



UNIVERSITY OF NAIROBI

**THE ROLE OF INTERNATIONAL ORGANIZATIONS IN SLUM
UPGRADING IN AFRICA: A CASE STUDY OF UN-HABITAT IN
IN KIBERA'S SOWETO EAST VILLAGE SLUMS, NAIROBI,
KENYA (2005-2018)**

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**A RESEARCH PROJECT SUBMITTED IN PARTIAL FULFILMENT OF
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MASTER OF ARTS IN INTERNATIONAL STUDIES, INSTITUTE OF
DIPLOMACY AND INTERNATIONAL STUDIES, THE UNIVERSITY OF
NAIROBI.**

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DECLARATIONS

I hereby declare that this research project is my original work and has never been submitted to any institution of higher learning for any academic award and therefore no part should be reproduced without permission of the author.

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Date.....

DEDICATION

I would like to dedicate this this research project to my late dad Mwalimu Gideon Saul Ndeda-Naholi for the immeasurable love, care, guidance and good parenting. May God rest your soul in eternal peace.

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TABLE OF CONTENTS

DECLARATIONS	ii
DEDICATION	iii
ACKNOWLEDGEMENTS	iv
LIST OF ABBREVIATIONS & ACRONYMS	viii
ABSTRACT	ix
1.0 CHAPTER ONE: BACKGROUND TO THE STUDY	1
1.1 Introduction	1
1.2 Problem Statement.....	2
1.3 Objective of the study.....	3
1.4 Research questions	3
1.5 Hypotheses.....	3
1.6 Justification of the Study	3
1.6.1 Academic Justification	4
1.6.2 Policy Justification	4
1.6.3 General Public.....	4
1.7 Scope of the Study and its Limitation	4
1.8 Literature Review	4
1.9 Gaps in Literature Review	6
1.10 Theoretical Framework.....	7
1.11 Research Methodology	8
1.11.1 Research Design.....	8
1.11.2 Study Area	8
1.11.3 Target Population.....	9
1.11.4 Sampling Techniques and Sample Size	9
1.11.5 Sources of Data	9
1.11.6 Data collection Techniques.....	10
1.11.7 Data Analysis	11
2.0 CHAPTER TWO: REVIEW OF LITERARUTE ON SLUM UPGRADING PROGRAMMES IN AFRICA	12
2.1 Introduction	12
2.2 Overview of Emergence of Slums in Cities	12

2.3	Slum Upgrading Programs in Africa	15
2.4	International Organizations and Slum Upgrading	16
2.5	Theoretical Approaches to Understanding Urban Slum Development	19
2.6	An Assessment of International Actors and Slum Upgrading.....	22
2.7	Conclusion	23
3.0	CHAPTER THREE: SLUM UPGRADING- THE CASE OF UN-HABITAT IN KIBERA’S SOWETO EAST VILLAGE SLUMS, NAIROBI, KENYA	24
3.1	Introduction	24
3.3	The contribution of the UN Habitat in slum upgrading in Kenya	25
3.4	The achievements of UN Habitat in advancing slum upgrading in Kenya	27
3.4.1	Local Authority Level.....	28
3.4.2	Community Level	29
3.4.3	Central Government Level.....	29
3.4.4	UN-HABITAT	30
3.4.5	Other Partners	31
3.6	UN-Habitat Urban Housing Program Implementation.....	32
3.7	Participatory Slum Upgrading and Prevention Programme	33
3.8	Prospects for Kenyan Government and UN-Habitat Cooperation and Partnership	34
3.9	Challenges Facing the UN-Habitat Operations in Kenya.....	34
3.9.1	Financial Constraints	34
3.9.2	Variations in Domestic Policies.....	35
3.9.3	Lack of Good Governance	35
3.9.4	Natural Disasters.....	35
4.0	CHAPTER FOUR: UN HABITAT AND SLUM UPGRADING IN KENYA:	43
	A CRITICAL ANALYSIS.....	43
4.1	Introduction	43
4.1	Gaps in slum upgrading in Kenya	43
4.2	The challenges faced by UN Habitat in slum upgrading in Kenya.	44
4.2.1	Competition among NGOs	44
4.2.2	Resistance to Displacement	47
4.2.3	Regulatory Framework	47
4.2.4	Lack of funds at County Governments	47
4.2.5	Corruption.....	48

