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*Submission of Proposals: Application Form*

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**DATE:** March 31, 2010, revised August 24, 2010, rec'd 24 August 2010

**1. TITLE of PROPOSAL: Kenya: Baseline “State of the City” surveys**

**2. PROPOSAL SUBMITTED BY<sup>1</sup>:**

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Contact person for questions on the application:

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Organisation: The World Bank  
Address: Hill Park Building, Upper Hill, Nairobi, Kenya  
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**3. CITIES ALLIANCE MEMBER(S) SPONSORING THE APPLICATION:**

Name and Title: Annika Nordin Jayawardena, Country Director for Development Cooperation, Kenya  
Organisation: Swedish International Development Agency (Sida)  
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Name and Title: Olivier Delefosse, Deputy Director and currently Acting Director  
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**4. RECIPIENT ORGANISATION: – organisation that will receive and execute the grant:**

Task Manager Name & Title: Sumila Gulyani, Sector Leader, Sustainable Development Network, AFTUW  
Organisation: The World Bank  
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Contact Person/Title: World Bank Country Office, Nairobi, Kenya  
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**5. OTHER IMPLEMENTING PARTIES (if any):**

Task Manager Name & Title: Peris Mang'ira, Program Coordinator, Kenya Informal Settlements Improvement Program

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<sup>1</sup> Country-specific proposals typically originate from local authorities, but must be sponsored by at least one member of the Cities Alliance (see [Cities Alliance Charter](#), Section D.14).

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**6. INFORMATION ON PROPOSED PROJECT:**

Type of project (*check one*):  
City Development Strategy\_\_\_ Slum Upgrading Both\_\_ X

Geographic scope of project (*specify*):  
City: Six of Kenya's largest cities participating in the Kenya Informal Settlements Improvement Program and the Kenya Municipal Program  
Country: Republic of Kenya  
Global/Regional/Multi-country:

Expected duration: Two years

**7. BUDGET SUMMARY:**

Amount of total budget requested from Cities Alliance funding: **US\$400,000 (2 years)**

Co-financing amount of total budget, including local partners: US\$250,000 from Sida under the Urban Knowledge and Implementation Program (confirmed) and US\$400,000 (US\$250,000 for the baseline and US\$150,000 for supporting activities) from Rockefeller Foundation (agreed in principle and to be finalized in September 2010). Other potential partners include AFD which has expressed interest in co-financing this work and the Gates Foundation which has a strong interest in generation of high-quality empirical data and analyses in this area.

Total project budget cost: US\$1,150,000 (2 years), in support of three multi-donor investment operations, with a total of US\$430 million in investments. The three Kenya urban programs—that is, the Kenya Municipal Program (\$165 million), the Kenya Informal Settlements Improvement Program (\$165 million), and the Nairobi Metropolitan Services Program (\$100 million)—represent a strategy to comprehensively address core issues that are constraining the development potential, efficiency, equity, and competitiveness of Kenya's urban areas.

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**8. DESCRIPTION OF PROPOSED PROJECT:**

**Background – issues to be addressed and scope of project**

**The urban transition is well under way in Kenya and urbanization is projected to continue at a rapid pace.** It is estimated that urban areas will account for 45 percent of the population or 16.5 million people by 2015, and for 54 percent of the population or 23.6 million people by 2030. The urban transition in Kenya will play an important role in determining the country's growth prospects and social stability. However, Kenyan cities are not currently able to meet the rapidly growing demands of residents and firms for services because they are suffering from major infrastructure bottlenecks, weak finances, and poor management. The government is convinced that transformation of municipal management will require deeper institutional reforms and much more intensive training and capacity building in finance, participatory planning, project management, and service delivery. It is also acutely aware of the infrastructure shortfalls and the need to step up capital investment in these municipalities. For this reason, this project supports a comprehensive and systematic program for enhancing the capacity of urban municipalities and improving local service delivery.

