

COLLEGE OF HUMANITIES AND SOCIAL SCIENCES

SCHOOL OF JOURNALISM AND MASS COMMUNICATION

ROLE OF COMMUNICATION AND PUBLIC PARTICIPATION IN SLUM  
UPGRADING PROGRAMS IN NAIROBI: A CASE OF KIBERASOWETO  
EAST ZONE A

**A RESEARCH PROJECT SUBMITTED TO SCHOOL OF  
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DEGREE OF MASTER OF ARTS IN COMMUNICATION AT THE  
UNIVERSITY OF NAIROBI**

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DECEMBER, 2017

## DECLARATION

This project is my original work and to the best of my knowledge has never been presented for a degree award in any University.

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This project has been submitted for examination with my personal approval as University supervisor.

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## **DEDICATION**

I dedicate this study to my mum, Esther Omollo. With her prayers and support I have come this far. I also dedicate it to my wife, Lucy Akinyi Komollo, for the love, patience and above all, for taking care of our son, Talin John, in my absence.

## **ACKNOWLEDGEMENT**

Special thanks to God Almighty for his bringing me this far. Without His grace and love, my life and education would be completely paralyzed. I wish to express my gratitude to my supervisor, Dr. Leah Muchemi, for her for her professional guidance, insight and patience.

I will not forget my brothers (Elly, Moses, Fawcett and Enock) who have supported me, not only in this level of education, but from primary school. Your love, quarrels, guidance and strong belief in me made me stronger and better. As for my sisters (Rose Nyangi, Ruth Odoro and Emma Aluoch Pamba), I give you a big THANK YOU for your love and prayers. To my Research Assistant, Charles Onyuka, I thank you for the tireless efforts and support you rendered.

## ABSTRACT

The purpose of this study was to find out how communication and public participation contribute to the success of slum upgrading process in Kenya. The underpinning theories used in the study are Participatory Communication Theory and Two-Step Flow Communication Theory. The case study was Kibera Soweto East Zone A with a population of 6, 800. The Sample size was made up of 44 men and 44 women and the response rate was 77%. This study used cluster and purposive sampling in data collection and data collection instruments were questionnaires, interviews, observations and reviewing of data from secondary sources. Qualitative data underwent various stages of analysis that included understanding of the data, focusing on the objectives, categorizing information by identifying patterns or themes and ensuring their flow, identifying connections and interpretation of the data. Quantitative data was interpreted, analyzed and represented using various diagrams like pie charts, line and bar graphs and tables. The study revealed that that the Ministry of Lands, Housing and Urban Development officials, planners and other actors like Kenya Slum Upgrading Project focused much on face-to-face communication and its various forms like calling meetings and holding seminars. The use of communication technologies like television, radio, phones and newspaper was very minimal. To bridge the gap between the upgrading actors and residents, Settlement Executive Committee was used, but still, there were communication-based problems like language barrier, maps and plans were not shared, there were few communicators and residents accused members of SEC of holding vital information for themselves. Also, levels of public participation, a key component of slum upgrading, was low. The study concluded that to increase levels of success in slum upgrading and public participation, the planners should use communication technologies to increase the number of communication channels and further profiling of the residents should be done to understand the languages mostly used by the residents to reach them best. The use of SEC was good, but they should have been taught basic communication skills to enhance their efforts to inform people. The main recommendation for this study is that the Ministry of Housing and Urban Development should invest more on communication and public participation to harmonize the process of slum upgrading in Kenya.

## LIST OF ABBREVIATION

- KSEZ A:** Kibera Soweto East Zone A
- SEC:** Settlement Executive Committee
- KENSUP:** Kenya Slum Upgrading Project
- KISIP:** Kenya Informal Settlement Project
- MoLHUD:** Ministry of Land, Housing and Urban Development.
- PSUP:** Participatory Slum Upgrading Programme

## TABLE OF CONTENTS

DECLARATION .....	ii
DEDICATION .....	iii
ACKNOWLEDGEMENT .....	iv
ABSTRACT .....	v
LIST OF ABBREVIATION .....	vi
TABLE OF CONTENTS .....	vii
LIST OF TABLES .....	vii
LIST OF FIGURES .....	vii
LIST OF PLATES .....	vii
<b>CHAPTER ONE .....</b>	<b>1</b>
<b>INTRODUCTION.....</b>	<b>1</b>
1.1 Overview .....	1
1.2 Background .....	1
1.3 Problem Statement.....	4
1.4 Objectives.....	5
1.4.1 Main Objective.....	5
1.4.2 Specific Objectives.....	5
1.5 Research Questions.....	6
1.6 Rationale/Justification.....	6
1.7 Limitations and Scope.....	7
1.8 Definition of Terms as Used in the Study.....	8
<b>CHAPTER TWO .....</b>	<b>9</b>
<b>LITERATURE REVIEW .....</b>	<b>9</b>
2.0 Interview .....	9
2.1 Literature Review .....	9
2.1.1 Slum Upgrading .....	9
2.1.2 Public Participation in Development.....	11
2.1.3 Essence of Communication in Participation.....	15
2.1.4 Knowledge Gaps .....	16
2.2 Theoretical Framework.....	17
2.2.1 Participatory Communication Theory .....	17
2.2.2 Two-Step Flow Theory of Communication.....	23

<b>CHAPTER THREE .....</b>	<b>26</b>
<b>METHODOLOGY.....</b>	<b>26</b>
3.0 Overview .....	26
3.1 Research Approach.....	26
3.2 Research Site .....	27
3.3 Population .....	27
3.4 Sample Frame.....	28
3.5 Sample Size .....	28
3.6 Sample Procedure .....	29
3.6.1 Cluster Sampling.....	29
3.6.2 Purposive Sampling.....	29
3.7 Data Collection Methods .....	29
3.7.1 Observations (Observation Guide, Appendix 4).....	29
3.7.2 Interviews (Interview Guide, Appendix 3).....	30
3.7.3 Reviewing of Past Studies .....	30
3.7.4 Questionnaires (Appendix 2) .....	31
3.8 Data Analysis .....	31
3.8.1 Qualitative Data Analysis .....	31
3.8.2 Quantitative Data Analysis .....	31
3.8.3 Convergent Data Analysis .....	32
3.9 Validity and Reliability.....	32
3.10 Ethical Considerations .....	33
<b>CHAPTER FOUR.....</b>	<b>34</b>
<b>DATA PRESENTATION, ANALYSIS AND INTERPRETATION.....</b>	<b>34</b>
4.1 Overview .....	34
4.2 Response Rate .....	34
4.3 Background Information of Respondents of Kibera Soweto East Zone A.....	35
4.3.1 Gender .....	35
4.3.2 Level of Education .....	35
4.3.3 Marital Status.....	36
4.3.4 Employment Status.....	37
4.4 Communication Strategy Used to Enhance Public Participation .....	38
4.5 Role of Communication in Knitting Various Actors.....	42
4.6 Successes and Failures of Strategies Used.....	55

4.7 Advices of Residents and Urban Planners Interviewed.....	61
4.8. Discussions in Relation to Participatory Communication Theory .....	62
4.9 Discussions in Relations to Two-Step Flow Theory of Communication .....	63
<b>CHAPTER FIVE .....</b>	<b>65</b>
<b>SUMMARY, CONCLUSIONS AND RECOMMENDATIONS .....</b>	<b>65</b>
5.0. Overview .....	65
5.1 summary of the Findings.....	65
5.2 Conclusions .....	66
5.3 Recommendations.....	67
5.4 Recommendation for Further Research .....	68
<b>REFERENCES.....</b>	<b>69</b>
<b>APPENDICES.....</b>	<b>72</b>
Appendix 1: Letter of Introduction.....	72
Appendix II: The Questionnaire.....	73
Appendix III: Interview Guide.....	78
Appendix IV: Observation Guide.....	80
Appendix V: Certificate of Fieldwork.....	81
Appendix VI: Certificate of Originality .....	82
Appendix VII: Certificate of Corrections .....	83

## LIST OF TABLES

Table 4.1: General Response Rate .....	34
Table 4.2: Experts Residents Encountered.....	45
Table 4.3: Level of Public Participation.....	56

## LIST OF FIGURES

Figure 2.1: Two-Step Flow Model.....	24
Figure 4.1: Gender of the Respondents.....	35
Figure 4.2: Level of Education .....	36
Figure 4.3: Marital status representation.....	37
Figure 4.4: Employment Status .....	38
Figure 4.5: Strategy used by government officials and KENSUP.....	39
Figure 4.6: Residents of Kibera at the Start of Upgrade.....	43
Figure 4.7: How Residents Revealed They Were Affected .....	44
Figure 4.8: Non-Residents on How Residents Were Affected.....	45
Figure 4.9: Major Challenges Residents Faced .....	46
Figure 4.10: How Challenges Were Solved .....	48
Figure 4.11: Residents who Experienced Communication Challenges .....	49
Figure 4.12: Communication-based Problems .....	50
Figure 4.13: Solutions to Problems.....	53
Figure 4.14: Conflicts between Urban Planners and Experts.....	54
Figure 4.15: Agreement on Participation .....	55
Figure 4.16: Showing Success Rate of Slum Upgrading .....	57
Figure 4.17: Showing Reasons for Success.....	57
Figure 4.18: Reasons for Failure.....	59
Figure 4.19: Reasons for Halfway Success .....	60

## LIST OF PLATES

Plate 4.1: Kibera Soweto Decanting Site/Picture by Komollo Amos.....	42
Plate 4.2: Kibera Soweto East Zone A Upgraded Structures/ Picture by Charles Onyuka.....	58

# CHAPTER ONE

## INTRODUCTION

### 1.1 Overview

This chapter provides details on the background of slum upgrading programmes in Kenya, the problem statement, objectives, scope and justification. It also provides a list of abbreviations in the study.

### 1.2 Background

With slums increasing in Kenya cities and towns, encroachment to public road reserves slum population increasing and social problems retarding economic growth, the desire to upgrade Kenya slums was born and various initiatives have been done to achieve that desire. In early 2000, Kenya in collaboration with UN HABITAT, World Bank and other relevant bodies started the process of slum upgrading in Kenya. On February 2003, Kenya signed an MoU with UN Habitat to kick start slum development process and to ensure that Kenya Slum Upgrading Project (KENSUP) covers Nairobi, Kisumu and Mombasa.

The main aim of KENSUP was to improve slum dwellers' standards of living. However, this has not gone without major problems faced by the locals of the affected areas. Resistance has been experienced and contradictions have emerged hindering the objectives to be achieved as ought to have been and this is an indication that public participation has not been achieved to the levels that the Constitution of Kenya (2010) demands. This study aimed at locating the main cause of the outcry; perhaps it could be due to poor communication methods and lack or lower levels of public participation. The assumption underpinning the study was that if the locals were involved in the decision-making process, there would have been minimal or no outcry from the slum dwellers.

This paper delves into evaluating the communicative aspects of this process to find out the loopholes and provide ways of improving future development initiatives. In my view, communication is a thread that knits multiple parties together to achieve upgrading goals. In slum upgrading, there are actors such as the government, KENSUP and KISIP, experts like urban planners, and surveyors, and slum dwellers. Communication, therefore in my view, is the thread that knits and links the experts, locals and the actors.

Various countries and cities have been faced by housing shortages. This has led to increased informal settlements worldwide, and names such as favelas, ghettos and slums are there because of such trends. Villarosa and Magalhaes (2012) posit that urban neighbourhoods in Brazil are plagued by inadequate housing and land-titling irregularities: tenements, favelas, irregular land divisions, or even residential blocks that, although built by the government, are often in a deteriorated state. Villarosa and Magalhaes (2012) further adds that these settlements are various, different in terms of location, size, density, building quality, legal frameworks, risk situation, and level of alliance and integration and the main cause of this increased number of informal settlements is as a result of highly varying degrees of due to extremely unequal economic and social structure.

In *Slum Upgrading: Lessons from Brazil*, Villarosa and Magalhaes (p20, 2012) reveal that the goodness of urban centres depends on its ability to provide good habitat with good technical conditions such as infrastructure for transportation social amenities and sanitation or hygienic conditions, as well as other conveniences, such as public transportation, the availability of infrastructure, social facilities, sanitation, and commerce. According to the two scholars, a slum upgrading program called Bacia da Una in Brazil was jointly done between the Brazil State and the Office of the Mayor of Belém and the constant wrangles and disagreements or opposing views between various actors had negative implication to the coordination and the connection with the local folks. The disagreements, according to the scholars, brought the program to a standstill in 1992 by the state government. In summary, the authors argue that in various upgrading programs that included good coordination and public participation were better in terms of planning and execution.

Villarosa and Magalhaes (p 26, 2012) argue that:

In Prosamim, a result of the project's participatory process was the change in the architectural design, which involved eliminating the two-story typology and adding sinks in the bathrooms. The program developed several participation channels, considered key for running the program and ensuring the good physical-urban-architectural quality of housing units.

The scholars add that in Terra Mais Igual community, representatives heaped praises on the fact that projects were jointly constructed with the locals and this is public participation in practice. This implies that public participation is one pillar in slum upgrading that cannot be overlooked. The success of slum upgrading depends on how the experts involved the locals

and how combined decision-making process is vital when it comes to planning and execution of a development program.

In Africa, various governments like South Africa, Kenya and Nigeria have been involved slum upgrading for many years. In South Africa, Ekurhuleni slum is essentially working to create better lives for slum dwellers (Cities Alliance, 2016). The desire to develop the city was generated by the newly developed municipality struggling to ensure proper countering of large existing social and economic differences and emanating from the former apartheid regimes that made as huge as around 65 percent of the city's population to live in informal settlements or townships.

In 2008, the Participatory Slum Upgrading Programme (PSUP) was launched. This is a joint effort of the African, Caribbean and Pacific Group of States, the European Commission and UN-Habitat and to date, the programme has reached out to 35 countries and 160 cities, and has provided the necessary enabling framework for improving the lives of at least 2 million slum dwellers (UN Habitat, 2017). Participation in various levels in slum upgrading is very essential and that is why PSUP was introduced. In Kenya, for example, participatory slum upgrading is being implemented in partnership with the Ministry of Land, Housing and Urban Development (MoLHUD) and the County Government of Kilifi.

In early 2000, Kenya collaborated with UN HABITAT, World Bank and other bodies in line with slum upgrading agendas started the process of slum upgrading in Kenya. The MoU that was signed between Kenya and UN Habitat was to spearhead the process of slum development projects that would cover various slums in Kenya. This memorandum was meant to ensure that the Kenya Slum Upgrading Project (KENSUP), which would cover Nairobi, Kisumu and Mombasa. The foremost objective of KENSUP was to improve, "the livelihoods of at least 5.3 million urban Slum dwellers" (UN-HABITAT and the Kenya Slum Upgrading Programme Strategy Document, 2008)

Another program that was at the same time was the Kenya Informal Settlement Project (KISIP) which is a Government of Kenya initiative under the Ministry of Land, Housing and Urban Development. This initiative was meant to ensure that land tenure was properly and expertly done but the main aim was to ensure slum dwellers' lives was improved and increased. Basically, its four main goals were; strengthening institutions and project management,

enhancing tenure security, investing in settlements restructuring and infrastructure and planning for urban growth (Local Physical Development Plan and Informal Settlement Project, 2016).

The two projects were formed in correspondence to Millennium Development Goals (MDGs) and Vision 2030 that aims at improving lives of people. All these, however, must be done through public participation. Public participation is one of the national values and is also one of the principles of public service as articulated in the Constitution in Articles 10 (2, a) and Article 232 (1).

A story is told by Lukorito W. Jones (Nation Media Group, June 6, 2016) of how “Kibera Upgrading is full of contradictions.” The story reveals that in 2009, “the government relocated the 1,200 households in the area (Kibera’s Soweto East Zone A) to Lang’ata to pave the way for the area’s re-development.” Ms. Mugure, a character in the story, reveals that what the relocated people thought they ran from has followed them to their new dwelling place. Issues of severe shortage of water, security, garbage and sewage-related hazards among other issues are thriving in their new home.

According to the above analogy, the writer adds that, “If nothing is done to arrest the sub-letting, then the government risks achieving slum relocation instead of slum upgrading,” and that according to the Director of Kenya Slum Upgrading Program (KENSUP), Mr. Charles Sikuku (as the story further reveals) the problems experienced by these people are “self-inflicted” and the government will not take responsibility. The revelation in this analogy is to show that indeed there is a problem in slum upgrading in Kenya and perhaps, these problems are communication-related.

### **1.3 Problem Statement**

In Kenya, slum upgrading is facing challenges and the public outcry due to some actions of various stakeholders in the process is too much to ignore. Fernandez and Calas (2012) observes that at the community level, involvement of some leaders especially Settlement Executive Committee (SEC) have been challenged by residents who complain about their absence in meetings and lack of communication between the affected community and those responsible for the project implementation and that SEC officials are the primary beneficiaries of the

project. This clearly reveals that communication and public participation are playing a vital role slum upgrading in Kenya and lack of them is a serious course of failure.

Pétursdóttir (2011) reveals that based on the research done, community participation in the Kibera upgrade started out well, but became less and less successful as the project continued and that the KENSUP strategy document was never made generally available in the slums; maps were created but just like the strategic document they were not distributed within the slums leading people to be generally unaware of how much upgrading was to be done, how many houses were to be built and what slum upgrading was about. Slum dwellers were left in the dark, not informed or considered. This shows that poor communication and low levels of public participation were some of the main causes of the public outcry.

If the problem of low levels of communication and public participation is not solved, the outcry will still be there, and the affected slum dwellers will not benefit from the fruits of slum upgrading. This study, therefore, attempts to examine the levels of communication and public participation and how they contribute to the success of slum upgrading.

## **1.4 Objectives**

### **1.4.1 Main Objective**

To examine how communication and public participation contributes to the success of the slum upgrading process.

### **1.4.2 Specific Objectives**

1. To examine the role of communication in knitting various actors, experts and slum dwellers in slum upgrading in Kenya.
2. To find out the communication strategies used by different stakeholders in the slum upgrading in Kenya.
3. To find out the successes or failures of communication strategies that were employed in the upgrading process.

### **1.5 Research Questions**

1. What is the role of communication in knitting various actors, experts and slum dwellers in slum upgrading in Kenya?
2. What were the communication strategies that various stakeholders employed to communicate with the locals?
3. What are the failures or successes of the communication techniques employed in the process of slum upgrading?

### **1.6 Rationale/Justification**

With the aspect of multiplicity of actors in the process, there is need to find a knitting factor that will ensure different levels of agreements. Basically, this is a communicative aspect and the study therefore advances the importance of studying public participation in communication and how the two contribute to slum upgrading process in Kenya.

This study, therefore, will benefit slum dwellers by making them aware of their communication rights and this will make them highly participants and get them involved in the upgrading processes in the future. According to Fernandez and Calas (2012), the members of Settlement Executive Committee are the major recipients of slum advancement in Kibera. This study, therefore, aims at changing that selfish trend to one where the slum dwellers will use communication to fully participate in future upgrades and hence make them understand how useful their voices are in developmental processes, especially in decision making.

Professionals involved like urban planners will benefit from this study since it will reveal to them the understanding that communication knowledge is vital for their work to go down smoothly. They will know the need and that will make them integrate various strategies in communication to improve their communication skills to help them reach other actors effectively. It will further prove to professionals that communication cuts across all disciplines and this will be essential in future studies in the field of communication and other disciplines.

This study will also be useful for universities and colleges offering communication studies to revise their curricula to suit both communication and public participation studies. Clearly, the study forms a link between communication and participation and this gives a new dimension to the two fields and how they should be perceived.

