSUPP)

Outcomes also correspond to the seven thematic areas and include:

1. To provide a legal and institutional framework to guide accountable implementation of slum upgrading and prevention on a sustainable basis;
2. To design institutional and organizational framework for the implementation of slum mainstreaming programs in counties, cities and towns under devolved system of government;
3. To provide a framework securing right to housing, reasonable levels of sanitation and other relevant rights provided for in the Constitution;
4. To empower and enable poor households living in slums to access housing units, services and infrastructure that are necessary for a health living environment especially in urban areas; and
5. To encourage integrated approaches in slum improvement programs and community participation in slum upgrading; and
6. To implement urban local economic, social and environmental development, programs aimed at creating sustainable income-generation activities to combat poverty.
7. To provide a framework for mainstreaming all cross cutting.

Each of the following stated outcomes requires indicators to set goals and evaluate their progress. This raises questions for each of the outcomes:

Table 5: Ideas for outcomes measures under Kenya NSUPP

NSUPP Proposed Outcomes	Example Indicators	Case Study References
1. Legal and institutional framework to guide slum upgrading	Institutional frameworks in place for slum dwellers to mediate disputes and seek redress	Mumbai
2. Institutional and organizational guidelines for implementation	Establish guiding standard for implementation that allows for participation of various stakeholders	CODI, Favela Barrio
3. Framework for right to housing, “reasonable levels” of sanitation and other constitutional rights	Establish a standard for public, private and individual provision of housing services and sanitation	Mumbai, CODI
4. Empowerment of poor households to access housing units, services and infrastructure for healthy environment	Affordable housing and infrastructure services for poor households, access to credit, decreased incidence of disease, Demand-driven opportunities for upgrading	Mumbai, Dar es Salaam, CODI, Favela Barrio
5. Integrated and coordinated approaches toward slum upgrading	Identify governance and financial structures responsible for implementation	Mumbai, CODI, Favela Barrio, Dar es Salam
6. Economic, social and environmental programs that combat poverty through income generation	Provide funding for NGO, CBO and financial programs which combat poverty	Favela Barrio, Dar es Salaam
7. Framework for mainstreaming all cross-cutting	Governance and institutional structure applicable for different counties, municipalities and contexts	CODI

Comparing the NSUPP proposed outputs to the NSUPP proposed outcomes, it is clear that the outputs are quite similar, if not the same as outcomes. When outcomes move beyond outputs, the project or program can have greater impacts than the targeted outputs had sought to address. Identifying indicators and measures are key to implementing outputs and achieving outcomes. They can also help clarify and coordinate roles for stakeholders involved in governance and implementation of slum upgrading programs as well as clarify targets for stakeholders involved in funding at different levels. Later in the paper, a strategy for how to address integrated outcome areas at different scales and times is illustrated.

VII. EVALUATION AREAS FOR KENYAN NATIONAL POLICIES

Kenyan National Policies relevant for NSUPP focus on a variety of outcomes. The most prominent outcomes targeted in national policies are housing, finance and land. This seems to be compatible with the case study analysis, which shows that national government often facilitates slum upgrading through financing and soft loans. Land tenure and allocation is also an outcome which is targeted at the policy level, either through the judicial system as seen in Mumbai or policy efforts such as the National Land Act of 1995 in Tanzania. Furthermore, housing development seems to be a key outcome mandated by national policy.

The national policies also show weaknesses in the areas of infrastructure, poverty, socio-economic, health, community, safety and environment. *This gap in more socio-economic determinants of slum upgrading results may be essential for NSUPP in targeting areas currently ignored in national policy.* NSUPP may address these outcome areas by developing indicators and outputs that correlate specifically with the strategy in Table 6.

Table 6: Kenyan National Policy Evaluation Areas

	Outcomes
1. National Housing Policy for Kenya, 2004	Housing, Finance, Poverty, Infrastructure, Legal Frameworks
2. UN Habitat Pro-poor Land Management, 2004	Land
3. Kenya Vision 2030, 2007	Housing, Land, Infrastructure, Socio-economic, Health
4. National Housing Bill, 2009	Housing, Finance, Land, Infrastructure, Legal Frameworks
5. Constitution of Kenya, 2010	Housing, Environment, Health
6. Housing Sector Incentives Bill, 2011	Housing, Finance
7. Urban Areas Bill, 2011	Planning, Community
8. UN Habitat Building Safety through Slum Upgrading, 2011	Safety, Community, Environment
9. Kenya Land Act, 2012	Finance, Land