To address the issues, the government of Kenya has requested the World Bank, Sida, and the AFD (hereafter referred to as development partners) for assistance in bringing about a systematic transformation of the urban and local government sector in the country. The development partners are currently preparing three related programs to in support of the government's objectives. These are the Kenya Municipal Program (KMP), with the Ministry of Local Government as lead agency (approved by the World Bank's Board on May 4, 2010); the Kenya Informal Settlement Improvement Program (KISIP), a multi-sector operation with Ministry of Housing as lead agency (scheduled for World Bank Board approval in March 2010); and Nairobi Metropolitan Services Project (NMSP), a multi-sector operation with Ministry for Nairobi's Metropolitan Development as lead agency (scheduled for World Bank Board approval in March 2011).

The KMP is envisaged as the first in the series of programs that will support the government in the urban and local government sector. The KMP will address institutional constraints—municipal capacity for budgeting, financial management, and participatory planning—and, simultaneously, provide support investments to improve infrastructure and local service delivery. The KISIP will tackle the rapid growth of slums in urban Kenya; it will focus on improving living conditions in slums by enhancing security of tenure and investing in basic infrastructure, while supporting mechanisms to prevent the emergence of new slums. The NMSP will provide support for strengthening of newly created metropolitan institutions and improved service delivery in the Nairobi metro area, the country's largest and economically most important urban conurbation. This strategy has strong endorsement from the AFD and Sida, and they are partnering with the Bank to jointly prepare and co-finance all three programs.

The three proposed programs can be summarized as follows:

	<b>Municipal Program</b>	<b>Informal Settlements</b>	<b>Nairobi Metro</b>
Lead Agency	Ministry of Local Government	Ministry of Housing	Ministry of Nairobi Metro Development
IDA	US\$100 million	US\$100 million	US\$82.5 million
Government of Kenya	US\$10 million	US\$10 million	US\$17.5 million
<b>Sida, AFD</b>	US\$55 million	US\$55 million	To be determined
<b>Total</b>	US\$165 million	US\$165 million	US\$100 million
<i>Phase 1 Locations</i>	14 munis+Nairobi Special focus on 4–8 cities (that meet minimum performance criteria)	14 munis+Nairobi; must qualify for KMP phase 1	Nairobi Metro (Nairobi City Council and 14 municipalities)
<i>World Bank Board Date</i>	May 2010	March 2011 (TBC)	March 2011 (TBC)
<i>Instrument</i>	Adaptable Program Loan	Specific Investment Loan	Specific Investment Loan
<i>APL 1 (FY)</i>	2010–2015	2011–2016	2012–2016
<i>APL 2 or SIL 2 (FY)</i>	2015–20120	2017–2021	2017–2021
<i>Content</i>	a) Municipal reforms, finance and capacity b) Planning c) Investment in infrastructure and improving service delivery.	a) Institutional strengthening (capacity and policy, national and local) b) Infrastructure and tenure c) Planning for growth.	a) Development of metro institutions; b) Infrastructure investment and reforms in high-priority sectors, including solid waste and transport.

*Note:* The 14 munis included in the Nairobi program (NMSP) are those surrounding Nairobi City. Of these, only two—Thika and Machakos—are included in KMP.

The three urban programs (KMP, KISIP, and the NMSP) are on a scale to be transformative in the management of Kenya's cities. Yet, a comprehensive information base that is needed both (a) to prepare city development strategies and slum upgrading strategies that are realistic and that help to reduce poverty, pay proper attention to environmental management, and promote gender equality and inclusion of disadvantaged groups, and (b) to assess the impact of the interventions financed under the three programs does not exist. While data have been collected and studies carried out in some of the 15 cities that will participate in the proposed baseline survey, these have been done using a variety of different approaches, making comparing the situation across cities impossible. Several studies, activities and analyses are planned to help fill these knowledge gaps (see annex 1 for details) and, of these, the following are worth highlighting:

- (a) Kenya urbanization study—national in scope—using 2009 census data;

- (b) Baseline study in the 15 municipalities participating in KMP and KISIP;
- (c) Community "census" or enumeration of all residents in slums selected for upgrading under KISIP;
- (d) Preparation of Strategic Urban Development Plans, including base maps and physical data (using GIS and/or satellite images), in the 15 municipalities participating in KMP and KISIP. (Please note that this is the main activity under component 2 of KMP).