### **1.7 Limitations and Scope**

Since this study gathers data about slum upgrading facts in Nairobi from secondary sources and primary data from the field, it suffers the ability to track some of the trends and strategies as were used in real time. In my view, when a study tracks events especially in development projects, it becomes more authoritative since its data is backed up by events that are happening in real time and that is a luxury this study does not enjoy. However, the use of secondary data to supplement primary data and the interviews will be helpful in getting data that dates back to 2000s when the upgrading process was started. The assumption is that some of the residents of Kibera have been there from the beginning and can narrate their experiences since the process began.

## 1.8 Definition of Terms as Used in the Study

**Communication-** Is the exchange of information between all the actors and participants in slum upgrading (the thread that knits and links the experts, locals and the actors).

**Public Participation-** “participation is a process in which people, and especially disadvantaged people, influence resource allocation and policy and program formulation and implementation, and are involved at different levels and degrees of intensity in the identification, timing, planning, design, implementation, evaluation, and post-implementation stages of development projects,” Imparato and Ruster (2003)

**Slum Upgrading-** This is the development of an informal settlement by providing better housing, better drainage systems and better roads for easy access as is the case in Kibera Soweto East Zone A.

**Settlement Executive Committee-** The committee that was set up by Kenya Slum Upgrading Project to help in the deliberation of issues, sit in meetings and form a link between actors and locals.

**Participatory Communication Theory-** making use of people’s ability talk to lead to collaborative identification of a problem and finding a suitable decision that can solve the identified development problem.

**Reliability-** reliability is the extent to which measurements are repeatable when different persons perform the measurements, on different occasions, under different conditions, with supposedly alternative instruments which measure the same thing.

**Convergent Analysis-** Argument that quantitative and qualitative data can be used side by side in a sequential manner to address the issues further or the combined analysis of qualitative and quantitative data to help in the elaboration of findings in a study.

## **CHAPTER TWO**

### **LITERATURE REVIEW**

#### **2.0 Overview**

This chapter aims at providing the available literature for this study and various theories that helps in guiding the study. The focus of the literature is on the variables; slum upgrading, communication and public participation. Various scholars and researchers have undertaken various studies in the field of slum upgrading, communication and public participation. The approach taken aims at looking at the variables in a wider perspective and narrowing to what has been documented about Kenya's slum upgrading programs. The study has used the Theory of Citizen Involvement to help in locating various arguments in public participation. As a supportive theory, this study has used Technological Determinism theory that asserts that technology is responsible for our actions and perceptions.

#### **2.1 Literature Review**

##### **2.1.1 Slum Upgrading**

Slum upgrading has been a worldwide endeavour and many countries have spent many years trying to develop their cities. International bodies like UN Habitat AND World Bank have invested billions of dollars in various slum upgrading programs worldwide and various lessons have been learnt from these experiences.

When the World Bank and the government of Indonesia initiated the well-known Kampung Improvement Program (KIP), the desire was to develop it to improve the living standards of the people. This, they realized would be too expensive and the only way to cut cost was to use locals in various aspects. World Bank and UN Habitat (2012) observed that from its beginnings in Jakarta, the part of KIP that was supported by World Bank reached about 5 million people in fifteen years (the total program reached 15 million over 30 years) and that through KIP, 300 local government units across Indonesia provided water, sanitation, shelter and roads. On the same context, replicated or comparable energies were started in India and Brazil among other nation. In Africa, Tunisia, Egypt and Nigeria among other nation have already rolled out slup development projects. The World Bank and UN Habitat study further reveals that success of this upgrade is due to bottom-up community-based strategies-commitment at the top and commitment over. The basic idea here is the incorporation of the slum dwellers in decision making.

Slum upgrading in Greater Cairo by the help of World Bank and Cities Alliance, is one worth mentioning. This initiative was aimed at providing improved housing, roads, drainage and improved water systems in the informal settlement (Cities Alliance, 2008). However, challenges became more pronounced and extensive for the World Bank and Cities Alliance until they revised fresher methods of dealing with obstacles under the GTZ Participatory Development Programme. Cities Alliance (2008) observes that new methods and strategies should be accommodative of providing mechanisms for handling and monitoring the upgrading activities in each area, without neglecting community collaboration, resident contributions, and roles; circulating Collaboratory development mechanisms for identifying problems, priorities, and upgrading interventions by local stakeholders that included government, NGOs, and private sectors.

The Egypt's upgrading scenario provides a dimension that fresher methods and new strategies of slum upgrading should make public participation and creation of links among actors a priority (Cities Alliance, 2008). This new dimension creates a new level of decision making that includes locals of the areas being upgraded and this is what this study sets forth to examine in the Kenyan scenario where slum upgrading has not gone down without obstacles.

With slums becoming more populated in Kenya, upgrading them has become the desire to the government. In Nairobi, an estimated 1.5 million people live in slums (ghettos) which is about 60% of the city's official census population of 2.5 million. These 1.5 million people are kerbed to an area of less than 5% of total municipal residential land (Muraguri, 2011). The rolled-out plan to develop Kenyan slums was to improve or develop slums in major cities like Nairobi, Kisumu and even Mombasa. The main aim of KENSUP was to improve, "the livelihoods of at least 5.3 million urban Slum dwellers (1.6 million households) by the year 2020 at an estimated cost of Kshs 884 billion or \$13 billion," (UN HABITAT and the Kenya Slum Upgrading Programme Strategy Document, 2008).

Another program that was also initiated at that time was the Kenya Informal Settlement Project (KISIP) which is a Government of Kenya initiative under the Ministry of Land, Housing and Urban Development. This initiative was to ensure that land tenure is professionally done to improve the lives and working conditions of slum dwellers. Basically, it had four main objectives: strengthening institutions and project management, enhancing tenure security,

investing in settlements restructuring and infrastructure and planning for urban growth (Local Physical Development Plan and Informal Settlement Project, 2016).

To reverse the trend of more informal development growth, Muraguri (2011) argues that KENSUP and KISIP had to be initiated with a desire to work with other stakeholders to effectively run the upgrading programs. The actual target, the author argues, to improve the livelihoods of at least 1.6 million households living in slums (5.3 million slum dwellers) by the year 2020. To bring in the aspect of public participation, KENSUP set aside “a Settlement Executive Committee (SEC) made up of the residents of the slum to be upgraded. SEC was seen as the driver of this programme since the government wanted the locals to know its decisions during the process. (ibid). The committee was to work closely with the people forming a link with government and KENSUP. This is in itself an evidence that public participation was considered an important factor from the onset.

Bafo (2012) observed that absence of a good policy guiding and controlling the upgrading is the major hindrance facing the programs in Kenya. Public participation in the absence of strong policies is useless and this implies that without good policies, there will never be public participation. Due to low levels of public participation, it appears that this slum upgrading is facing several setbacks.

Various studies tend to agree that the presence of multiple actors, forced evictions, mistrust of government intentions among others serious problems are emerging at some point in the upgrading process causing serious outcry by the slum dwellers. Muraguri (2011) reveals that there are a lot of fights amongst various stakeholders including those between tenants and landlords, varied political, cultural and religious predispositions, contending interests of various groups, and partnership contents that presents the disadvantage of generating several parallel activities that often derail the implementation schedules. There are also issues regarding governance and involvement of communities in decision making which have various complexities.

### **2.1.2 Public Participation in Development**

Public participation is a concept that is rich in history and some nations have made great progress in ensuring that it is felt in all aspects. Some nations have made strong laws to ensure that public participation is not overlooked. This is because these nations have recognized the

importance of public participation and how decision making should include the people's voice. For example, Imparato and Ruster (2003) observed that in Bolivia, Law 1551, passed in 1994, institutionalizes community participation processes; it also legally identifies area-based community organizations (ABCOs), giving people the right to be participants in local planning and to create investigating or observing committees as a mechanism for social control over the actions of the municipal government.

In Kenya, devolution has seen the emergence of counties and there is decentralization of power to the devolved governments. The Bolivian situation of giving power to municipalities is like Kenya's counties and the way public participation is encouraged and considered an important aspect of development. In Bolivia, the new municipality is based on strengthening of municipal management autonomy; expansion of municipal jurisdiction, encompassing both urban and surrounding rural areas; and the transfer of new responsibilities, including infrastructure and maintenance of health services, education, roads and support to production, recreation and sports, and the environment, Imparato and Ruster (2003).

In efforts to locate the influence of participation, Imparato and Ruster (2003) set out to investigate what is public participation, the reasons for its existence and why it was regarded important. Some of the definitions they came across in their work include: Paul, in a World Bank paper on Community Participation in Development Projects (1987), calls community participation "an active process whereby beneficiaries influence the direction and execution of development projects rather than merely receiving a share of the project benefits." The main comment they give under this definition is that beneficiaries have a strong influence in the project. Secondly, In Participation in Practice, Reitbergen-McCracken (1996) defines the term as "a process through which stakeholder's influence and share control over development initiatives, decisions, and resources that affect them." Under this definition, Imparato and Ruster (2003) conclude that stakeholders' have an influence and are free to share control over development initiatives.

After putting different other definitions into considerations, the two scholars coined their definition as "participation is a process in which people, and especially disadvantaged people, influence resource allocation and policy and program formulation and implementation, and are involved at different levels and degrees of intensity in the identification, timing, planning, design, implementation, evaluation, and post-implementation stages of development projects."

This means that there are various actors in a participatory process, including people in general, the community, the poor, target groups, beneficiaries, stakeholders, and the disadvantaged. The two scholars conclude that the capacity to involve key stakeholders in strategic alliances often means the difference between success and failure, and is a key program coordination role.

The two authors then set out to investigate further the process of participation in various projects in South America and that is when they directed their efforts to the urban upgrading component of Guarapiranga in the municipality of São Paulo. Here, they found out that the upgrading was not being conducted with collaboration of the locals as participation would dictate. The viability of the implementation phase as they reveal was almost failing because socio-technical backing was minimal. The problems in the implementation of the project's trial phase were so many that the municipality decided to recourse to the private sector to offer socio-technical support services during implementation. This made a difference and the project was implemented. In summary, the two authors argue that solidarity is the key to the success of upgrading programs throughout the world and they add that increasing levels of public participation increases levels of success of developmental programs.

Slum upgrading is a complex situation and there are so many actors involved. When we read Kibera in Nairobi is undergoing slum upgrading, the need to know the actors, intentions and responsible parties like World Bank and UN Habitat arises. KENSUP and KISIP are key actors but that does not mean that they will operate in a vacuum and there will be no contact between them and other actors.

In an investigation into the participatory approaches to slum upgrading and poverty reduction in African Cities' by Laura McPherson (2013) reveals that trends in participatory approaches in Kenya are still being practiced in a very minimal degree that cannot bring substantial contribution to poverty reduction in African cities. The author argues that even though some members have benefitted from them, they are still applied on smaller levels to have large poverty-reducing impressions at the city level. That notwithstanding, she argues that participatory programmes do result in development for communities and that there is a huge prospect for poverty alleviation if participatory is increased in various cities.

With this position and that of Imparatu and Ruster (2003), the conclusion is that there is great benefit in increasing participation in development agendas. To further determine the role participation in development, Pétursdóttir (2011) reveals that based on the research done, community participation in the Kibera upgrade started out well, but as the process moved towards completion, the levels become less. The SEC is revealed to have held meeting twice a week and there was information flow during that time, but the absence of public participation is still a problem in the slum upgrade projects; people are involved in the beginning, but pushed aside as the project matured toward the implementation phase.

Considering that communication plays a vital role in the participation processes, there seems to be lack of information as to the role it has played in the upgrading initiatives. Pétursdóttir (2011) observed that the KENSUP strategy document was never made generally available in the slums. The author argues that maps were created but just like the strategic document they were not circulated within the slums making residents not to be aware of what was going on in their surrounding; they were in the dark of how upgrading was being done, how many houses and even the intention of the upgrade. Some of these gaps were because of lack of policies while others are purely issues to do with communication. Without the material support of equipment and supplies, without the managerial support of qualified personnel and without the financial support of advertising incomes and a sizeable literate readership such communication development would be impossible (Schramm, 1964; Chu 1974).

In an 'investigation into governance and participation in slum upgrading programs' by Keziah and Mark (2014), there is a revelation that the conflicts of interests among different actors and roles have been present from the time the program was started. They argue that central or focal point for slum upgrading (authority) was missing and this created major issues like misunderstanding and creation of mistrust toward the whole process of slum upgrading. The authors also add that absence of policy guidelines and management of actors and conflicting goals and was a major hindrance that faced the upgrading process. With the visible conflicts, the two authors argue that if there was a balance of power between actors and more clearly defined policy on the role of each stakeholder, the conflicts could be minimised immensely.

### **2.1.3 Essence of Communication in Participation**

Communication is the exchange of information between various actors or participants and in this case, it is the exchange of information between all the actors and participants in slum upgrading. Communication is a very important aspect in development. Development communicators, both in the past and today have reiterated the statement by offering different ways in which communication directly influences decision making and actions in development programs. Some of the scholars have gone as far as saying boldly that without communication, development can never occur. Communication, therefore, is the central nervous system of development.

Paulo Freire (1970) asserted that “if it is in speaking their word that people, by naming the world, transform it, dialogue imposes itself as the way by which they achieve significance as human being.” Dialogue is one of the strategies that can be employed in development. It is a very important strategy due to the face-to-face value it provides between the parties involved. Information flow between persons is influenced by the presence or absence of different parties and according to Freire, through dialogue (an aspect of communication), we can influence and transform our world. Majorly, decisions we make, and our actions are directly influenced by how we communicate. What this means, on the other hand, is that without communication there can never be true development and transformation, and this is what Freire believes when he asserted that development cannot be realized in “silence”.

Quebral (1972) observed that the development communicator may use the same media as the publicist does, but his aim is to stimulate public awareness and understanding of planned change, and the agency that is promoting it, so as to create a climate of acceptance under which the agency can do its appointed work. The job of development communication is the process of development itself. In other words, it is through communication that participation is made possible and in slum upgrading, giving power to communication and employing various platforms and strategies of communication to reach slum dwellers means making them participate. KENSUP and KISIP needed to create a communication link between them and the locals to ensure that their views are included in the decision-making process.

Chambers (1983) in *Objectives for Outsiders* argues that in most cases, outsiders think they know best and that the rural folks do not know what is in their interests. The main problem facing development of rural areas is that professionals exclude the rural folks due to the notion

that they (rural people) are not professionals hence do not know how to address their problems. Professionals, who Chambers call outsiders, exclude the rural poor and this means that decision making process is not inclusive of their (rural people) views. The same scenario happens in development programs and perhaps this could be the main cause of outcry emerging from Kibera Soweto East Zone A where upgrading has been done. Chambers (1983) further argues that objectives for outsiders can, then, be expressed as a reversal, putting first the wishes of the poor themselves. This is the process of participation made possible by communication. Hamelink (1984) observed that for any development process, it is vital to have horizontal channels that activate all sectors of the population and that facilitate access to decision making for otherwise excluded sectors.

In other contexts, we can look at slum upgrading as a research process. Research process involves both the researcher and other participants. Hall (1981) argue that participatory research brings outside researchers and local participants together in joint inquiry, education and action on problems of mutual interest. Ideally, all parties become learners: they share control over the research process; they commit themselves in constructive action instead of detachment; their participation promotes empowerment as well as understanding (Quoted by Brown, 1985). This further reiterates Freire and Chambers idea that communication is needed for participatory processes to be successful.

#### **2.1.4 Knowledge Gaps**

The available literature indicates that communication and public participation have not been fully utilized in the upgrading process in Kenya. Muraguri (2011) reveals that there are a lot of conflicts between various stakeholders and this in my view can be harmonised by engaging communication. The absence of good policies according to Bafo (2012) implies that public participation cannot be fully achieved since there is no strong foundation like in Bolivia where law 1551 ensures that decision making must involve people from the community (Imparato and Ruster (2003). This agrees with Pétursdóttir (2011) findings that based on the research done, community participation in the Kibera upgrade started out well, but became less and less successful as the project continued and that the absence of citizen participation is still a problem in the slum upgrade projects; people are involved in the beginning, but as the implementation phase arrives and as problems arise, they are pushed aside.

With all the literature reviewed, communication and participation were the focus of the various studies, but they were done as separate variables. The scholars did not look at public participation as an aspect of communication which in my, should have been the case. The failure to unite communication and public participation in slum upgrading is a gap that if left without addressing, the success of slum upgrading may not be fully understood, and the problem may crop up in future studies. This study, therefore, ties public participation to communication and sets out to examine how the two impacted on slum upgrading in Nairobi.

## **2.2 Theoretical Framework**

Previous studies have adopted various theories that are seen to be relevant in the field of communication and public participation. For example, in the study 'community participation and implementation of constituency development fund projects in Kenya' Ng'ang'a (2015) used Sherry Arnstein's ladder of participation (1969) which helped her in explaining various levels of community participation in the community development fund (CDF). In her study, she used various levels as to explain the levels of citizen involvement during the upgrading process and some of the levels discussed included manipulation at the lowest rung, therapy, informing, consultation, placation, partnership, delegation of power and citizen control. One of her major findings was that though the project purposes were to benefit the community, only influential people were deeply involved in implementing them. This prompted her to recommend that the public should be made aware of importance of public participation to increase their involvement in various processes.

This study will use the Participatory Communication theory to locate arguments and provide it with the scope and guidelines. The main reason behind the choice of this theory is prompted by the need to understand public participation and the need to give context to the study, highlighting various concepts and principles that underlie participatory studies in various contexts like in developmental agendas.

### **2.2.1 Participatory Communication Theory**

Members of the public have a voice and in my view, assuming that they are not aware of what affects them is huge mistake. In this study, slum dwellers are the most affected by slum upgrading and that means that they should be allowed to fully participate in the process since they are the primary stakeholders.

This study delves into identifying how communication and public participation were employed in the slum upgrading in Nairobi and in this respect, public participation is the idea that the members of the public (slum dwellers in this case) have a voice and that their voice should be heard. The main reason for their inclusion is that their voices are very beneficial when it comes to slum upgrading decision making-making processes. To fully understand the idea of slum upgrading in the context of development, the study depends on the theory of Participatory Communication Theory.

### **2.2.1.1 Tracing the History of Participatory Communication Theory**

According to Tufte and Mefalopulos (2009), the history of communication usage in development has been growing with ‘development industry’. Various suggestions have been used to locate communication usage in development and some of them include the use of ‘development support communication’, ‘program support communication’ and ‘communication for development’ which was later referred to as ‘development communication’.

Throughout 1970s and 1980s, Tufte and Mefalopulos, (2009) argues that deliberate approaches of communication to deliberately boost or influence behaviour change advanced and was referred to as behaviour change communication (BCC), but in these early years, there were no participatory elements. Tufte and Mefalopulos (2009) suggest that the reigning assumption was that crafting of the content and audience targeting was enough to enhance development. However, this was not to last, and in the 1990s, the idea of public participation to drive social change started to emerge.

A broad-based policy initiated by the Rockefeller Foundation in 1997 and pursued by the Communication for Social Change Consortium in subsequent years has focused structural inequality and social transformation (Tufte and Mefalopulos, 2009). The Rockefeller process according to the scholars, introduced the definition of BCC as “a process of public and private dialogue through which people themselves define who they are, what they need and how to get what they need in order to improve their own lives. It utilizes dialogue that leads to collective problem identification, decision-making and community-based implementation of solutions to development issues.”. This is public participation and in this context, it can be argued that in slum upgrading in Kibera Soweto East Zone A, the locals had to be included from the beginning

of the process, their needs taken and considered in the decision-making process to come up with implementation procedures that are informed with the needs of the people.