VIII. POLICY QUESTIONS FOR NSUPP

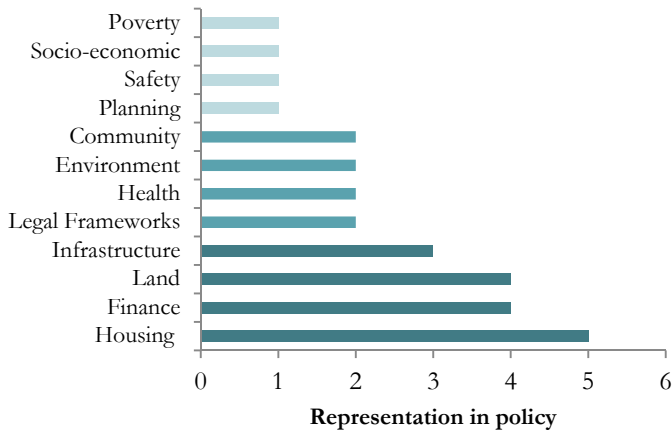
This analysis of international case studies and Kenyan National Policies shows several indicator and outcome areas which NSUPP should focus on. It also raises questions for how goals for community-driven, integrated and outcome as well as output based methods can be approached.

- *How might NSUPP target outcome areas which are not strongly addressed in the current national policy context and capitalize on others areas which have a strong policy backing?*
- *What specific indicators identify goals for NSUPP outcomes? What measures assess the progress of those goals?*
- *How do processes of monitoring and evaluation incorporate various levels of stakeholders?*
- *Are outcomes cross-cutting throughout various problem areas?*

VIV. INDICATORS, OUTCOMES AND EVALUATION STRATEGIES FOR NSUPP

Graph 1: Outcome Areas in National Kenyan Policies shows that vulnerable outcome areas (lightly shaded) are those that received a rating of 1 in terms of their representation in Kenyan national policy. Moderate outcome areas received a 2 and strong outcome areas, (darkly shaded), a 3-5.

Graph 1: Outcome Areas in National Kenyan Policies



Graph 2: Strategies for Governance, Finance and Outcome Areas for NSUPP

Vulnerable Outcome Areas (Long-Term)	Moderate Outcome Areas (Medium-Term)	Strong Outcome Areas (Short-Term)
Poverty	Community	Infrastructure
Socio-economic	Environment	Land
Safety	Health	Finance
Planning	Legal Frameworks	Housing

One strategy, expressed in *Graph 2: Strategies for Governance, Finance and Outcome Areas for NSUPP* is to classify outcomes areas as vulnerable, moderate and strong because they correlate with long, medium and short term goals respectively. National Policies may target strong outcome areas, such as infrastructure and land which can have significant, immediate effects in the short term. These strong outcome areas build the foundation for medium term outcomes areas such as community mobilization to be attained, which then lead to sustainable impacts in the vulnerable outcome areas such as reductions in poverty and socio-economic improvements. The policy might adopt a process of implementation in which short outcome areas which are tied to medium term outcome areas as well as vulnerable outcome areas as outcomes. For example, housing provided in the short-term can be attached to improving health outcomes in the medium-term, such as in Favela Barrio or infrastructure provided in the short term can augment poverty in the long term as in Dar es Salaam. This restructuring of priorities and outcomes may serve to create a more integrated policy which builds from gaps in existing slum upgrading policy, lessons from international case studies and sets a comprehensive framework for evaluation of project goals.

In our analysis of Governance frameworks for the policy, it is evident that different stakeholders in the slum upgrading process enter the process at different stages and can address different outcomes to yield the most cross-cutting results. From our analysis of Financial frameworks for the policy, we have found that different stakeholders and levels of stakeholders both enter the process at different stages and also target funding efforts at specific outcome areas. This confirms that such a strategy as *Strategies for Governance, Finance and Outcome Areas for NSUPP* addresses large problem areas of the policy, and links governance and finance to IOE strategies, as well as to the 3 core principles established in this paper.

APPENDIX

TABLES 1: **Case Study Evaluation Areas**

TABLES 2: **Outputs for KISIP and KENSUP**

TABLES 3: **Outcomes for KISIP and KENSUP**

TABLES 4: **NSUPP Outputs**

TABLES 5: **NSUPP Outcomes**

TABLES 6: **Kenyan National Policy Evaluation Areas**

GRAPH 1: **Outcome Areas in Kenyan National Policies**

GRAPH 2: **Strategies for Governance, Finance and Outcome Areas for NSUPP**