This proposal to Cities Alliance is to seek financing for activity (b), that is, the baseline study in a subset of the 15 municipalities participating in KMP and KISIP. The proposed baseline survey will generate data to fill some of the most important information gaps discussed above, and to enable policy makers and other stakeholders to compare situations across cities.

## 9. Objectives

The objective of the proposed Cities Alliance grant is to produce baselines of the demographic, infrastructure, economic, management, and environment profile of six of the fifteen large Kenyan cities participating in the KISIP and the KMP. Financing from development partners will be used to prepare this baseline in the remaining nine cities.

The findings of the surveys are expected to be presented in a variety of formats, including a main report summarizing the data from all six cities, detailed city-specific reports, and a two-page summary of key data called "State of the City" to allow readers to quickly compare the situation across municipalities.

These results will: (a) be a key input for and will be coordinated with the preparation of strategic urban development plans in all 15 cities to be prepared and implemented under the KMP; (b) provide a basis for more detailed community-level designs for slum upgrading strategies to be prepared and implemented under the KISIP; and (c) provide a more robust basis for the design of the NMSP.

## 10. Methodology and sequencing of activities

*Methodology.* The methodology involves four major tasks:

- (a) Identify the relevant information that is already available from primary sources on the demographic, economic, and infrastructure profile of cities to be covered;
- (b) Develop and administer a representative household survey to fill the data gaps;
- (c) Analyze the data and compile the summary statistics and results;
- (d) Undertake advanced analyses of the data in collaboration with universities and/or research institutions to explore a variety of questions on urban development.

*Phases.* One methodology and terms of reference will be used for the baseline survey for all 15 cities. It is envisaged that the work will be split between two consulting firms, covering six and nine cities respectively. The first firm will be responsible for more of the survey design and pre-testing work. This packaging also allows for phased financing; Sida and Cities Alliance funding will support the first package of six cities, and funds from other development partners, such as Rockefeller and AFD, will support the second package.

The initiative covering all 15 cities will be conducted over approximately two years. Activities will start immediately after the Cities Alliance grant is approved. Activities under the second package are expected to start by December 2010.

Both Kenyan and non-Kenyan firms will be invited to prepare expressions of interest and proposals to undertake the baseline survey. Non-Kenyan firms will be expected to partner with a Kenyan firm or institution in designing and executing the survey to ensure that knowledge of good practice in carrying out such surveys is transferred to Kenyan institutions.

The selected firms are expected to work in close collaboration with the Kenya National Bureau of Statistics in designing the survey. They will also work with the MoH, MoLG, and the participating municipalities in its design and execution. For more details of the approach, see the attached terms of reference for the work.

## 11. Deliverables

- Clean data set with the results of the surveys carried out in six cities
- Main report, summarizing the findings
- City-specific reports of the six cities covered
- Two page "state of the city" reports for all six cities

- Methodology paper
- Preliminary data analyses to create a foundation for follow-on work, that is, more in-depth analytical work and publications.

## **12. Expected outcomes and related monitoring indicators and plans**

### *Outcomes*

- Baseline prepared that, together with the results of follow up surveys, will allow for assessment of the effectiveness of the KMP, KISIP, and NMSP in meeting their objectives and improving the quality of life in cities.
- Deeper understanding by all stakeholders (staff of the three ministries implementing the projects, staff of the participating municipal administrations, residents of beneficiary municipalities and informal settlements, policy makers, researchers, civil society organizations, and development practitioners) of the cities' growth dynamics and specific challenges to improving delivery of services and quality of life for residents, which is essential to preparing city development strategies as well as city-specific slum upgrading plans.
- Creation of a stronger empirical basis for dialogue among the stakeholders and for design of interventions to promote good governance and improve service delivery.

### *Indicators*

- Production of city development strategies and slum upgrading plans, drawing on input from the surveys.
- Stakeholders, including the municipalities and the World Bank, using the reports and data in their dialogue with the central government, with their peers, and others, measured by reports in the media, visits to the website, and citations in project design documents.
- Researchers using the data, measured by the number of peer-reviewed journal articles that cite the data within five years of its release.