In 1970, Paulo Freire argued in his book 'Pedagogy of the Oppressed' that human beings are not built in silence, but in word, in work and in action reflection. Through words, experts and actors in slum upgrading express themselves and this development communication is taken up by the locals who will also air their voices and in a combined way, their collective power in taking action makes work done and this is participatory communication. Freire (1970) further explains his point that 'if it is in speaking their word that people, by naming their world, transform it, dialogue imposes itself as the way by which they achieve significance as human beings.' The point here is that through expression of word, development agenda is spread and this helps human to transform their world. In slum upgrading, various strategies can be used to reach people and dialogue, according to Freire, is one of the most important aspects that can be used to help in driving change. As a prerequisite to public participation, the call for collective decision-making through dialogue is one positive step that does not only help in making various groups like experts, actors and locals in slum upgrading programs, but also equips the various groups with the desire to transform their world through collective action.

In 1971, Nora Quebral defined development communication as 'the art and science of human communication applied to the speedy transformation of a country and the mass of its people from poverty to a dynamic state of economic growth that makes possible greater social equality and the larger fulfilment of the human potential. Just like Freire, Quebral brings in the aspect of humanity and how through communication, development can bring the fulfilment of human potential. In slum upgrading, if the locals were brought to the transformation of their settlements by the actors and experts, this would have brought satisfaction to them. Quebral further asserts that the job of development communication is to inform and motivate at the national, sectoral and project levels. In this case, the government of Kenya ought to have informed the KENSUP and KISIP as the actors responsible for slum upgrading in Kibera, the experts like surveyors and urban planners to pass on the development agenda to the local people and this would have 'stimulated public awareness and understanding of planned change, and the agency that is promoting it, so as to create a climate of acceptance under which that agency can do its appointed work' according to Quebral (1971).

In this context, the acceptance that development communication would have created perhaps would have prevented the conflicts that are emanating from the upgrading programs. The conflicts between actors like Muraguri (2011) who observed that there are a lot of conflicts between various stakeholders in the slum upgrading process wouldn't have been experienced.

## **2.2.1.2 Typology of Participatory Communication**

### **2.2.1.2.1 Passive Participation**

This, according to Tufte and Mefalopulos (2009), is the least participatory of the four approaches since it is the situation where the primary stakeholders (for example slum dwellers in Kibera) of the project are informed of what is going to happen or has happened. People's participation is very minimal or non-existent and their participation is assessed through methods like head counting and contribution to the discussion.

Considering the case of Kibera, passive participation would give all the power of making decisions and determining the course and result of slum upgrading to KENSUP and KISIP who are the major actors of the process and their experts like urban planners and surveyors but not the slum dwellers. Going by what scholars like Muraguri (2011) say, it seems that lack of communication between the various actors/experts and the slum dwellers contributed more to the conflicts in the process of Kibera upgrade. Perhaps this is because the slum dwellers were reduced to just passive participants.

### **2.2.1.2.2 Participation by Consultation**

This is an extractive process whereby stakeholders provide answers to questions posed by external professionals or experts but in the final analysis, the consultative process keeps all the decision-making power in the hands of external professionals who are under no obligation to incorporate the stakeholders' ideas or views (Tufte and Mefalopulos 2009). Even in this approach, Kibera slum dwellers wouldn't have determined the course of slum upgrading since they are not equal to the upgrading experts/actors of slum upgrading when it comes to making decisions.

### **2.2.1.2.3 Participation by Collaboration**

This is where primary stakeholders participate in the discussions and analysis of predetermined objectives set by the project, but the level of participation does not usually result in dramatic changes in what should be accomplished which is often already determined (Tufte and

Mefalopulos, 2009). This type of participatory gives room to slum dwellers to contribute since it calls for people to be actively involved in the process of coming up with decisions on ways of attaining already set goals. As a joint collaborative effort, this process involves parallel communication and capacity building among all stakeholders. Kibera slum dwellers, under this approach, are actively involved in the upgrading process and their views are taken up by the experts and actors. This inclusion may not result in dramatic changes because the initiators of the project like the government, KENSUP and KISIP already had a well-established course of action, but for capacity building, the locals are very useful.

#### **2.2.1.2.4 Empowerment Participation**

This is the most influential type of participatory communication as it gives the stakeholders the power to contribute to the program since stakeholders are included in the decision =-making process about what should be achieved and how (Tuftte, and Mefalopulos, 2009). Tuftte et al further argue that while the outsiders are equal partners in the developmental effort, the primary stakeholders are also equal partners with a significant say in decisions concerning their lives. This is a near-perfect way to include the needs and views of the locals, and if we consider slum upgrading programs in Kibera, the chances of outcry would have been minimised greatly since the stakeholders would have addressed their concerns and included them as part of the solutions to the development projects. A key component of this approach is the inclusion of the concerns of the locals in decision-making. Further, this process makes the primary stakeholders the owners of the process of development.

#### **2.2.1.3 Guiding Principles of Participatory Communication**

Just like any other theory, the theory of participatory communication is built on various principles that provide it with the foundations that can help in locating its scope and pillars. Tuftte and Mefalopulos (2009) suggested that this theory is built by 5 principles and these are; dialogue, voice, liberating pedagogy and action-reflection-action.

##### **2.2.1.3.1 Dialogue**

Emerging from Paulo Freire's works in the 'Pedagogy of the Oppressed' (1970) observation, permitted and ungagged dialogue is a major concept in collaborative communication. Freire argues that dialogue is the coming together of people to name their world. He further argues that the people denied this basic and fundamental right should fight hard to make themselves autonomous or free in a bid to reclaim their right to express themselves to mitigate omission.

It is human's right to dialogue and the Constitution of Kenya (2010) provides various freedoms and rights for Kenyans to communicate and get access to information without bias. One pillar that the same constitution advocates for is participation of all Kenyan citizens to all activities like development issues without discrimination. Therefore, the people living in Kibera had a right to dialogue to speak their work and by doing this, they 'transform their world' according to Freire's observations. Through dialogue, there is no chance that the slum dwellers would have felt excluded in the process.

#### **2.2.1.3.2 Voice**

Closely related to dialogue is voice and Tufte and Mefalopulos (2009) observe that Freire's concern was a shift in power relations, giving voice to marginalised groups, time and space to articulate their concerns, to define their problems, formulate solutions and to act on them. The idea here is that through dialogue, slum dwellers get the chance to express their views and desires, find solutions to their problems and if this is done effectively, decision-making process does not exclude anyone affected by the developmental process. If this was done, the continuous conflicts that various scholars have witnessed from Kibera could have been avoided. Through expression of their voice, slum upgrading process in Kibera would have been done in an inclusive manner where the outcry that there was lack of communication and that the locals were excluded in most part of the programs.

#### **2.2.1.3.3 Liberating Pedagogy**

Tufte et al (2009) further observed that for dialogic communication to occur, there must be an origin of articulation (something or someone) and the person can either be from the community or external and this person or something is the catalyst of the process. According to Freire (as quoted by Tufte et al), this catalyst is not just disseminating information, but 'would articulate a dialogue whereby collective problem identification and solution would take place (Freire, 1970). Essentially, participatory communication is to collectively identify a problem and all the stakeholders and the affected people to help in solving the problem and that is why the Constitution of Kenya (2010) recognises the power of public participation in all developmental agendas. The actors and experts from the government, KENSUP and KISIP were to engage the Kibera residents to know what they needed and expected from the upgrade. For the liberation to happen, Freire outlined hope, love humility and faith are four pillars that must be adhered to. This implies that if the actors and experts had the four pillars, chances of conflicts would have been reduced greatly.

#### **2.2.1.3.4 Action-Reflection-Action**

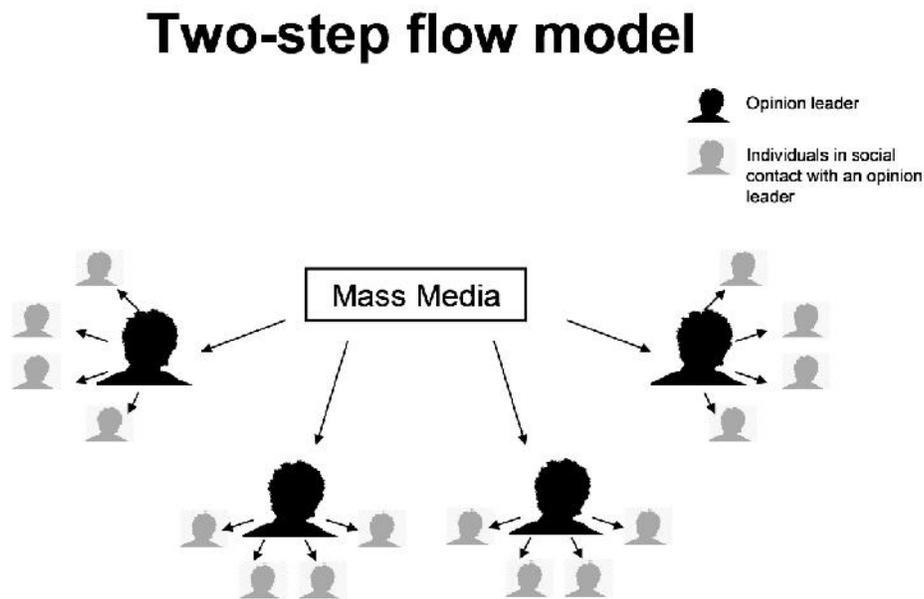
Participatory communication is not just about dialogue and reflection. These are just prerequisites to the process of participation as the key principle that would justify the above three is action. And being that participatory communication is action-oriented, there is serious emphasis given to acting on the problems identified. Tufte (2009) observed that creation of awareness and dedication are the most important results that come from participatory communication. For example, the Constitution of Kenya (2010) allows for public participation, but the real result should be seen or felt when people in slum areas like Kibera are made to speak about their problems and their voices included in the process of communication to come up with solutions that help in the upgrading process.

#### **2.2.2 Two-Step Flow Theory of Communication**

To boost communication, various channels and strategies should be used. Also, for public participation to be there and people to feel included in the process of slum upgrading, the influence from the government and other actors should be felt. In Participatory Communication Theory, the concept of 'liberating pedagogy' introduces the influence of a catalyst, the person or group responsible for spearheading and disseminating information. This concept of having a catalyst can be further understood by Two-Step Theory of Communication which introduces another level of a catalyst; the actions and involvement of opinion leaders.

The Two-Step Flow theory was developed by Elihu Katz and Paul Lazarsfeld, but initially, it was a study focussing of election campaigns and how decision-making process takes place. The main focus was aimed at finding out whether the mass media messages affect or directly influence people voting patterns. In their book, '*The People's Choice*', Katz and Lazarfield (1940) found out that there is always an 'impact of personal influence' in decision making and this explains the view that those who decide to vote for a particular candidate do so in relation to the influence they get from someone else. The authors also argue that there is 'flow of influence' and this is explained by the concept of having a catalyst who creates the influence which is disseminated to people under the influence of the catalyst.

Figure 2.1: Two-Step Flow Model



*By Katz and Lazarsfeld: The People's Choice*

The model above gives the idea of how mass media helps in the dissemination of information which is then received by the opinion leaders. The opinion leaders in this model act as the catalyst for creating more influence on the people they lead leading to decision-making. The concept of introducing opinion leaders can be further explained by their actions. Once they get the information from the mass media, they may add their views and opinions on the content they received to help in persuasion. They can also filter or trim the information in a way that suits their followers. When they filter information, it is like they tailor the information to achieve a particular purpose.

In slum upgrading, opinion leaders can be political leaders, church leaders, youth and women group leaders. The assumption is that they have influence that is real and can be felt; when they talk, people listen to them and act on what they propose or suggest. For example, Raila Odinga has a bigger support in Kibera and Mathare slums in Nairobi. If he, in his own power, encouraged his supporters to support the actions of the government so that their living standards can be improved, there is a possibility that the mistrust of the government's intentions would not be there, or at least minimised. People, because of trust in his actions as their leader, would have supported wholeheartedly his idea of supporting slum upgrading.

This theory is deemed important in this study because of the impact of a catalyst (opinion leaders) who influences decisions and leads to a change in attitude or perceptions. Also, the theory makes the works of the Ministry of Lands, Housing and Development and their actors like KENSUP even easier in that it provides them with a method tested and proved on how to increase acceptability faster and extensively using opinion leaders. Perhaps this is why they resorted to going for Settlement Executive Committee which they formed after interacting with members of the slum.

## **CHAPTER THREE**

### **METHODOLOGY**

#### **3.0 Overview**

This chapter aims at providing information on the design, methods and approaches of data collection, instruments used and the modes of analyses that will be used in coming up with information and conclusions. Ethical considerations are also included in this section.

#### **3.1 Research Approach**

This is a case study of Kibera Soweto East Zone A. A case study, according to Creswell (2003) is when the researcher explores in depth a program, an event, an activity, a process, or one or more individuals. The case(s) are bounded by time and activity, and researchers collect detailed information using a variety of data collection procedures over a sustained period of time (Stake, 1995). The choice of Kibera Soweto East Zone A as the case is dependent on the fact that it is one of the areas in slum upgrading has been going on and has faced various challenges like locals mistrusting the government's intentions and that the beneficiaries are majorly members of Settlement Executive Committee.

A mixed approach was used to gather and analyse data. Mixed methods research is a methodology for conducting research that involves collecting, analysing, and integrating (or mixing) quantitative and qualitative research (and data) in a single study or a longitudinal program of inquiry (Bulsara, 2005). Bulsara further that mixed method provides depth to the 'facts and figures' and can reveal other information not previously anticipated by the academics.

In qualitative approach Creswell (2013) argues that the problem may be one in which a need exists to both understand the relationship among variables in a situation and explore the topic in further depth. In slum upgrading, a combination of people's perceptions, attitudes and beliefs is an interesting perspective to take and this is the essence of using qualitative data collection method. Most qualitative studies involve a language of cases and contexts... examine social processes and cases in their social context, and study interpretations or meanings in specific socio-cultural settings (Neuman, 2013). In discussions related to the importance of contexts, urban upgrading in Kibera may not have similar challenges to the upgrading process in Mathare slum. The differences may come in relation to expectations and even the methods of upgrading

employed and that is why qualitative design was used to provide necessary information for this study.

Quantitative approach according to Creswell (1994) is 'explaining phenomena by collecting numerical data that are analysed using mathematically based methods (in particular statistics).' According to Cohen (1980), quantitative research is defined as social research that employs empirical methods and empirical statements where empirical statement is defined as a descriptive statement about what "is" the case in the "real world" rather than what "ought" to be the case. Usually, empirical statements are expressed in numerical terms and that is why this study integrates quantitative method to find out what the 'real' answers as to why there is outcry in Kibera Soweto East Zone A.

The main concept why this research chose to use mixed approach is the diverse nature of information that it provides and the various dimensions of a study that is presented by the method. This agrees with Creswell's (2003) idea that the researcher bases the inquiry on the assumption that collecting diverse types of data best provides an understanding of a research problem. The study begins with a broad survey to generalize results to a population and then focuses, in a second phase, on detailed qualitative, open-ended interviews to collect detailed views from participants.

### **3.2 Research Site**

Kibera Soweto East Zone A being the biggest zone among the four zones (A, B, C and D), it presents a better study ground for the study due to size, slum upgrading done and some of the outcry has been coming from this area. This area is among the first ones to be upgraded and this gives the study an opportunity to reveal what has been happening from the beginning of the program. Kibera Soweto East Zone A residents were targeted due to the assumption that they hold vital information that could not only shape this study, but help in the achievement of its objectives.

### **3.3 Population**

Kibera slum is one of the biggest slums in the world and the debate on whether it is the biggest and the most populated is still on-going. Fernandez and Calas (2012) observed that until September 2010, Kibera was considered as the second largest slum in Africa with, according to information sources and the media, a population of between one and two million. Fernandez

and Calas (ibid) further reveal that, Kibera has only 170,070 residents according to the Kenya Population and Housing Census of 2009 (Daily Nation, 2010). The data according to UN-HABITAT socio-economic record further reveals that Soweto East has 19,318 inhabitants spread out in four zones: A, B, C and D and Zone A is the largest with about 37% (6800 persons) of the total population (ibid) and the number of structures (houses) in Kibera Soweto East Zone A is 876.

### **3.4 Sample Frame**

The sample frame of this study is drawn from the Kenya Population and Housing Census of 2009 which is the most recent census that gives latest statistics and the findings of Fernandez and Calas (2012) about *The Kibera Soweto East Project in Nairobi, Kenya*. The main reason for using Fernandez and Calas (2012) is that it provides a specific analysis of the area and basically relies on the Kenya Population and Housing Census of 2009 and it also gives context to the study as it contains the population of Kibera and that of the four zones namely Zone A, B, C and D. The researcher went to the Kibera District Officer to find the data on the location and population of the whole Kibera area that included Soweto Zone A.

### **3.5 Sample Size**

Kibera Soweto East Zone A has 876 structures (represented by  $s$ ) and a population of 6,800 persons (represented as  $p$ ) (according to the statistics to UN Habitat (2008) (as quoted by Fernandez and Lacas, 2012) and the assumption is that each structure ( $s$ ) therefore has 7 persons ( $p$ ). Since the number of structures in Kibera Soweto East Zone A is known to be 876, using clustering sampling technique, the structures were grouped in clusters of 10 houses and one representative was selected to represent each cluster creating a total of 88 respondents.

However, a total of 68 persons filled the questionnaires creating a percentage representation of 77%. Of this total, 51 (75%) were living in Kibera Soweto East Zone and this harnessed the possibility of them having the needed information about the slum upgrading (witnesses of the upgrade).

### **3.6 Sample Procedure**

#### **3.6.1 Cluster Sampling**

This study used cluster sampling method that involves the group of elements together to gather information about a bigger population. Ahmed (2009) defines cluster sampling as a group of population elements, constitutes the sampling unit, instead of a single element of the population.

Since the number of structures in Kibera Soweto East Zone A is known to be 876, the structures were grouped in clusters of 10 houses and one representative was selected to represent each cluster. The clusters were constituted using simple random sampling strategy to give no room for bias during the process. This was achieved, and the end result was 77% response rate for the questionnaires that were distributed in the clusters.

#### **3.6.2 Purposive Sampling**

The purposive sampling technique, also called judgment sampling, is the deliberate choice of an informant due to the qualities the informant possesses (Tongco, 2007). Apart from cluster sampling, of the study also used purposive sampling to choosing urban planners who are assumed to have the knowledge needed for the projects and the processes of slum upgrading in Kibera and also officials from the Ministry of Devolution and Planning. Simply put, the researcher decides what needs to be known and sets out to find people who can and are willing to provide the information by virtue of knowledge or experience (Bernard 2002, Lewis & Sheppard 2006) (as quoted by Tongco (2007)). Two urban planners were interviewed, and they revealed the information about the Kibera slum upgrading project.

### **3.7 Data Collection Methods**

Qualitative data was collected using observations, interviews and reviewing of past studies in the field of slum upgrading. For the quantitative data, the use of questionnaires was employed to gather information from the occupiers of Kibera Soweto East Zone A structures.