## **13. Sources of investment to implement the CDS or slum upgrading programme**

The World Bank's Board on May 4, 2010 approved US\$100 million of IDA funds for KMP (of a total cost of US\$165 million). This program includes substantial financing for preparation and implementation of participatory city development strategies and related annual capital investment plans. In addition, the US\$165 million KISIP, expected to be approved by the World Bank's Board in March 2011, will provide financing to upgrade infrastructure, housing, and services in Kenya's informal settlements. The US\$100 million NMSP, expected to be approved in March 2011, will support policies and investments aimed at metropolitan management and service delivery in Nairobi.

## **14. Partnerships**

The World Bank, Sida, and AFD are partners in financing the preparation and implementation of the KMP, KISIP, and NMSP. Sida has already provided trust funds, managed by the Bank, to facilitate preparation and implementation of the three programs. Of these trust funds, an estimated US\$250,000 can be used for this baseline study.

The MoH and the MoLG will be fully engaged in all stages of this task, including in the survey design, development of the data collection strategy, and analysis of results. The municipalities participating in the KMP will lead the preparation of city development strategies, with advice and technical assistance from the Ministry of Local Government and development partners. The Association of Local Government Authorities (ALGAK) will likely play a role in preparing and promoting adoption of the city development strategies. Residents of the informal settlements benefiting from the KISIP will be fully involved in preparing slum upgrading strategies, drawing on information from the baseline survey.

The Rockefeller Foundation has committed to contribute a minimum of US\$400,000, including US\$250,000 for baseline surveys in the remaining cities (package 2), and US\$150,000 for supporting activities. AFD is also willing to co-finance this work. In addition, the Rockefeller Foundation is planning to support KISIP by financing participation of and inputs from NGOs, such as Slum Dwellers International, that have extensive experience in working with communities residing in slums.

## **15. Government commitment and approval**

The government through the MoLG, is committed to producing and implementing participatory city development strategies linked to capital investment plans and has included this activity in the KMP. Individual cities are also

committed to preparing and implementing the city development strategies and to facilitating the successful undertaking of the baseline survey. The majority have already adopted municipal council resolutions stating their intention to participate in the KMP and to be involved in the preparation of the baselines.

The government through the MoH is committed to preparing and implementing participatory slum upgrading strategies.

The government is equally committed to carrying out the baseline survey to generate critical information required for preparing the strategies and assessing the results of the three municipal programs.

The government has asked the World Bank to lead the baseline survey for two main reasons. The first is that the Bank has considerable experience in managing the execution of complex household surveys and in ensuring high-quality results. None of the three ministries leading the urban programs currently has this capacity in house. The ministries are eager to develop capacity to participate in such surveys in the future and plan to be involved at each stage of the process. The second reason is that the results of the surveys will be used to establish the baseline for all three urban programs, and the Bank can facilitate easy access to the data for all three ministries, the 15 municipalities, and the diverse and large sets of consultants working on these programs.

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## **IMPLEMENTATION AND FINANCING PLANS:**

### **16. Implementation arrangements**

The World Bank will manage the proposed Cities Alliance grant on behalf of the government (especially, the MoH and the MoLG), and will do so in close collaboration and coordination with Sida and AFD. The World Bank is already taking the lead in coordinating the preparation and implementation of the three urban programs, and has created an effective coordination structure with the stakeholders.

### **17. Project schedule and delivery targets**

The initiative will start in September 2010 and is expected to last for about two years. A tentative schedule of deliverables is presented below. The final schedule will be determined once the grant has been approved.

	<b>Task/Output to be submitted to the Bank for clearance</b>	<b>Target date</b>
1	Signing of contract	Nov.1, 2010
2	Inception report based on review of background material	Nov. 21, 2010
3	Draft of study design and survey questionnaires	Dec. 21, 2010
4	Pilot testing	Jan. 21, 2010
5	Finalization of study design and survey questionnaires	February, 2011
6	Administration of surveys	Mar–May 2011
7	Submission of clean data set to the Bank	July 1, 2011
8	Submission of first draft of results and other reports	Aug. 15, 2011
9	Submission of final draft of all reports: (a) main report, (b) city-specific reports, (c) two page “state of the city” reports, and (d) methodology paper.	Oct. 15, 2011
10	Acceptance of reports by the government and satisfactory completion of assignment.	Dec. 15, 2011
11	Advanced data analysis and reports in collaboration with universities and/or research institutions	Sept. 2012

18. Financing plan and timeline

**A. CITIES ALLIANCE GRANT REQUEST**

Components / Main Activities	Total (US\$)	Type of Expenditure			
		Consulting Services (US\$)	Training/ Capacity Building (US\$)	Dissemination Costs (US\$)	Other (US\$)
<b>PROJECT ACTIVITIES</b>					
Baseline survey covering 6 cities	332,000	332,000			
<i>Sub-Total – Project Activities</i>	<i>332,000</i>				
<b>PROJECT ADMINISTRATION &amp; SUPERVISION</b>					
Independent Audit (1): assumed @ 2%	8,000				8,000
Supervision Costs (2): assumed @ 15%	60,000				60,000
<i>Sub-Total – Project Administration &amp; Supervision</i>	<i>68,000</i>				<i>68,000</i>
<b>TOTAL A (Cities Alliance Grant Request)</b>	<b>400,000</b>	<b>332,000</b>			<b>68,000</b>

**B. CO-FINANCING**

Sida	250,000				
Rockefeller Foundation	250,000 (agreed)				
AFD	250,000 (TBC)				
Gates Foundation	If required (TBC)				
<b>TOTAL B (Co-Financing)</b>	<b>750,000</b>				

**C. TOTAL**

<b>TOTAL PROJECT BUDGET COST (A + B)</b>	<b>1,150,000</b>				
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See Guidelines for more information.

(1) An external audit is required upon completion or termination of project activities. Categories this type of expenditure as “other.”

(2) Incremental costs associated with the management of the project, up to a maximum of 15 percent of the Cities Alliance grant request. Categories this type of expenditure as “other.” Detailed cost break down required in Section 23 Costing Assumptions

**D. TIMELINE OF FINANCING PLAN**

There will be one Request for Expressions of Interest and one Request for Proposals, but two (possibly, three) firms will be recruited to cover the 15 cities. Although the final packaging will depend on prices quoted by winning bidders, it is currently anticipated that there will two be packages/contracts--one package of six cities plus preparatory work, and a second package of nine cities. The first package of six cities will be financed with the Cities Alliance and Sida grants. The second will be financed with grants from Rockefeller/AFD, once the financing has been secured and the bids are in.

**19. Costing assumptions.** Provide details about the assumptions that were used to calculate the costs presented in the summary financing plan (18).

**A. Cities Alliance Grant Request Details**

Item	Cities Alliance (US\$)	Sida (US\$)	Total (US\$)
<b>1. Consulting</b>			
Firm to carry out the survey in 6 cities (including travel of the firm): - Approximately US\$60,000-100,000/city depending on size of city and sample (average used is US\$70,000/city, i.e. \$420,000 for 6 cities) - Approximately \$90,000 for initial design, field testing, subsequent data entry and cleaning, and reports	332,000	178,500	510,500
Independent consultant/statistician to be based at the World Bank to work with local partners and research institutions in Kenya, help analyze the data and prepare special/tailored reports (50 days @ \$400/day)		20,000	20,000
<i>Sub-total consulting</i>	332,000	198,500	530,500
<b>2. Travel (under "other")</b>			
Travel for independent consultant to be based at the World Bank (2 trips * 1 person * 1 year) (hotels and subsistence for 32 days * \$300)		9,600	9,600
2 international flights		4,400	4,400
<i>Sub-total travel</i>		14,000	14,000
Independent Audit (assumed @ 2% of total)	8,000		8,000
Supervision Costs (@ 15% of total)	60,000	37,500	97,500
<i>Subtotal – Project Administration &amp; Supervision</i>	68,000	37,500	105,500
<i>Grand Total</i>	400,000	250,000	650,000

Note: There will be several additional consultative meetings and workshops, financed under the project and by the Government of Kenya. This table lists only those that are to be financed by Cities Alliance and Sida in support of "package 1" of services for this baseline study.