#### **3.7.1 Observations (Observation Guide, Appendix 4)**

Cohen (2006) cites that observation can be used when the nature of the research question to be answered is focused on answering a how- or what-type question, when the topic is relatively unexplored, and little is known to explain the behaviour of people in a particular setting, when understanding the meaning of a setting in a detailed way is valuable and when it is important

to study a phenomenon in its natural setting. Studying Kibera Soweto East Zone A and getting data from the people in their natural setting was deemed important and that is why this method was chosen.

Also, important data that respondents could be avoiding, fearing to talk about or perhaps haven't been keen enough to realize can be revealed and this may give a new dimension to a study. The instrument that was used was the observation guide, which was specifically designed to collect data from the people interviewed or interacted with during the process of field work. One important aspect that was revealed is that use of English and Kiswahili languages for some portions of the target group was poor in terms of grammar and even understanding and this observation was made during conversations during administration of questionnaires for data collection. Conversation was a problem with these group of persons.

### **3.7.2 Interviews (Interview Guide, Appendix 3)**

The intention of using this method of data collection was that there were special cases where questionnaires were not the best tool for data collection. The interviews were used to collect data from urban planners and members of Settlement Executive Committee. This data was beneficial to the study since it offered more insights on some of the decisions taken during the upgrading process and also provided time for the experts and locals to respond to some of the issues being addressed by the objectives of this study.

Mathers et al (1998) argues that an interview is an important data gathering technique involving verbal communication between the researcher and the subject. Conversational interviews were used to allow the respondents to express themselves freely, but this was controlled by an interview guide to ensure there is focus. The planners interviewed responded to matters in relation to the slum upgrading, some major decisions in the processes while the members of SEC interviewed responded to matters on how they got involved and how some decisions affected them and the people they (SEC) represented.

### **3.7.3 Reviewing of Past Studies**

Past studies in this field are very important. They may reveal areas that are not being covered by the current study and this may influence the direction of the current study by adding information or supplementing what is being studied. The study checked and scrutinized the data from secondary sources like journals and books providing relevant information. The idea

of checking notes was to provide supplementary information to the primary data obtained from questionnaires. This was done through the review of past studies in the field of slum upgrading, both in Kenya and in other countries. The reviews of Greater Cairo and the Brazilian case studies of Mais Igual and Prosamim helped in locating various arguments for this study and made it easier for comparison of data and processes to that of Kibera Soweto East Zone A.

### **3.7.4 Questionnaires (Appendix 2)**

Quantitative data was collected using questionnaires to provide a direct way of getting responses to the issues being addressed. The questions were designed in a logical manner, and all the questions are responding or contributing to the research questions. Abawi (2013) defines a questionnaire as a data collection instrument consisting of a series of questions and other prompts for the purpose of gathering information from respondents.

The questionnaires comprised of both open and close-ended questions, but all addressed the goals of the study. The study targeted to administer 88 questionnaires to the current occupiers of the houses upgraded (parents and guardians affected by the upgrade). The researcher and his two assistants visited the study location and based on the willingness to participate, 77% of the targeted group responded to the questionnaires giving various responses beneficial to the study.

## **3.8 Data Analysis**

### **3.8.1 Qualitative Data Analysis**

Qualitative analysis was done through reading the texts to focus on the meanings of various themes, topics and the focus was on the meanings carried by the texts from interviews, observations and from the secondary sources found during collection. Schutt (2014) suggests that the “text” that qualitative researchers analyse can also refer to pictures or other images that the researcher examines. Connections were built based on the patterns identified and this was followed by data interpretation.

### **3.8.2 Quantitative Data Analysis**

Quantitative data underwent various stages of analysis and these included; first, understanding of the data collected from the questionnaires through thorough reading and taking down notes of respondents’ views. Secondly, the researcher focused on the objectives by identifying a few key questions that the research wanted the analysis to respond to. This was to make the researcher not to lose focus of the objectives. Thirdly, the researcher categorized information

by identifying patterns or themes that are occurring frequently to help in establishing data that responds to the research question and lastly, the researcher identified connections and interpreted the data.

### **3.8.3 Convergent Data Analysis**

Data collection included both qualitative and quantitative and this is due to the reason that the two complement each other to provide a well-informed data. It makes sense to separately view data and analyse them separately, but to be more effective, the data obtained was also analysed together in what is called convergent design.

To analyse this data, two methods of data analysis was done: side-by-side comparison and jointly displaying both forms of data. In side-by-side comparison, the analysis followed Neuman's (2013) arguments that quantitative and qualitative data can be used side by side in a sequential manner to address the issues further and design typically involves two phases: (1) an initial quantitative instrument phase, followed by (2) a qualitative data collection phase, in which the qualitative phase builds directly on the results from the quantitative phase. The main reason for analyzing this data in this manner is that it is advised that quantitative data should best be analyzed quantitative for better understanding of the goals of the study.

Also, data analyzed in quantitative and the results are built on using qualitative data. This is considered explanatory because the initial quantitative data results are explained further with the qualitative data.

### **3.9 Validity and Reliability**

The fact that this study aims at using Kibera Soweto East Zone A as a case, it is making use of statistics conducted in the area by the National government and this ensures that the figures are documented and can be retrieved anytime and are not subject to manipulation. The participants of the study are randomly selected from the occupiers of the houses that are in Zone A and this means that if another study would be conducted under the same conditions, there is likelihood that the finding will be consistent with this study. This agrees with Drost, (2012) arguments that reliability is the extent to which measurements are repeatable when different persons perform the measurements, on different occasions, under different conditions, with supposedly alternative instruments which measure the same thing. The actuality of the location and the structures in it are some of the factors that make this study reliable and in my view, the house

occupiers are assumed to rarely migrate to other places and if questionnaires are administered, the results will be consistent.

Drost (2012) argues that validity is interested in whether the research components create meanings and if the study is responding to what it set out to do. For this reason, this study will use an interview guide that will be assessed by the supervisor to ensure that all the questions address objectives of the study. The supervisor will do careful analysis of the document to ensure no loophole remains that may compromise the findings.

### **3.10 Ethical Considerations**

The study first got approval from the University of Nairobi School of Journalism to continue with the research after meeting all the requirements. First, the researcher was given the Certificate of Fieldwork (Appendix 5) to proceed to the research site and collect data. Secondly, to prove that the work is originally the researcher's, the researcher was awarded the Certificate of Originality (Appendix 6) and lastly a Certificate of Correction (Appendix 7) to show that all the recommendations given to the researcher by the Examining Panel were followed and corrections done appropriately.

This research study ensured that misleading information or the chances of misleading are greatly minimized. In case of any doubt about an aspect of slum upgrading, participation and communication, the study sought assurance from the Student's supervisor, peers or consult appropriate authority. Confidentiality of the participants was ensured to avoid any harm that may come their way. This was done through protection of their identities and whatever information they may not want revealed. All the names that are used in the study were given by the consent of their bearers.

Ethical consideration clearly stipulates that participation and giving of information is guided by one aspect, consent. Forcing or giving a person money is unethical and that is why the researchers of this study did not coerce, pay or make a promise to offer incentives to anyone to get the favour of getting information. The freedom to participate rests purely on the shoulders of the participants and the researcher is obligated by the law to obey the freedoms and rights of people.

## CHAPTER FOUR

### DATA PRESENTATION, ANALYSIS AND INTERPRETATION

#### 4.1 Overview

The purpose of this chapter is to reveal and give in-depth analysis, interpretation and presentation of data collected from the Kibera Soweto East Zone A. The chapter aims at locating various arguments that were introduced in the earlier chapters of this study to give clarification on the objectives sought by giving various findings of the research.

Data was collected, edited, organized and analyzed and finally presented both qualitatively and quantitatively using descriptive statistical tools as tables, graphs and charts. The main aim for this was to categorically show and role of communication and public participation in slum upgrading. The data analysis is done both qualitatively and quantitatively with the aim of raising comparisons that will give more insight to the objectives.

#### 4.2 Response Rate

To increase acceptability, it is important to know the level of response rate. The research targeted 88 respondents of Kibera Soweto East Zone A (44 men and 44 women), urban planners and officials from the Ministry of Devolution and Planning. Of the targeted population from Kibera Soweto residents, 68 people agreed to fill in the questionnaires. Below is the summary of the response rate:

**Table 4.1: General Response Rate**

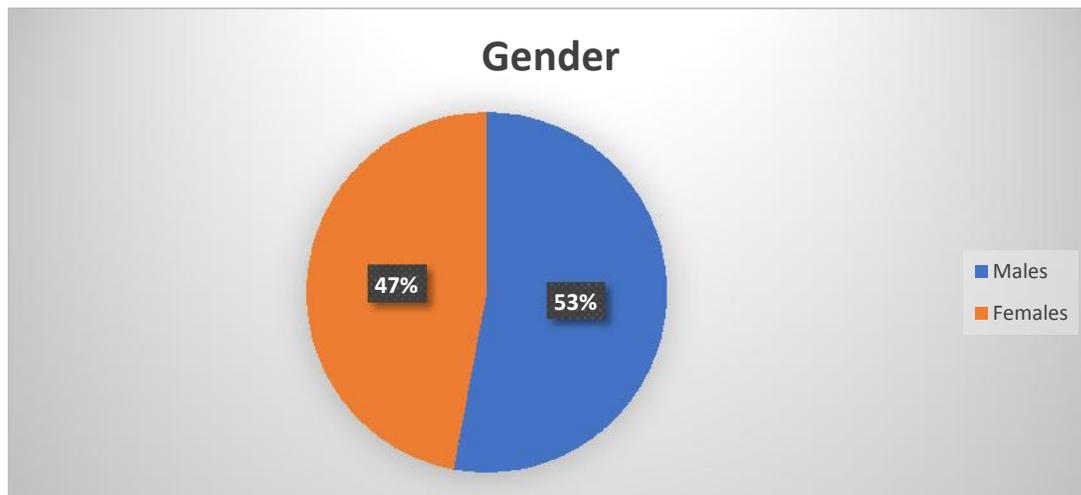
<b>Sample</b>	<b>Questionnaires Distributed</b>	<b>Questionnaires Responded To</b>	<b>Percentage Response Rate %</b>
Residents of Kibera Soweto East Zone A	88	68	77

### 4.3 Background Information of Respondents of Kibera Soweto East Zone A

According to an interview with Mr George Arwa (KISIP Planner) it was revealed that KISIP advise the government on slums and the main aim is to help in poverty alleviation. To do that, we look at certain issues/criteria to choose the slum to upgrade. Among the criteria are level of poverty, type of structures and the density of the population. We then do the assessment and inform the County Government responsible. Further, to understand the population, Social Experts are required to fully understand their target audience through profiling and below are among the issues they use to understand the slum settings.

#### 4.3.1 Gender

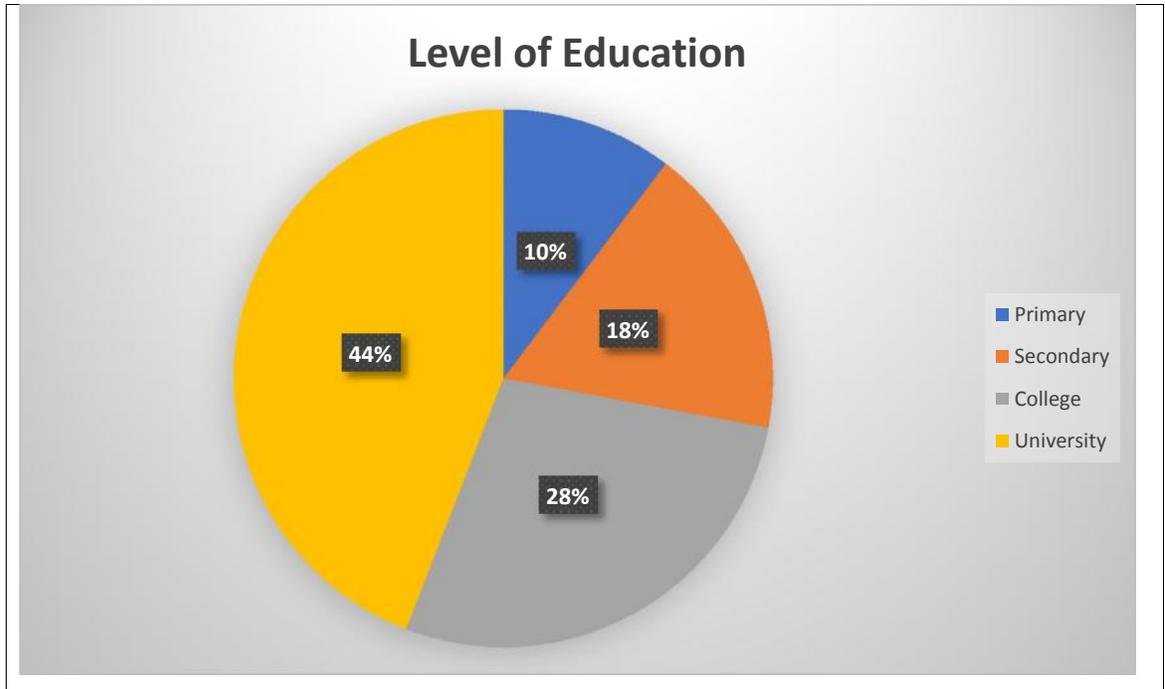
The males and female's population target were 44 each. In the questionnaire, the respondents were requested to indicate their gender to achieve and based on the findings, 36 males (53%) and 32 (47%) females responded. The willingness of males to participate, was slightly higher than that of women. This information is in the figure below:



**Figure 4.1: Gender of the Respondents**

#### 4.3.2 Level of Education

The findings in the study reveal various levels of education that includes primary, secondary, college and university. The main reason why this was sought was to gauge the level of understanding of various aspects of the project that includes participation, communication aspect among others key issues. Out of the 68 respondents, 30 of them revealed that they had university education, 19 had attended college, 12 and 7 had secondary and primary school education respectively.

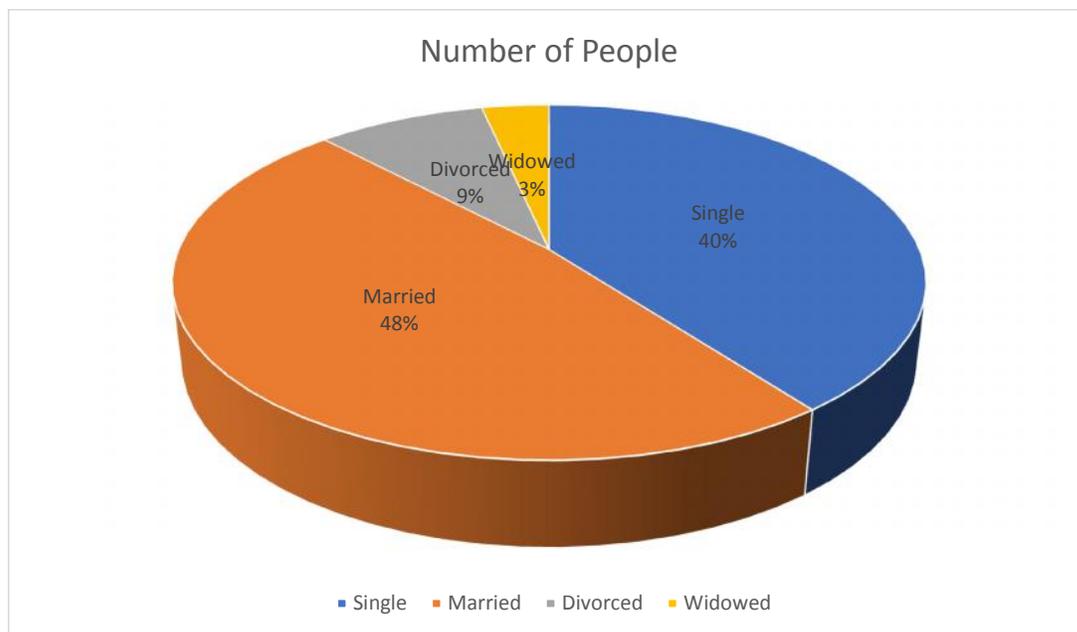


**Figure 4.2: Level of Education**

Main assumption is that higher level of education is equivalent to higher levels of understanding various concepts. Hamelink (1984) observes that those with higher socio-economic status and education tend to have more central position within information exchanges and are more likely to receive more information-especially more strategically important information. The Kibera Soweto East Zone A residents with college and university education are assumed to have more information (understanding) than those with secondary and primary education.

#### **4.3.3 Marital Status**

For more profiling, this information added more understanding of the respondents' composition. The options that the questionnaire included were as follows: single, married, divorced, separated and widowed. Of the 67 responses for this section, 28 were married, 23 were single, 5 divorced and 2 widowed.

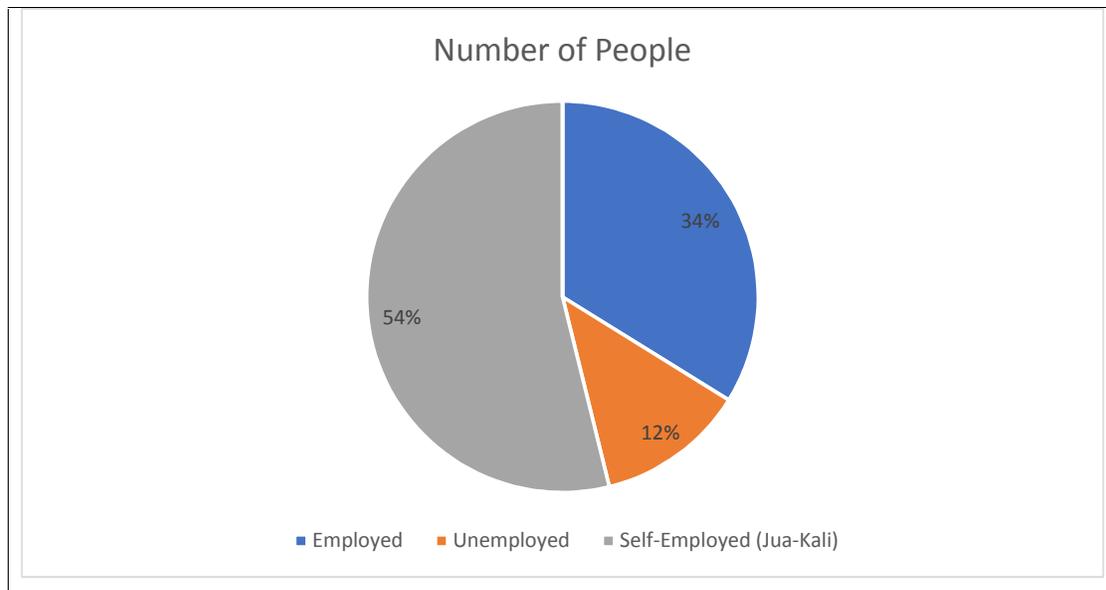


**Figure 4.3: Marital status representation**

To fully understand the level of burden in slums in Kenya, it is important to understand the marital status since it is assumed that if there are many married people, the burden level is likely to be high. According to an interview with Arwa, planner with KISIP, he revealed that population density is among the major issues considered when evaluating whether a slum is to be upgraded. When it comes to relocation, moving out families is a bigger burden both for the relocater and the relocated. Kamau, resident of Kibera, revealed that it was a bigger challenge moving out families and that was one of the major challenges that they faced.

#### **4.3.4 Employment Status**

To reveal the standard of life and the hardship in the slum area, this section was important and there were 3 options for this, namely: employed, unemployed and self-employed (jua kali). Out of 68 respondents that responded to the questionnaires, 65 responded to this section. The table below shows the numbers and the percentage representations.



**Figure 4.4: Employment Status**

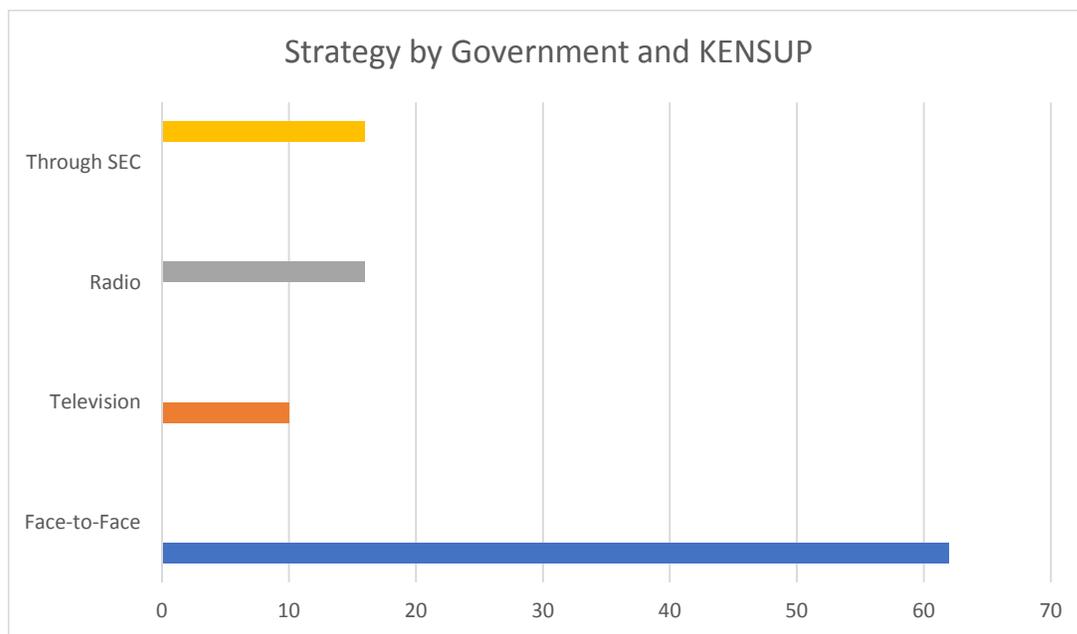
#### **4.4 Communication Strategy Used to Enhance Public Participation**

Among the key objectives that this study sought to address was the strategy that various stakeholders and experts used to communicate with the locals in a bid to increase public participation.

First, the study set forth to establish the strategy that was used by government officials (through the Ministry of Lands, Housing and Urban Development) and stakeholders that include KENSUP to communicate with the locals. KISIP according to Mr Arwa, was not involved in Kibera Soweto East Zone A upgrading but KENSUP. As the study revealed, out of 68 respondents, 61 of them quoted that the government through the MoHUD was the body responsible for Kibera Soweto East Zone A. What this implies is that 90% of the people are not aware that KENSUP was involved. UN Habitat and World Bank have been involved in slum upgrading in Kenya. According to Mr Fawcett Ouma, urban planner, KENSUP is leaning to UN Habitat mode of operation to provide housing while KISIP is oriented towards World Bank ideology for providing infrastructure. But as things are, the findings reveal that majority of the people are unaware of who really was the main stakeholder apart from the government of Kenya. This shows that information about the upgrader was not fully spread to the residents of KSEZ A.

Under the strategy that was used, the various options that were provided included face-to-face communication, use of television, radio, through SMS, Whatsapp, emails, radio, newspaper and there was room provided for the responded to add a strategy that might have also been used. All the above are taken as strategies or approaches since through them the stakeholders were brought together with the aim of increasing public participation and success of the Kibera Soweto East Zone A slum upgrading. This view is different from the one that sees the above as channels in the manner that channels are seen as just pathways for relaying information.

Various responses were given with 91% of the respondents revealing that face-to-face communication was used by the officials, 15% said that they saw it on TV, and other 25% revealed that they heard it on radio. Another group made of 16 people said that the government officials used Settlement Executive Committee (SEC) to reach out to people. This is consistent with Florence Juma’s findings in “The Role of Communication in Development Projects in Kenya” (2012) that revealed that meetings and educational seminars were conducted to communicate with the locals. The difference between this study and Juma’s is that this study encountered residents who learned of upgrading through radio and TV even though they were few.



**Figure 4.5: Strategy used by government officials and KENSUP.**

In this study, face-to-face communication is revealed as the major strategy that was used by government officials (MoHUD) and KENSUP. This mode of communication provides a platform for interaction and it is usually horizontal in nature in that the upgraders sit and discuss issues with residents in meetings and each participant is assumed to be equal. Hamelink (1984) suggests that in any developmental process, it is vital to have horizontal information channels that activate all sectors of the population and that facilitate access to decision making for otherwise excluded sectors.

According to Mr Arwa, to perfectly reach the residents and to enhance participation, “KISIP ensures that SEC and Social Experts” are usually contracted since “they are very important since through them the residents are allowed to participate, and the residents express their interests which are then relayed to KISIP.” He further explained that in technical work like planning, there is what is called “participatory planning”. During participatory planning, “the residents express their interests, the upgrading body displays the upgrading plans and lastly stakeholders’ meetings are held and conducted in social halls to allow residents to talk about the plans.” The essence of using face-to-face communication is its ability to generate responses immediately and as things are, the government (through MoLHUD) and KENSUP capitalised on the use of face to face communication than any other strategy. Perhaps, they viewed it as the best method that will get the locals on board and/or enhance public participation in slum upgrading.

The use of TV and Radio as strategies have their own advantages and disadvantages, contexts and scope. Mwakawago (1986) observes that given the poor transport facilities in many developing countries, it is not possible to rely on face-to-face communication. An alternative means of communication with the people is essential. Due to low literacy levels, Mwakawago further reveals that the use of newspaper will not be ideal. Comparing the decade his observations were made to the current state; literacy levels have increased. According to education level findings, it was revealed that 72% of the respondents had college and university education. This implies that using the newspaper to reach the residents would not be a bad idea. The findings revealed that the MoHUD saw this strategy unsuitable, perhaps, and that is why they never used it. But, according to Mr Ouma, the upgrader is required to use newspaper advert to notify the residents of every step to be taken during the process of upgrading. For example, he reveals that when the planning process begins, the ‘intention-to plan-notice’ is to

be placed in at least two most-read dailies and after completion, the 'notice of completion' is to be also placed in at least two most-read dailies.

16 respondents revealed that radio was used as the strategy to enhance public participation. Radio, according to Mwakawago (1986), is the ideal tool of communication since it is cheaper, and many people can easily afford. But as things are, it was not majorly used as a strategy. According to Mwakawago, radio helps in decision making through the clarification of issues and makes it easy for people to understand or arrive to a conclusion based on knowledge.

Mr Arwa however, revealed that KISIP's two main strategies of communication are the use of Social Experts and Settlements Executive Committee (SEC). Social experts are responsible for the communication with the community, informing them of our own views and various aspects in relation to the slum upgrading. SEC usually forms the bridge between KISIP and the Community since through them, various issues of the community are addressed and they by extension allowed to participate in the process. We also contract a consultant firm that has a team of social experts in its composition to help in spreading or addressing various issues with the community.

Secondly, the study wanted to reveal the strategy that the urban planners as actors present used to communicate with the locals and under this, 27 people revealed that they used meetings but with the locals that they employed. According to the explanations given for this, 25 of the respondents explained that the urban planners had no or minimal contact with the other locals who were relocated to the Decanting Site in Kibera Soweto. Mr Kamau further revealed that in terms of communication, the government officials were their most of the time to talk with locals and the community had their representatives to hold meetings and seminars with the actors, Settlement Executive Committee (SEC). SEC members were the link/bridge between the community and the government officials and their views were relayed to the actors making them to participate. SEC had their offices at the Decanting Site and that is where they held most meetings with the people. 33 (49%) of the respondents indicated that they had no contact with the urban planners so they did not encounter them.



**Plate 4.1: Kibera Soweto Decanting Site/Picture by Komollo Amos**

Thirdly, regarding contact with the surveyors, 18% respondents revealed that they had face-to-face communication, while 82% of the respondents said they had no contact. Members of SEC (according to 34% of the respondents) were the middlemen between the experts (surveyors, urban planners and communicators) and the locals. Communicators, according to 50% respondents, were the ones who had most contact with the locals. This agrees by Muraguri's (2011) findings that it seems lack of communication between the various actors/experts and the slum dwellers contributed more to the conflicts in the process of Kibera upgrade. It further appears that slum dwellers were reduced to just passive participants.

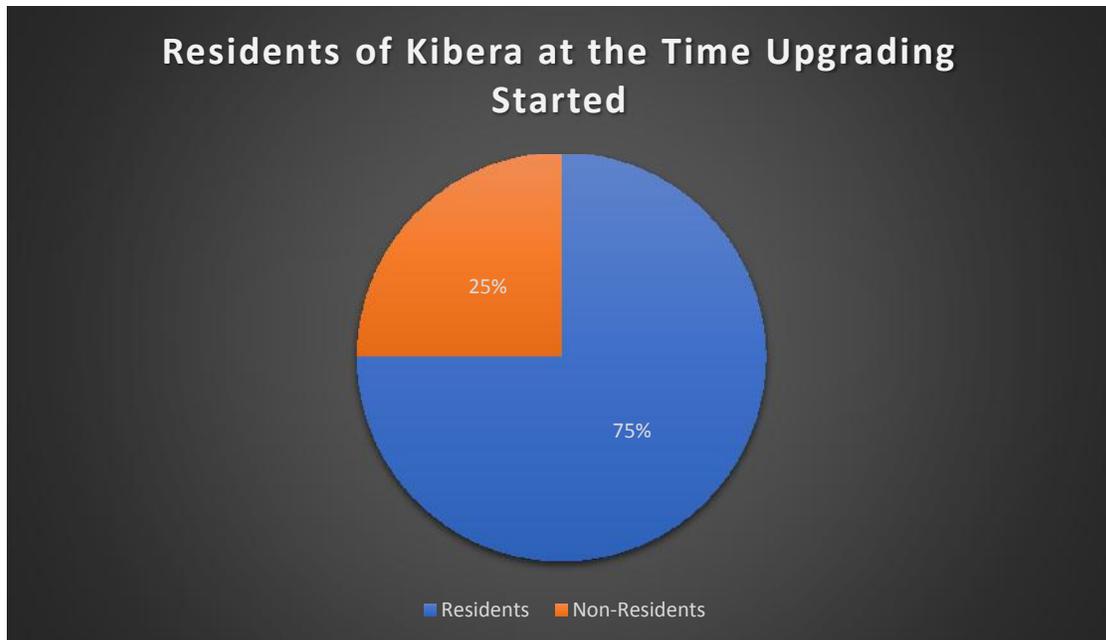
#### **4.5 Role of Communication in Knitting Various Actors**

To locate the importance of public participation, the aspect of communication to create harmony between the experts, actors and locals was deemed important. Communication in this perspective is the knitting/uniting factor for the various stakeholders involved. To understand this knitting analogy, it is important to locate various concepts of threads and stitches as used in embroidery. Stitching is the use of threads to bring into harmony separated edges of clothes or fabrics to create oneness or to decorate the piece in question. In this manner, two separate pieces are joined together to create what is called a 'seam' in embroidery.

There are different types of stitches, but the main purpose is to reach the goal of joining different pieces to create one continuous piece of fabric or cloth. This study borrows from embroidery this concept of creating harmony or oneness of pieces to help in providing explanation on how communication can be employed in slum upgrading. Just like having different fabrics or pieces of cloths, there are different stakeholders, actors, experts and residents in slum upgrading.

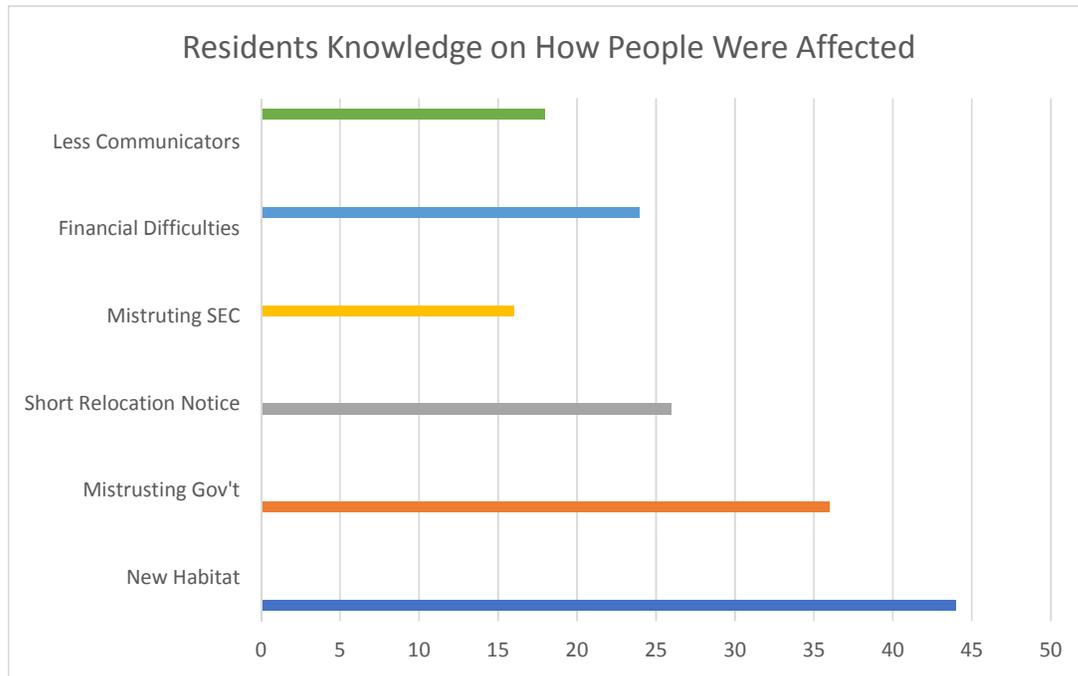
Communication is used as a thread that when sewed, will create smooth running of development projects. The above conflicts are examples of problems that can solved using communication, and the various stiches can be the use of meeting, communication technology, and SEC among other strategies to help find a solution to a problem. Juma (2012) suggests that key stakeholders have a role in the transfer of information, technology and empowerment to the community to improve lives.

As to whether a respondent was living in Kibera Soweto East Zone A, 51 out of 68 respondents were found to be living there at the time upgrading was started.



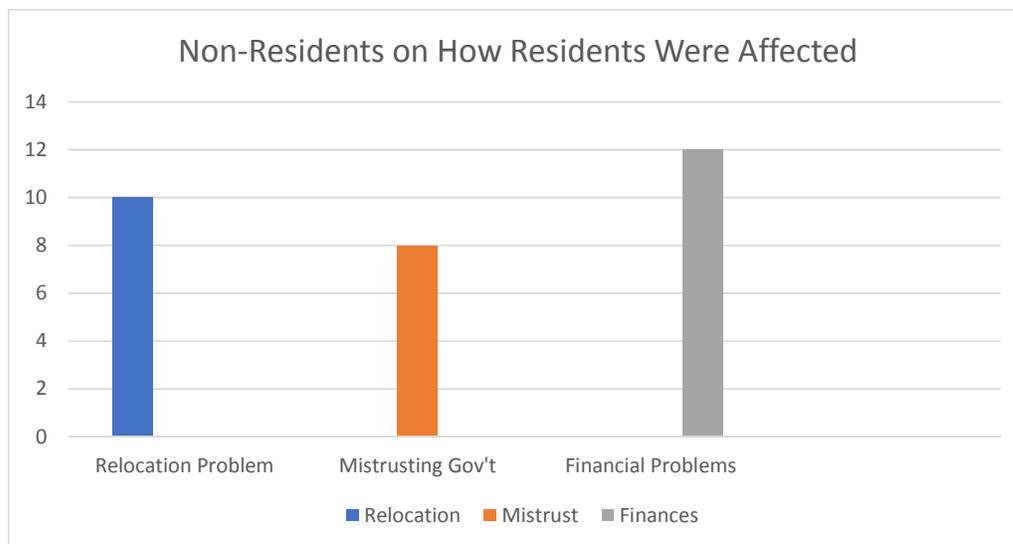
**Figure 4.6: Residents of Kibera at the Start of Upgrade**

As to how the upgrading affected their lives, 86% of the 51 indicated that relocation and life in a new area was the major problem they face. Other responses included mistrust of the government's intention (70%), Short relocation notice (50%), 31% of the respondents had trust problems toward the members of SEC who were acting as middlemen, financial difficulties (47%) and lack of communication/less communicators (35%).



**Figure 4.7: How Residents Revealed They Were Affected**

22% of the respondents were not living at Kibera Soweto East Zone A at the time it was starting while 4% of the respondents did not respond to this section. As for the 22% respondents who were not living in the area at the time revealed that relocation was the major problem the residents faced (10 responses), mistrust (8 responses) and financial problems, 12 responses. This section helps in identifying how many people were affected at the beginning of the upgrading. This is important in assessing the impact on people. However, there were outsiders who learned of how people were affected, and this also gives insight on how the effects were severe. It can also depict the close contact relations of people living in Kibera slum.



**Figure 4.8: Non-Residents on How Residents Were Affected**

Out of the 68 respondents who filled in the questionnaires, 91% of the indicated that the government was responsible for the upgrading. None included KENSUP or KISIP as stakeholders.

This section also sought to identify if the residents knew who were the stakeholders or actors present. None of the respondents indicated Educations or any additional experts to the list as encountered. Below is a table showing the experts the residents came across/interacted with:

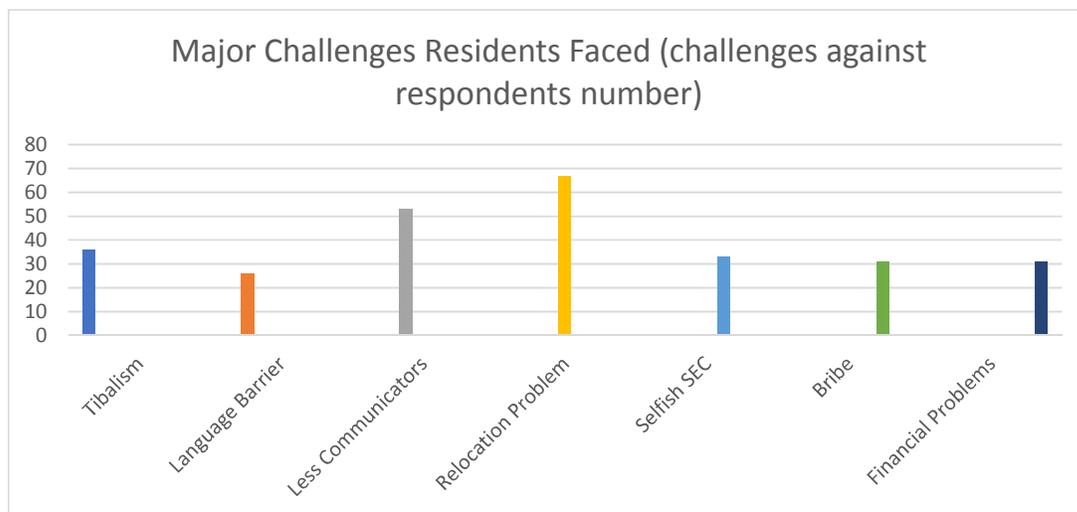
**Table 4.2: Experts Residents Encountered**

Expert Encountered	Number
Urban Planners	36
Surveyors	22
Communicators/Government Officials	52

This study also wanted to identify some of the major challenges the residents came across and how they were solved to reduce their impact. To establish this, the questionnaire responses included: Tribalism (53%), Language barrier (38%), Less of communicators /less communication (78%), relocation/new habitat problem (98%), SEC were selfish (49%), some official wanted money for themselves to give favours (bribe, 50%) and others basically faced financial problems (50%).