**20. Expected currency of expenditures:** United States dollars (US\$)

**21. Co-financing arrangements**

Co-financing Source	Description of Co-Financing
1. Sida	Funding secured under the Urban Knowledge and Implementation Program; being managed by the World Bank
2. Rockefeller Foundation	Agreed in principle and arrangement to be finalized by September 2010. About US\$250,000 will be made available for study and will be managed by the World Bank.
3. AFD	Under discussion
4. Gates Foundation	Foundation is aware of urban work in Kenya; funding will be discussed, if necessary

**Is all co-financing confirmed / committed?** Cofinancing from Sida under the Urban Knowledge and Implementation Program is already available. Rockefeller's financing has been agreed upon in principle and will be finalized by September 2010. Co-financing from AFD is at advanced stages of discussion.

**22. Additional Financial Management Information from Recipient – Not Applicable**

- a.) Is the Recipient a registered organization under the countries/cities legal requirement? - (Yes/No)
- b.) Can the recipient provide proof of registration and years of operation? -(Yes/No)



- c.) Does the recipient have prior experience managing other Donor funds and provide documentation to support this? (Yes/No)
- d.) Does the recipient have or can open a bank account?- (Yes/No)
- e.) Is the recipient audited annually? - (Yes/No)
- f.) Do you produce periodic financial reports for monitoring and evaluation? (Yes/No)

**23. Attached documents**

Draft Terms of Reference for the baseline survey

Sample household questionnaire (to be further developed and finalized)

Gulyani, Sumila, Debabrata Talkadar, and Darby Jack, D. 2010. "Poverty, Living Conditions, and Infrastructure Access: A Comparison of Slums in Dakar, Johannesburg, and Nairobi." World Bank, Poverty Research Working Paper 5388, August 4.

World Bank. 2006. "Kenya: Inside Informality: Poverty, Jobs, Housing and Services in Nairobi's Slums." Report 36347-KE, May 31.

## Annex 1. Kenya Urban Programs: Data Generation, Mapping, and Analysis

	Type of study/activity	Approach	Lead GoK agency	Other GoK partners	External Partners	Timeline
1)	Kenya urbanization study using 2009 Census data (national in scope)	Statistical analysis with census data; desk study	Kenya National Bureau of Statistics (KNBS)		World Bank (PREM economists team)	Nov 2010-June 2011
2)	Baseline study in 15 municipalities	In-depth survey of a statistically-significant sample of households in each city; municipal data from municipality	Ministry of Housing	Ministry of Local Government KNBS Municipalities	World Bank (Urban team), AFD, Sida, Rockefeller	Nov. 2010-Dec. 2011
3)	Community "census" and enumeration in slums selected for upgrading under KISIP	Census of all current residents (with less depth than the sample survey), in collaboration with community and NGOs	Ministry of Housing (MoH)	KNBS, 15 municipalities	Rockefeller, Sida, World Bank, AFD	Once slums are selected (starting late 2010) till year 4 of KISIP (2015)
4)	Preparation of Strategic Urban Development Plans in 15 municipalities, including preparation of city-level base maps (using GIS and/or satellite images) and entry of physical data. (This is the main activity under component 2 of KMP).	Purchase of base maps, followed by participatory planning exercise	Ministry of Local Government (MoLG)	Ministry of Lands, 15 municipalities	World Bank, AFD, Sida through KMP	Nov. 2010-May 2013
5)	Analytical work using baseline data	Desk studies using baseline data	KNBS, MoLG and MoH depending on nature of analysis		Universities and research institutions (e.g. Nairobi University, KIPRA, ACC etc), World Bank and others	Start with receipt of first datasets in 2011
6)	Longitudinal studies of selected subset of households from the baseline study	Households surveys and diaries, repeated at agreed intervals	MoH	KNBS, MoH, 15 municipalities	World Bank, AFD, Sida, Rockefeller	Nov. 2010-May 2015
7)	At completion of KMP, repetition of original baseline study (and institutionalization of this survey in MoLG and KNBS)	As in (2) above	MoLG with KNBS	15 municipalities	World Bank, AFD, Sida, Rockefeller	May 2014-May 2015 (round 1), with repetition every 5 yrs

Note: KIPRA—Kenya Institute of Public Policy Research and Analysis; ACC—African Center for Cities (Cape Town).