The problems, according to Mark and Keziah (2014), were due to the observation that there was no central upgrading authority. They argue that there is a revelation that the conflicts of interests among different actors and roles have been in the programs since their inception and that lack of central slum upgrading authority is a major source of the misunderstanding and mistrust in the programs. Also, lack of policy guidelines and coordination of actors and conflicting goals/mandates is also a major issue facing slum upgrading in Kenya (ibid). With the visible conflicts, the two authors argue that if there was a balance of power between actors and more clearly defined policy on the role of each stakeholder, the conflicts could be minimised immensely.

The essence of having a central slum upgrading authority is to act as Central Nervous System (CNS) which coordinates all the events and facilitates all communication channels. This is done through creation of guidelines that will allow for communication between the stakeholders.



**Figure 4.9: Major Challenges Residents Faced**

In terms of major problems faced during the upgrade, Mr Kamau, SEC member, revealed that the government officials had disagreements with the landlords. This is because they mistrusted the government’s intentions and the landlords knew they would no longer have control over their pieces of land. Also, Mr Kamau further indicated that relocating to the Decanting Site was seen as a ploy to forcefully take the residents away from their homes. It was also destabilizing their lives due to the disruptions caused. However, he added that the government offered transport to take them to their new homes.

In response to Mr Kamau's revelation that there was mistrust of government's intentions, Mr Ouma, urban planner, explained that there are various sources and reasons why slum residents have trust issues. The first thing, he reveals, is the norm or the initial trends that governments used to evict people. Under this, he narrates that slum residents are used to forceful evictions as the strategy that the government uses in most cases. What this trend depicts is a scenario where people or slum dwellers in this case would start mistrusting the government's intention and a noble course like slum upgrading will not be viewed in the same light, but a means to force people out.

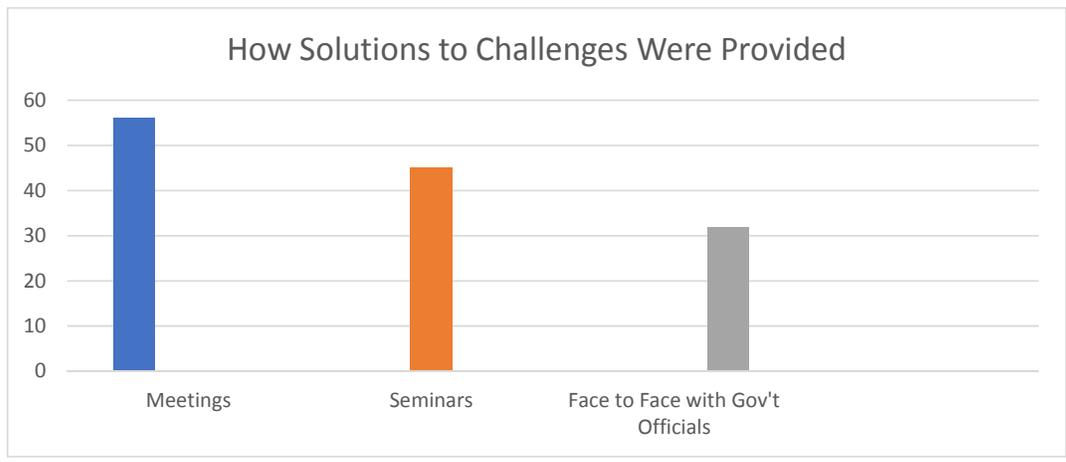
Secondly, Mr Ouma explains that another challenge causing mistrust is the actions of land owners. He explains that land owners often feel threatened by the presence of governments or the upgrading bodies due to the fear that they fear losing their lands. Some of the landlords have lands and structures and this becomes their sources of income. During upgrading, they feel that when the structures are demolished, and lands taken away from them, there are no or little chances of getting them back. To deal with this, Mr Ouma explains that these landlords start inciting residents against the government/upgrading body and sometimes they achieve this by spreading lies and propaganda. This creates uncertainty and mistrust.

According to Mr Kamau, (a former landlord of KSEZ A) former tenants did not have much problems as compared to landlords. Landlords were in dilemma most of the time since the government officials would talk to tenants and reach an agreement, so it did not really matter whether the landlords agreed or not. This was mostly in relation to relocation matters and demolition of structures. Asked why they chose tenants mostly over landlords, Mr Ouma explained that tenants could easily pile pressure on difficult landlords. He further added that communication was used to profile the target groups through their specific needs and this is why planners have to conduct stakeholder analysis.

Thirdly, there is a level that has a mixture of vigilantes, cartels, tenants and other illegal groups with interests. Under this, Mr Ouma observes that these groups all have interests and they protect them by all means. Some spread lies while others resort to propaganda with the main aim of protecting their interests. For example, vigilante groups in slums sometimes collect taxes from people and with well organised structures after upgrading, their source of income will no longer exist. Their influence also has a way of creating serious trust issues.

After identifying these challenges, the study sought to find some of the solutions that the government officials and various stakeholders offered. 82% of the respondents said that the officials held meetings while others (66%) said that seminars were the places where the problem were solved. As many as 47% respondents revealed that they met government officials face-to-face. To provide specific solutions, a specific problem had to be identified followed by the right approach to be employed. As revealed by the study, dialogic communication was the most sought.

Tufte et al (2009) observed that for dialogic communication to occur, someone or something has to articulate the process and this person can either be from the community or external and this person or something is the catalyst of the process. In the case of Kibera Soweto Zone A, the actors resorted to using face-to-face communication with the residents to find solutions to the challenges. According to Freire (as quoted by Tufte et al), this catalyst is not just disseminating information, but ‘would articulate a dialogue whereby collective problem identification and solution would take place (Freire, 1970).

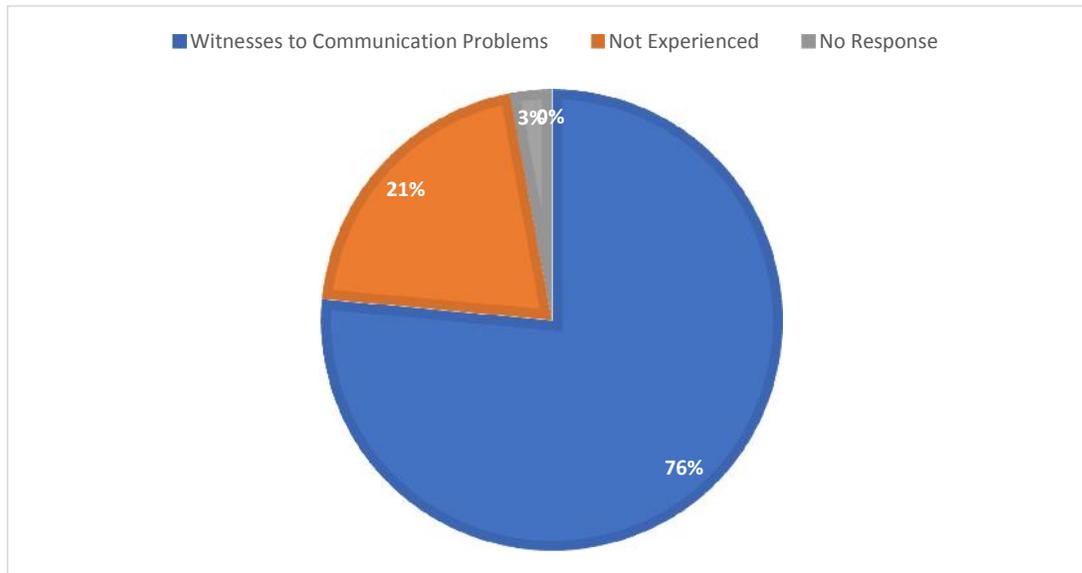


**Figure 4.10: How Challenges Were Solved**

Interestingly, meetings and seminars are just but forms of face-to-face communication. The differences, however, are that meetings were held to address specific problems urgently and to inform the residents of Kibera Soweto East Zone A of the upgrading plans and issues arising that needed to be addressed. As for seminars, first, members of SEC were trained on technical issues of slum upgrading.

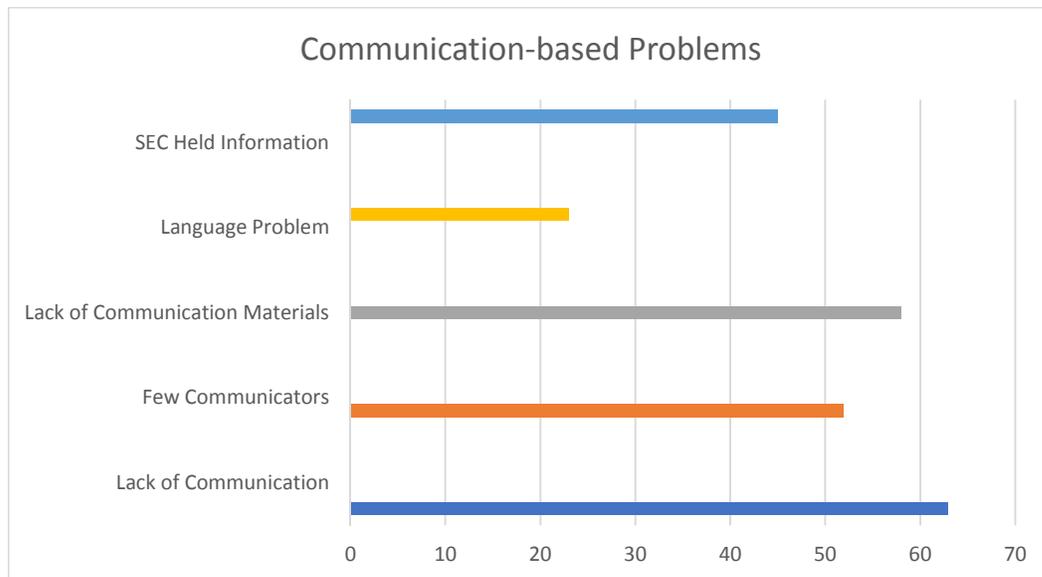
According to Mr Ouma, SEC members represented people from many groups: youths, widows, faith-based organisations, opinion leaders, marginalised among many other groups. The main intention, he explains, was to include every group in all the matters to increase public participation. It was easy to have a smaller group carrying SEC members only, get them trained and lastly telling them to spread their knowledge to the groups they represented. The main challenges, according to Mr Ouma, that planners face while dealing with large groups is that in slums it is very hard to find a venue that can host them all, it is hard to follow a particular line of thought, and that there are various levels of responses. Therefore, SEC was a good idea and that is why planners used it to best reach the people.

Apart from the general challenges and their solutions, the research wanted to specifically find out communication-related problems that were experienced during the upgrading process. 62 of the respondents revealed that it is true they faced communication problem while 4 of the respondents said they did not experience any communication-based problem. 2 respondents did not answer this question.



**Figure 4.11: Residents who Experienced Communication Challenges**

Among the problem that were revealed were as follows; lack of frequent communication (92%), few communicators (76%), Lack of communication materials like maps and plans for the upgrade (85%), Language problems (33%) and others blamed it on SEC members as holding vital information for themselves, 66%.



**Figure 4.12: Communication-based Problems**

Comparing this with the major findings of this study with the findings of Pétursdóttir (2011), it is true to say that the KENSUP strategy document was never made generally available in the slums; maps were created but just like the strategic document they were not distributed within the slums leading people to be generally unaware of how much upgrading was to be done, how many houses were to be built and what slum upgrading was about. This point is further illustrated by the findings that 85% of the respondents agreed that there were no communication materials shared between the upgrading actors and the residents of KSEZ A.

According to Mr Arwa, KISIP planner:

To deal with the issues of less communicators, KISIP contract social experts who play a very important role in ensuring that awareness is created. Social Experts also meet various groups like women and youth groups to further expand the communication forum for residents. About SEC, if not controlled, it can grow into an amorphous group that can distort and misinterpret information to satisfy only them and a section of their choice. To solve issues related to SEC, we ensure that technical aspects like planning are not in their hands and we make sure we control them by also following up with the consults contracted.”

According to Fernandez and Calas (2012) there is an observation that at the community level, the actions of some leaders or members of the Settlement Executive Committee (SEC) have been challenged by residents who complain about their absence in meetings and lack of communication between the affected community and those responsible for the project implementation and that SEC officials are the primary beneficiaries of the project. This complaint is true and according to the above findings, residents of KSEZ A were not happy

with the actions of SEC members. In the interview with Mr Ouma, it was revealed that SEC might have been blamed at some point, but that does not mean their work was not well done. First, Mr Ouma explained, SEC members were selected and chosen by the members or the community themselves, meaning that the planners or the ministry never imposed them on the residents. In every sitting, the SEC members were getting allowances and according to him, this was the beginning of the SEC's problem and mistrust origin. He further added that the accusation that SEC were holding information might have been true or false.

Secondly, he explained that SEC members had their own problems. Some of them were limited by issues such as poor communication, lacked technical skills and some were either uneducated or ignorant of what was happening. So, according to Mr Ouma, many people might not have been able to fulfil their duties well and that is why perhaps people mistrusted them. To help boost the trust, Mr Ouma adds that, international bodies like World Health Organization and UN Habitat give more credentials to SEC.

However, comparing the two planners' take on control over SEC, Mr Arwa and Mr Ouma seemed to clash in approach taken. Mr Arwa revealed that KISIP are usually controlling the actions of SEC to ensure it doesn't grow into amorphous group that may be out to cause harm. Mr Ouma on the other hand argued that planners don't usually have control over SEC but the relationship between SEC and planners is built purely on trust. The difference in approach can work for both parties, this trend shows that it is true that conflicts in approaches in slum upgrading can emanate from any point.

Communication in this case is the only remedy to such conflicts. The main point here is that communication can be used to create harmony among the various stakeholders and its absence is likely to create even more conflicts. Both the planners' views are just but modes of communication. Taking or being in control of SEC is actually using communication to help the KISIP to position itself at the top of the food chain and the communication is up-bottom in nature. In the case of Mr Ouma, trust is built by action and communication. The mode of communication in this relationship is one that has its foundation on horizontal form of communication environment where both the SEC members and the planners co-exist as equal partners (even though the planner is the powerful one with funds and calls the shots). This further reiterates the importance of a central upgrading body and policy guidelines that Mark and Keziah (2014) observed as the major cause of conflicts.

In terms of language problems, the study found that 72% of the respondents said that they have gone through college and university education. However, in various interviews and conversations between the researcher and the residents, it was clear that not all people were willing to fill in the questionnaires, others were not comfortable conversing in both English and Kiswahili. Some who conversed in both languages were either breaking grammar rules or consistently struggling to keep talking in one language.

Inasmuch as this could not be an indicator of illiteracy, the observer felt that it is an indicator for having lower levels of education. The conclusion therefore is that illiteracy level is still high in slums. Above all, planning is a technical subject that requires in-depth understanding. With lower levels of education, it is obvious that understanding of technical terms could be a problem.

The same point is illustrated by Mr Ouma who argued that the use different languages to deal with language barrier is very important in informal settlements. He further argues that that illiteracy levels are still be very low in slums, and there is need to identify major languages used to further expand communication spheres. It is a good recommendation, therefore, that planners and communicators should take audience profiling seriously to expand the communication scope.

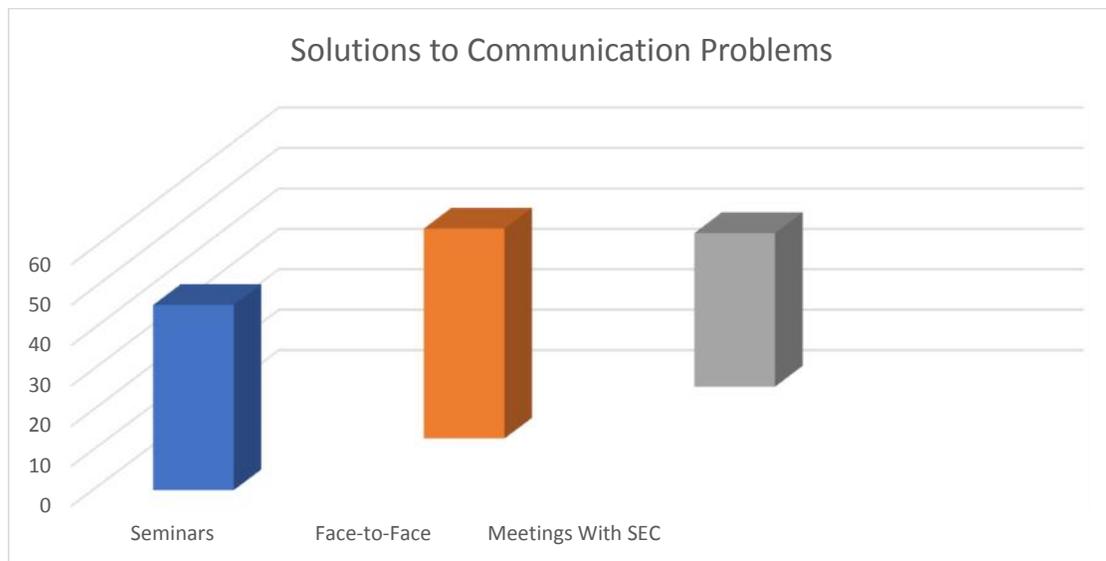
However, most of the communication-based problems were solved by meetings (61%), face-to-face communication with government officials (71%) and seminars (82%). According to Mr Ouma, face-to-face communication (in all its forms, one-on-one, meetings and seminars) is the best strategy to be used by slum upgraders. This is because it gives room for real-time responses and exchange of ideas. He explains that planners choose this strategy to address issues quickly, allow residents to express their interests like structures they desire, their vision and can even propose programs the wish for.

The strategy also gives room for feedback hence helps in boosting public participation. In this manner, face-to-face communication eliminates top-down communication approach where the upgrading body works without consultation with the residents and replaces it with bottom-up and/or horizontal approach which creates a friendly environment for public participation. The theory of Participatory Communication suggests that there should be active involvement by all parties in the process.

Tufte and Mefalopulos (2009), under participatory by collaboration, suggests that as a joint collaborative effort, this process involves horizontal communication and capacity building among all stakeholders. Kibera slum dwellers, therefore, are actively involved in the upgrading process and their views are taken up by the experts and actors.

Mr Ouma, however, clarified that including the people does not mean that they are the ones to do implementation of programs since that lies on the shoulders of the funder of the project, it only includes their views. He further explains that the two levels, people and the government (funder) are two different levels that must be distinguished. In this case, the residents will do their role just like the government, but they are only equal during communication exchange. This is because the government has the lands, the funds, the plans and is the body to conduct slum upgrading.

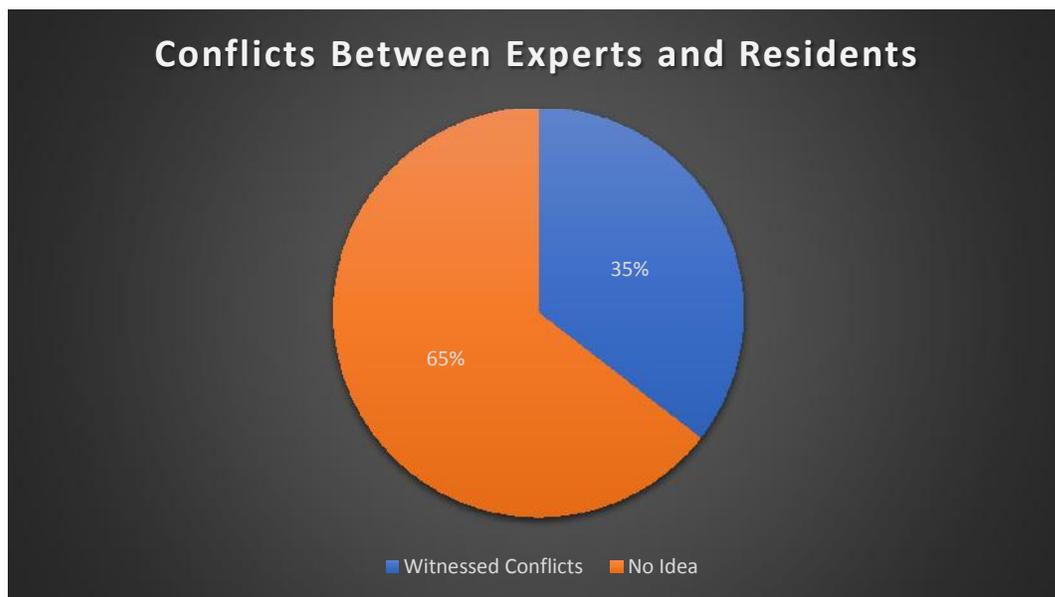
To further understand the role of communication in knitting various actors, respondents were required to reveal whether the actors and experts explained various issues and some of their decisions prior and during the upgrading. This, just like the previous responses on communication problems, triggered various responses like seminars (46), 76% gave responses in favour of face-to-face communication with experts to solve specific issues and seminars with SEC members to help address various issues (38 responses).



**Figure 4.13: Solutions to Problems**

Apart from the problems, the study sought to establish whether there were conflicts between the government and residents of Kibera Soweto East Zone A and the findings were as follows: Relocation (76%), mistrust towards government's intentions (72%), the 'small fee' to be paid to government was a problem to both raise and trust whether it would it was the government's directives (66%), Short relocation period (32 responses) and 50% did not want to relocate to the Decanting Site in Soweto East. The presence of these conflicts reveals the important role of communication. To find harmony between the upgrader and the residents, use of various channels to communicate to the people to create a good working environment for upgrading was very important. As is the case, communication in this case is used a knitting factor to bring various parties together.

The questions as to whether there were conflicts between experts like urban planners and surveyors, there was mixed reactions in that some people were working with them while others had no contact with them to know if there were conflicts. 32% of the respondents witnessed conflicts between the experts and the locals (those working with them in the site) while 59% said they had no idea if there were problems. 81% of the 22 respondents revealed that the major source of conflict was that of sharing of plans or maps while 6 said that they were dictated to follow and that their views did not matter to the experts.

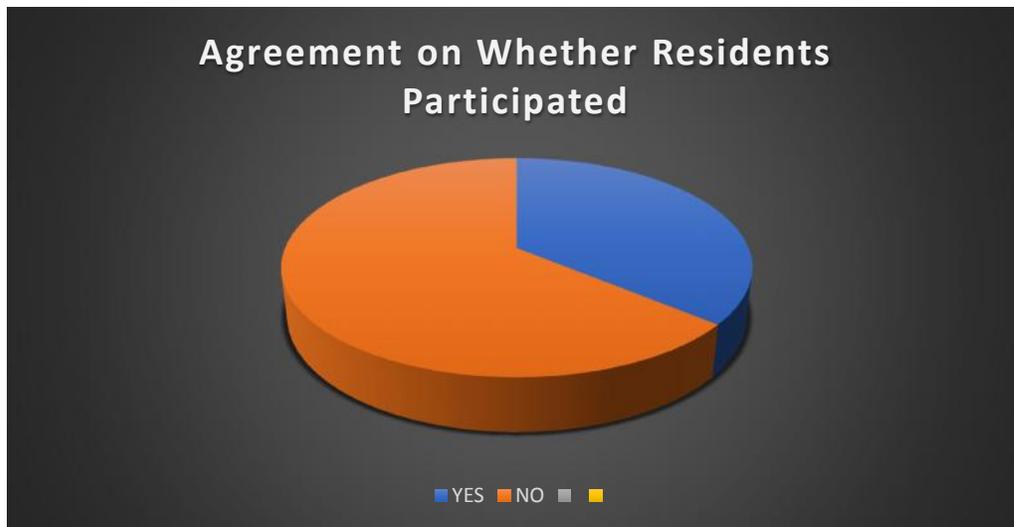


**Figure 4.14: Conflicts between Urban Planners and Experts**

This agrees with Muraguri's (2011) findings that there are a lot of conflicts between various stakeholders including conflicts between tenants and landlords, varied political, cultural and religious inclinations, competing interests of various groups, and partnership contents that presents the disadvantage of generating several parallel activities that often derail the implementation schedules. 60 of the respondents agreed that the experts (especially those in communication) and actors held meetings with them between 2-10 times.

#### 4.6 Successes and Failures of Strategies Used

Under this section, the intention was find out if the strategies allowed for public participation and smooth communication among the stakeholders. First, the residents of Kibera Soweto East Zone A were required to reveal whether the government and its stakeholders (KENSUP and KISIP) used strategies that allowed them to participate. 22 of the respondents said yes while 39 respondents said they were not allowed to participate.



**Figure 4.15: Agreement on Participation**

For those who said they could participate, 86% said they were employed and that is how they contributed while 59% revealed that they participated through SEC.

As to whether the experts used strategies that allowed them to participate, there were only 9 people who responded to this question whereby 6 said that they participated because they were employed and could meet the urban planners. As few as 7 respondents also revealed they had contact with surveyors because they worked with them hence making them participate.

Respondents were required to also include their views on the level of public participation and the table below gives their responses:

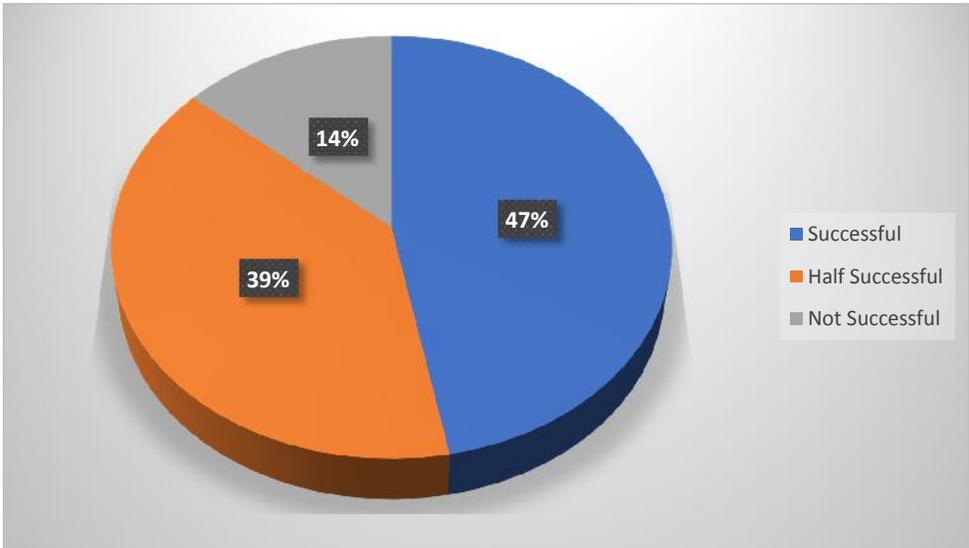
**Table 4.3: Level of Public Participation**

<b>Level of Public Participation</b>	<b>Number of Residents</b>	<b>Percentage Representation (%)</b>
Not There at All	6	10
Very Low	12	18
Low	34	50
Moderate	11	16
High	4	6

As can be seen in the above table, only 9% of the respondents were convinced that the level of public participation was high. This is a discouraging trend when it is looked at against the Constitution of Kenya's demand that in all aspects of development, there should be public participation. Well, a whopping 69% of the respondents revealed that it is true that public participation in KSEZ A was low.

This trend further confirms Laura McPherson's (2013) revelation that trends in participatory approaches in Kenya are still being practiced in too small a scale to bring a meaningful contribution to poverty reduction in African cities. The main aim of slum upgrading is to better slum residents' lives, but as things are, its contribution is very low. Pétursdóttir (2011) found out that community participation in the Kibera upgrade started out well, but became less and less successful as the project continued. The SEC met initially twice a week, and information was flowing to the community, but the absence of citizen participation is still a problem in the slum upgrade projects; people are involved in the beginning, but as the implementation phase arrives and as problems arise, they are pushed aside.

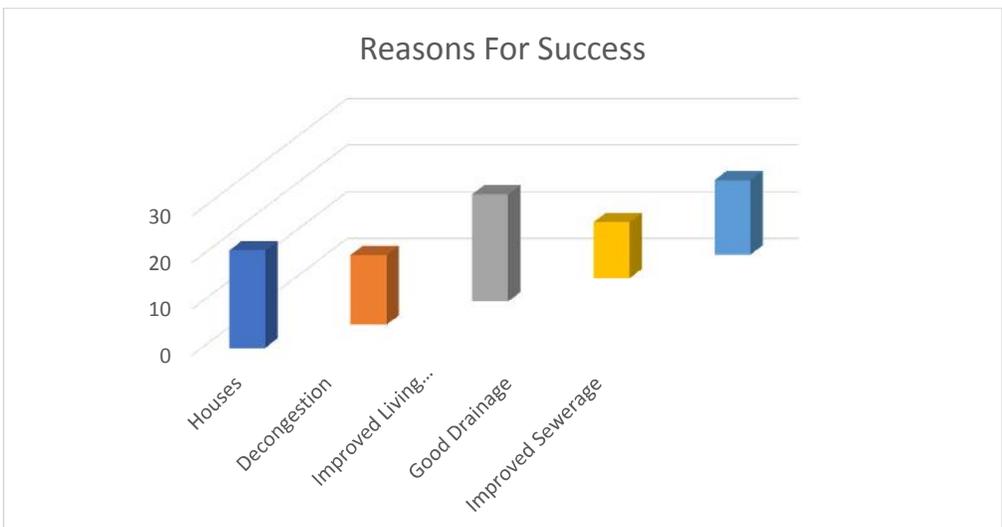
In terms of success, the residents had the following to say: 47% said it was successful, 39% said it is not as successful (Half successful) as it was meant to do and 14% said it was not successful.



**Figure 4.16: Showing Success Rate of Slum Upgrading**

Among the responses they gave to support their responses are as follows:

67% of those who said it was a success said that houses are there to show the success, it decongested the area (48%), 74% revealed it improved the living standards of the residents, 12 talked of good drainage while 51% mentioned improved sewer lines.



**Figure 4.17: Showing Reasons for Success**

What this implies is that people often look at the presence of houses, how the area has been decongested by the upgrade, how it has improved people's living conditions and improved drainage and sewer lines systems as the indications of slum upgrading success.

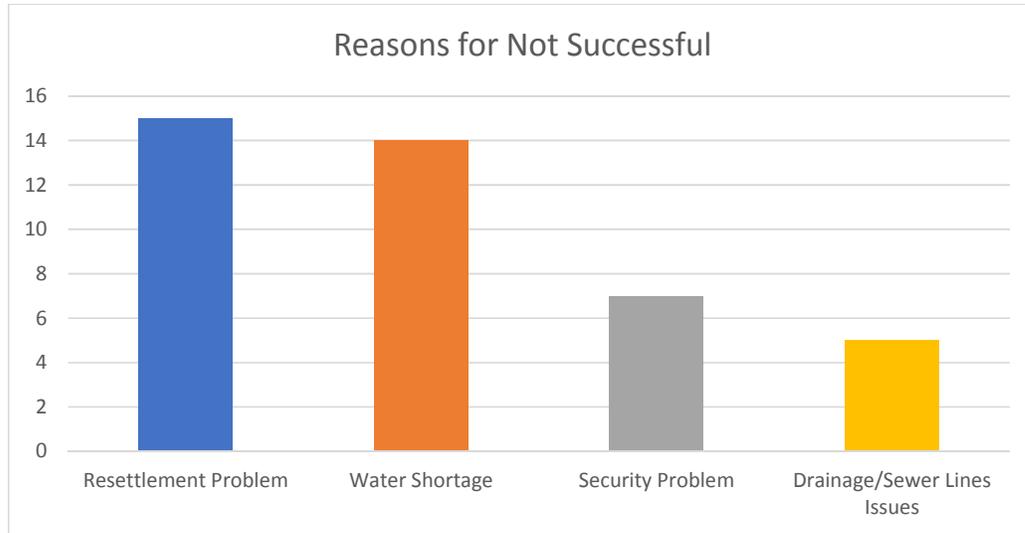


**Plate 4.2: Kibera Soweto East Zone A Upgraded Structures/ Picture by Charles Onyuka**

This is not far from planners' point of view. According to Mr Ouma, the indicators of success include the number of people that have been resettled, comparison of the area that was initially a slum but is no longer one, the number of people being supplied by sewer lines and drainage systems and above all the employment opportunities that has been created or the opportunities that that the new structures provide.

The difference between the respondents' views and the planner is just the perspective of looking at things. While the residents' focus is on the houses, the planners' is on the number of people being housed or resettled. For example, a 4-storey structure has the ability of decently hosting many families compared to structures iron-sheet structures without storeys. Another difference in perspective is that respondents don't care to look at the number of people being supplied or serviced by drainage and sewer systems, but just their presence. In the development of Greater Cairo, Cities Alliance (2008) illustrates that one of the major challenges for tackling slum upgrading is to change perceptions of people: the current misunderstandings about informal and squatter areas and the widely held negative perceptions are being tackled through general media and information campaigns, and also by targeting decision makers and professionals. Essentially, the change of perceptions will make people objective and the focus will be made like that of planners to ensure that the goal of successful slum upgrading is achieved.

The following reasons were given by the 26 respondents who thought the upgrade was not a success: 15 said that not all those who were relocated to the Decanting Site have been settled and 14 said that issues of water shortage followed them to the new houses. 7 cited the issue of security while 5 said that drainage and sewer lines sometimes cause serious problems to them.



**Figure 4.18: Reasons for Failure**

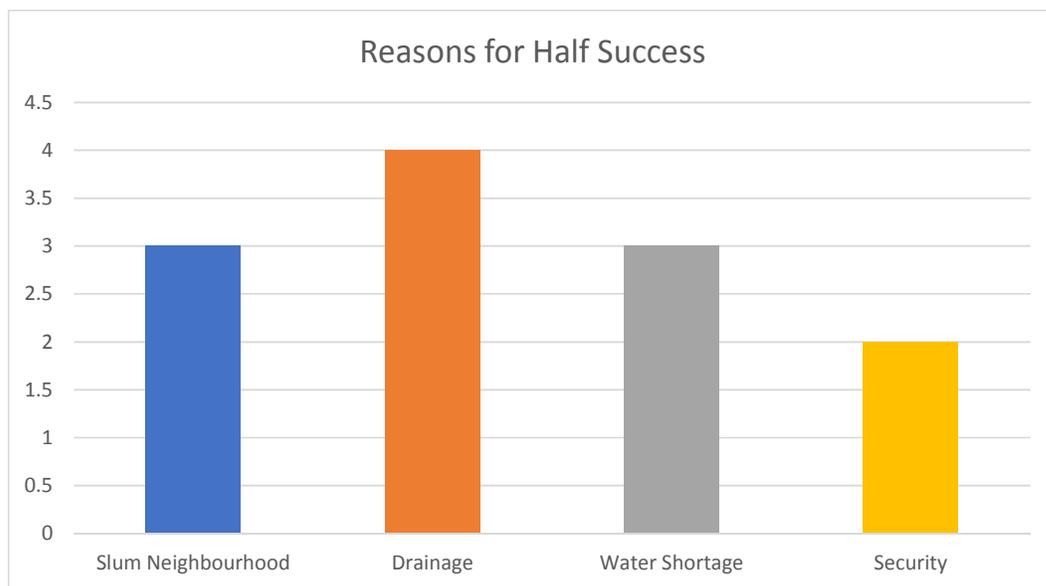
According to Mr Kamau, member of SEC, the previous house owners, after they were moved to the Decanting site, they were resettled and are the current owners of the upgraded houses. There are only a few previous house owners who remained at the Decanting Site because their applications had issues but one day they will be sorted out. Former residents were instructed to sign various agreement forms, they were given special Identity Cards (IDs) and pictures were taken. As it is, it can be easily assumed that this is not a communication problem, but it should be remembered that SEC were accused of withholding vital information. For all people to sign the agreement forms, information had to be disseminated to all.

In relation to this, Mr Arwa revealed that to deal with settlement of residents, KISIP always makes sure it captures all the information of those to be relocated to ensure that problems can be avoided during resettlement. We also do community mobilisation to help solve this problem and above all, most of these residents know their neighbours. According to Mr Ouma, resettling is a key component that can be used to gauge the success of slum upgrading program. The idea is about comparing the total number of the people who were relocated and those who got resettled at the end of upgrade.

One of the reasons for this study was to find out why there is outcry from the upgrading. Many newspaper articles in the past have revealed that people were not content with the project and these reasons for lack of success are the main causes of the outcry. A good example is the Daily Nation article on June 6, 2016 (by Lukarito Jones) entitled “Kibera Upgrading is full of contradictions” that reveals issues of severe shortage of water, security, garbage and sewage-related hazards among other issues are thriving in their new home (the upgraded Zone A). Ms. Mugure, a character in the story, reveals that what the relocated people thought they ran from has followed them to their new dwelling place.

According to the residents, success of the upgrade lies deeply in the solutions to former problems like water shortage. In terms of perception, the planners ought to have been clear on what the upgrading meant to achieve, and to clear this misconception, communication was to be used as a means to demystify some of the residents’ views.

The 9 people who felt the upgrade was midway successful said that the neighbourhood is still the same (slum) which is reducing the amount of success, 33%, 44% quoted issues of drainage, 33% said water shortage while 22% mentioned security is still a bigger threat to the success.



**Figure 4.19: Reasons for Halfway Success**

#### **4.7 Advices of Residents and Urban Planners Interviewed**

Lastly, the study sought to identify the wishes or advices of the residents and the professionals interviewed that can be included in future slum upgrading projects. However, it should be highlighted that these are not the recommendations of the researcher, but just the wishes given by the residents and urban planners based on their experiences gotten from the Kibera Soweto Zone A slum upgrading.

49% of the respondents recommended the use of phones to be used, 15% said that newspapers are ideal while 30% others said that if they increase the number of communicators, it can be a success. 33% people recommended that experts should be open in all stages of the upgrading, while 25% said they can share and avail plans and other communication materials to the residents.

According to Mr Arwa, the KISIP planner, the recommendation coming from the people that use of technologies like phone is a good one that planners need to factor in. This is because the technologies will expand communication platforms to help reach many people in a short time. According to Kamau, a member of SEC, he recommended that the whole thing should have been free. He revealed that to acquire the houses, they were to join SACCOs and save some cash that was required by the government and that means the whole process was not entirely free. To possess his 3-bedroom apartment, he parted with sh135,000. Regarding this, he asserted that it should be free for all. He also recommended that there should be early preparation for slum upgrading not to have high level of mistrust towards the government. People ought to be made aware of the process long before to make early preparations to relocate.

According to Mr Ouma, planners through relevant ministries are required to use all media that includes newspapers, radio, television and even phones among other technologies. For example, he explains that newspaper adverts should be placed on two majorly-read newspapers. At the beginning of the planning process, 'an intention to plan notice' is placed on 2 major dailies. After completion, he adds that 'the notice of completion' should be placed on 2 major dailies and he further explains that planners are encouraged to use various media like TV and radio. He further added that SEC, for example, were given airtime to use in their phones for mobilisation so it is a lie that phones were not used in slum upgrading. He added that technology like phone were not used before, but today they are used in planning.

In his recommendation, Mr Ouma suggests that the use of various media should be encouraged to increase and expand reachability. He also recommends that the use different languages to deal with language barrier. Under this, he says that illiteracy levels are still be very low in slums, and there is need to identify major languages used to further expand communication spheres. As for training of SEC, they should be encouraged and taught on not only technical issues but also how to communicate with the other residents and the groups they represent.

#### **4.8. Discussions in Relation to Participatory Communication Theory**

In relation to Rockefeller foundation definition of BCC as a process for public and private communication, residents of Kibera Soweto Zone A were to be included in the process from the onset, not just to make the appear to be participants, but to make their desires known and given opportunity to define who they are and how they can develop themselves. To achieve this, communication was to be given priority. Through communication, inclusivity and public participation is made possible.

However, it was revealed that indeed communication was given a chance through the use of televisions, SEC and radio. But, to gauge the level of communication, the study sought to determine the effectiveness of the strategies that were used and the levels of public participation. 61% of the respondents revealed that their participation was very low. This implies that decision making, residents involvement in changing and transforming their lives was very low.

In the typology of Participatory Communication theory, Tufte and Mefalopulos (2009) suggest that there is Passive Participatory level where inclusion is least and is characterised by head counting and involvement in discussions. They add that people's participation is very minimal or non-existent. The implication of low or lack of communication creates an environment where mistrust and other conflicts thrive, and this seems to be the case in Kibera slum upgrading. This seems to be the case as revealed also by Muraguri (2011) that, it seems that lack of communication between the various actors/experts and the slum dwellers contributed more to the conflicts in the process of Kibera upgrade.

Also, Tufte and Mefalopulos (2009) provided another level called Participation by Consultation which is an extractive process whereby stakeholders provide answers to questions posed by external professionals or experts but in the final analysis, the consultative process

keeps all the decision-making power in the hands of external professionals who are under no obligation to incorporate the stakeholders' ideas or views. This is also what happened in the Kibera slum upgrading where participation was very low even at the revelation by 91% that there was face-to-face communication, seminars and meetings held.

However, low levels of participation do not necessarily mean that the principles of Participatory Communication theory tenets were ignored completely. The people's voice was heard (face-to-face communication, seminars and meetings) and there was dialogue. To enhance participation, the principles of liberating pedagogy and action-reflection-action should have been given more priority and this was to be achieved by increasing communication using more strategies to reach different groups of people in the slum.

The gaps in this study revolved around the conflicts between stakeholders, lack of communication and low levels of communication as revealed by various scholars like Muraguri (2011) who observed that there are a lot of conflicts between various stakeholders like residents and urban planners. Indeed, the study found out that there were conflicts, but communication was used to bring harmony and to create a good working environment. The use of SEC, seminars and meetings are among the ways that the MoLHUD and KENSUP provided solutions to the residents. However, these strategies were not as effective in that still, there were complaints like residents did not trust SEC (mistrust and claims they were holding information).

This study viewed communication as an aspect of participation and the findings suggested that if communication is increased, public participation is increased by extension. The two should not be viewed separately when it comes to development communication. This is because communication not only brings different stakeholders together, but creates room for dialogue, creates a good working environment and provides avenues for solving solutions.

#### **4.9 Discussions in Relations to Two-Step Flow Theory of Communication**

The idea of using opinion leaders in development projects is so important. Their influence can be directly linked to the level of success of the development project, and in Kibera Soweto East Zone A slum upgrading, MoLHUD and KENSUP explored this, but with serious limitations. The use of SEC was very important. The findings reveal that SEC was used but there were complaints that they used to keep vital information for themselves.

First, SEC members were selected from the slum upgrading site. Initially, they were leaders of women, youth, widows and even church groups. At least, these people were influential in their own capacities. Inasmuch as their influence was minimal compared to that of political leaders like Raila Odinga (Leader of Opposition), still had an impact and that is why MoLHUD and KENSUP resorted to using them. Apart from their minimal influence, low training and education limited their influences. In the interview with Mr Ouma, it was revealed that to increase their acceptance by the people they represented, SEC required more training.

One key conclusion in this section is that for slum upgrading to be more successful, for slum dwellers to fast accept and trust the government's intentions for slum upgrading and for people to participate more, opinion leaders should be used. They will not only spread the information to help influence the people they lead, but also create a friendly working environment for government and the other stakeholders involved in development projects like slum upgrading.

## **CHAPTER FIVE**

### **SUMMARY, CONCLUSIONS AND RECOMMENDATIONS**

#### **5.0 Overview**

This chapter presents a summary of the findings, conclusions and recommendations for practice and further research on the problem. The study aimed at examining the role of communication and public participation in slum upgrading and to achieve this, the study had the following objectives: to examine the role of communication in knitting various actors, experts and slum dwellers in slum upgrading in Kenya, to find out the communication strategies that were used by different stakeholders and to find out the successes and failures of communication strategies that were employed in the upgrading process.

#### **5.1 summary of the Findings**

The role of communication was sought to determine how communication was used to bring harmony among the various actors, experts and residents of Kibera Soweto East Zone A. Communication, as was revealed, indeed played a very important in knitting all the stakeholders and this was mostly done through face-to-face communication with 91% of the respondents revealing the same. The findings also revealed that meetings and seminars (which are forms of face-to-face communication) were used. What this implies is that planners gauged that face to face communication was the ideal strategy to reach the people, spread their views and ideas and to expand their communication scope. The use of technology (television, radio and phones among others) was minimal.

To also help in bridging the gap between the stakeholders, Settlement Executive Committee (SEC) was formed to represent various groups like women, youths, and widows among others. However, faced with problems like lack of communication skills and low education levels, SEC was viewed as selfish and were not trusted by the residents. With a whole 67% of the residents revealing that SEC members held vital information problem, it shows that the gap to be bridged was widening instead of reducing; communication breakdown.

Furthermore, the study found out that there were communication-based challenges that included lack of frequent communication, few communicators, lack of communication materials like maps and plans for the upgrade and language barrier problems. With all these problems, it is the researcher's recommendation that the actors should have done proper

profiling of the residents to prescribe the right mode of communication to supplement face-to-face communication and all its other forms like meetings and seminars. Also, technology like use of mobile phones ought to have been used to exhaust all the avenues that can best be used to reach the people.

With well over 50% of the residents mistrusting the government's intentions, it was clear that the strategy of using face-to-face communication was failing and this is where other measures were supposed to take over. Here, the use of technology for example use of national television would have given legitimacy to the project hence creation of acceptance. To gauge the level of public participation, the residents gave heart-breaking statistics showing that only 9% of the residents revealed that the level was high, 23% said it was moderate while a whopping 69% revealing that public participation was either not there at all, very low or low. The revelation implies that the communication strategy did not do much to boost public participation. Again, this shows that the decision-making process was basically done by the actors and the contribution of the residents was very minimal. By increasing communication and expanding dialogue, the public sphere automatically gets a boost hence public participation.

## **5.2 Conclusions**

Few communications strategies were used by MoLHUD and planners. The few that were used included television, radio and face-to-face communication (including its various forms like seminars and meetings and the use of SEC). This, in the light of public participation, was a failure in that there are various groups of people with different levels of education and backgrounds.

The use of a few strategies implied that there was some form of uniformity in the nature of people living in the slums, which is a wrong assumption. If social experts and communicators had dealt with the issues of profiling of the residents, various strategies would have been used. This also brings into focus the problem related to language barrier which is a big problem in the slum. Through observation, the researcher established the use of English and Kiswahili was a problem to some sub-sections of the residents.

Also, communication was used as a knitting factor to bring harmony among the stakeholders but still, there were problems and conflicts in greater degrees. SEC which was viewed as a bridge between the stakeholders was accused of holding vital information and that caused

mistrust. This implied that the gap was widening or not being closed by SEC hence communication failure. SEC also had their own shortcomings due to ignorance and some had low levels of education.

Other communication-based problems included the fact that plans and maps were not shared and in most cases, the residents revealed they were in the dark. If different strategies were used, and proper profiling was done, sharing of these materials would have been made possible. For example, the use of phone technology would have made spreading of materials easier through emails.

As for public participation, communication after knitting the stakeholders and solving challenges and conflicts, creation of awareness and mobilization of people would have been made possible. This would have increased the number of people engaging the actors while horizontal communication would have increased the levels of public participation.

### **5.3 Recommendations**

Based on the findings and conclusions, the study recommends the following:

The Ministry of Lands, Housing and Urban Planning and other actors such as urban planners and KENSUP should give priority to profiling of the residents of the slums they would like to upgrade in future to find the best communication strategy that will help in reaching the people, spreading of upgrading information and to expand the public sphere so as to increase public participation.

To further increase public sphere, The Ministry of Lands, Housing and Urban Planning and other stakeholders like KENSUP and KISIP should use various media channels to increase the avenues through which the residents can be reached and included. The stakeholders should, in this case, employ the use of technological tools like television, radios and mobile phones to help penetrate the slums to reach the people best.

In slums, the use of one or two major languages is a major hindrance, and so, the Ministry of Lands, Housing and Urban Planning and other stakeholders like urban planners use various languages that includes vernacular ones to reach most people. Based on observation, literacy levels are still low in slums and if major vernacular languages are identified, most illiterate people are likely to be reached.

The study also recommends that stakeholders such as KENSUP and KISIP should use advanced training for Settlement Executive Committee on not just technical matters of planning, but also basic communication skills that will make their work easier. This will also increase the effectiveness in passage of information.

#### **5.4 Recommendation for Further Research**

From the study and related conclusions, the researcher recommends further research in the area. The researcher recommends that more research be carried out on whether profiling of residents has an implication on public participation and the communication strategies used in slum upgrading. This will also provide insight on the best strategies that can be used to further reach the people, and reduce the problem of language barrier affecting slum upgrading.

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## **APPENDICES**

### **Appendix 1: Letter of Introduction**

**Dear Respondent,**

I am currently as Master's Student at the University of Nairobi carrying out a field research on 'The Role of Communication and Public Participation in Slum Upgrading in Kenya: A Case of Kibera Soweto East Zone A'. In this regard, I humbly request you to support me by answering the questionnaire or respond to the questions in the Interview Guide attached.

All your responses will be treated with utmost confidentiality and they will only be used in this academic research.

**Komollo Amos Otieno**

**Researcher**

**Appendix II: The Questionnaire**

**Questionnaire for Collecting Data from Kibera Soweto East Zone A Residents to Help Attain Master’s Degree in Communication Studies at the University of Nairobi.**

**SECTION A: PERSONAL INFORMATION (Tick where necessary)**

- 1. Gender: Male [ ] Female [ ]
- 2. Level of Education: Primary [ ] Secondary [ ] College [ ] University [ ]  
Other [ ] (Specify)
- 3. Marital Status: Single [ ] Married [ ] Divorced [ ] Separated [ ]  
Widowed [ ]
- 4. Employment: Employed [ ] Unemployed [ ] Self-Employed (Jua-Kali) [ ]

**SECTION B: COMMUNICATION STRATEGIES THAT WERE EMPLOYED TO ENHANCE PARTICIPATION**

- 5. Please indicate below the strategies the government through their actors such as KISIP and KENSUP used to communicate with you
  - a. Face-to Face Communications
  - b. Television
  - c. Through SMS
  - d. Through Whatsapp
  - e. Emails
  - f. Through Radio
  - g. Through Newspapers
  - h. Other (please specify).....  
.....
- 6. What are some of the ways or strategies that the urban planners used to communicate with the residents of Kibera Soweto Zone A?  
.....  
.....  
.....

7. a. What strategies did the surveyors in the field use to communicate with the residents?

.....  
.....

b. What are the other different ways the other experts (if any) communicated with you? (Please indicate the expert (s) and the ways they communicated with you)

.....  
.....  
.....

**SECTION C: ROLE OF COMMUNICATION IN KNITTING VARIOUS ACTORS, EXPERTS AND LOCALS**

8. Were you living in Kibera Soweto East Zone A when the slum upgrading was starting?

a. YES [ ] NO

b. If YES, how did you learn of the slum upgrading and how did it affect your lives?

.....  
.....

c. If NO, how do you think it affected the people in that area at that time?

.....  
.....

9. Please indicate below the experts you encountered in the process (Tick where necessary)

Urban [ ] Planners [ ] Surveyors [ ] Communicators [ ] Educationists [ ]

Other [ ] (Specify)

.....  
.....

10. In your own knowledge, who are the people or groups (stakeholders) responsible for the upgrading process?

.....  
.....

11. What are the challenges you faced during the process of slum upgrading?

.....  
.....  
.....  
.....

12. In relation to the challenges in Q10above (if any), how did the experts employ the use of communication to harmonize the emerging problems?

.....  
.....  
.....

13. During the process of slum upgrading, did you experience any communication-based problem like language barrier, lack of communication materials like maps not being availed to the people and plans not shared with the locals?

d. YES [  ] NO [  ]

e. If yes, how did they (stakeholders) solve the problem (s)?

.....  
.....  
.....

14. Based on your understanding, did the actors and experts explain issues and some of their decisions well to the locals and give them information prior and during the process of slum upgrading?

Explain

.....  
.....  
.....  
.....  
.....

15. Were there conflicts between the government and the people living in Kibera Soweto East Zone A?

a. Yes (Specify and explain)

.....  
.....

No [  ]

16. a. Did you witness any communication conflict between the actors in the slum upgrading? YES [ ] NO [ ]

b. If YES, how did they solve the problem?

c. Were there conflicts between the actors (KISIP, KENSUP) and experts (urban planners, surveyors) and how did they solve the them (if any)?

.....  
.....  
.....

d. Did you witness any conflict between the experts themselves?

e. If yes, how did they solve the conflicts (if any)?

.....  
.....  
.....

17. Did the experts and actors hold meetings with you (the residents of Kibera Soweto East Zone A) to share on various issues related to slum upgrading?

a. YES [ ] NO

b. If yes, do you remember the number of times you had the meetings?

.....  
.....

**SECTION D: SUCCESSES AND FAILURES OF STRATEGIES USED**

18. Based on the strategy (ies) used by the government actors (KISIP and KENSUP), did it allow you to participate in the process of slum upgrading?

a. YES [ ] NO [ ]

b. If yes, explain how it made you participate

.....  
.....  
.....  
.....

Were the strategies used by the experts like the urban planners allow you to participate in the upgrading process?

Explain.....  
.....  
.....

19. Were the other strategies employed by the other experts (in 8b above) effective enough to enhance public participation?

Explain.....  
.....  
.....

20. In your view, what do you think was the level of public participation was:

- a. Not there at all [ ]
- b. Very Low [ ]
- c. Low [ ]
- d. Moderate [ ]
- e. High [ ]
- f. Other (Specify)

.....  
.....

21. In your experience as a resident of Kibera Soweto East Zone A, can you therefore conclude that the slum upgrading process was successful?

Explain.....  
.....  
.....  
.....

22. Based on your experience as a witness to the Kibera slum upgrading process, what communication strategy do you recommend should be used in future to enhance public participation?

.....  
.....  
.....  
.....

23. What advice would you give to the experts and actors in slum upgrading?

.....  
.....  
.....  
.....

***Thank You for Your Participation and Support***

## **Appendix III: Interview Guide**

### **Interview Guide to Be Used to Collect Data from Urban Planners and Officials from The Ministry of Devolution and Planning.**

#### **INTRODUCTION**

First, I am glad you've agreed to be interviewed. I want to explain to you how this 40-minute interview will work. I will record your views using a recorder or my phone, transcribed, and then edited into a "profile" that will include only your words, with my questions excluded.

The first part will only be your personal information that includes your work and how long you have been working in this position. It will also contain a brief history of how long you have involved yourself with slum upgrading programs in Nairobi (especially in Kibera).

The following sections (B, C, and D) involve some of the areas that will be covered as part of the objectives of this project.

#### **SECTION A: PERSONAL INFORMATION**

1. I would like to know about your level of education and your work.
2. What's your current position and how long have you been involved with the matters of slum upgrading (planning, surveying)? Can you give me a brief overview of what it is you do in your work?
3. I would like to understand your views (take) on slum upgrading programs in Kenya, especially in Kibera.
4. Based on your knowledge and experience in this field, do you think that Kenya can achieve the state of being slum-free by 2030? Please explain

#### **SECTION B: COMMUNICATION STRATEGIES THAT WERE EMPLOYED TO ENHANCE PARTICIPATION**

1. What were the communication strategies employed by the actors to best reach the locals? Were the strategies good enough to enhance the flow of communication and did they ensure that the locals were regularly updated?
2. What were the strategies employed by the actors conducting the slum upgrading to reach the locals? In your view, what was the main reason why they chose the strategy (strategies) they used?
3. How did the experts and the actors communicate with one another and did the strategies ensure frequent flow of information between the two groups?
4. Assuming you are contacted to offer your view on the best communication strategies to be employed by various actors and experts to reach the locals, what strategy would you recommend?

### **SECTION C: ROLE OF COMMUNICATION IN KNITTING VARIOUS ACTORS, EXPERTS AND LOCALS**

1. So, let's move on to the aspect of communication, how it influences your work, and your understanding on its application in slum upgrading in Kenya. First, in slum upgrading, there are various actors and experts involved. In your view, can tell me the experts and some of these actors and parties you have encountered in the process?
2. How do you think communication brings together these actors and experts in the process of slum upgrading?
3. What is your take on the role of communication in slum upgrading? Did the actors involved include the locals in their upgrading work? How?
4. Did the views of the locals matter to the actors and were they factored in the upgrading process, especially in the implementation phase?
5. Some researchers observed that lower levels of communication could be the reason why there was public outcry in Kibera Soweto East Zone A, conflicts and mistrust of the government's intentions to upgrade Kibera. Do you agree with their observation?

### **SECTION D: FAILURES AND SUCCESSES OF THE STRATEGIES EMPLOYED**

1. What were some of the failures of the strategy (s) used (if any) and why do you think there were these failures? (Please specify the strategy and the stakeholder that used it).
2. W The main reason for using a strategy to communicate to (with) the locals is to enhance their participation. Do you think the levels of public participation increased after the use of the afore-mentioned strategy? What was the level? In your view, do you think public participation and communication are beneficial to development programs like slum upgrading? Please explain. What advice can you give to professionals (actors and experts) in slum upgrading process?
3. Based on your experience (and involvement in the process), what do you recommend should be done in terms of communication and public participation to ensure smooth flow of development agendas especially in slum upgrading?

## **Appendix IV: Observation Guide**

### **Observation Guide**

1. The arrangement of structures and the living conditions (in comparison with the other parts of Kibera where upgrading has not been done).
2. Using interview questions to gauge on the areas where respondents are not willing to give information about, checking how they live and observing how they think about the whole process of upgrading. This will be done using probing questions, their (un)-willingness to respond to some questions, inclusion of issues that come from them and not included within the questionnaire or interview guides.

## Appendix V: Certificate of Fieldwork



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Name: KOMOLLO AMOS OTIENO

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## Appendix VI: Certificate of Originality

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