4.3 Proposed Approaches to Address the Identified Gaps and Challenges	49
4.3.1 Introduction of A Database to Track Beneficiaries	49
4.3.2 Ban Resale of Houses Constructed in Slum Areas	49
4.3.3 Consider putting up high-rise buildings.....	50
4.3.4 Put up Temporary Decanting Sites	50
4.3.5 Communication.....	51
4.3.6 Good Governance	51
4.3.7 Gender Awareness	52
4.3.8 Partnerships.....	52
4.3.9 Inclusive Participation	53
4.3.10 Capacity Building	54
4.3.11 Empowering Community Members through Cooperatives	54
4.3.12 Delegated Decision-Making	55
4.4 Conclusion.....	55
5.0 CHAPTER FIVE: SUMMARY AND CONCLUSION.....	57
5.1 Introduction	57
5.2 Summary.....	57
5.3 Conclusion.....	58
5.4 Recommendations for Policy Development.....	59
5.5 Recommendation for Further Research.....	61
REFERENCES.....	62
Appendix 1: Questionnaire.....	64

LIST OF ABBREVIATIONS & ACRONYMS

AFD	French Agency for Development
ANHI	l'Agence Nationale De La Lutte Contre L'habitat Insalubre
CBO	Community Based Organization
GK	Government of Kenya
KENSUF	Kenya Urban Slum Upgrading Fund.
KENSUP	Kenya Urban Slum Upgrading Program
KISIP	Kenya Informal Settlement Improvement Program
LPDP	Local Physical Development Plans
MDG	Millennium Development Goals
NGO	Non-Governmental Organizations
PPP	Public Private Partnership
SIDA	Swedish International Development Agency.
SDG	Sustainable Development Goals
USD	United States Dollar.
UN	United Nations
UNHRP	United Nations Housing Program
USAID	United States American International Development
WB	World Bank

ABSTRACT

This research is intended to investigate the contribution of UN-Habitat Partnership with Kenyan Government in addressing slum upgrading problem in Kenya. The study consequently set out to examine challenges and opportunities in urban slum upgrading in Kenya. The study established that UN-Habitat has significantly contributed to the urban slum upgrading program through financial support, technical input and international networking. In the study, it emerged that various constraints are manifested in Kenya slum upgrading program. These challenges include:

- Inadequate financing.
- Constrained space for project implementation.
- Poor governance
- Weak institutions for project implementation.

The research concluded by making a few recommendations that could translate to effective slum upgrading program. First the government should mobilize adequate financial resources both domestically and internationally to raise enough funds for slum upgrading programs. Secondly the partnership between the Kenyan government and UN-Habitat should be strengthened to have continuous engagement on project monitoring and evaluation if the challenges identified as bad governance and weak institutional framework are to be addressed. This research is equipped with information that shall be relevant to students and researchers in the international partnership for social and economic development.

1.0 CHAPTER ONE: BACKGROUND TO THE STUDY

1.1 Introduction

International organizations provide focus for global politics. The contemporary technology makes it easier for them to operate. International organizations are described as establishments with prescribed processes and official membership from three or more states. The minimum number of countries is set at three rather than two, because multilateral relationships have significantly greater complexity than bilateral relationships.¹ This means it's an institution whose mandate goes beyond a particular state's territory where it could be located. This study examines the role of international Organizations in slum upgrading in Africa by taking a case study of United Nations Human Settlement Program (UN Habitat). The UN Habitat was constituted in 1945, with a mandate to promote the general living standards of all people regardless of their geographical location.² Among its key areas of focus is the provision of shelter and affordable housing especially to people living in slums³ in urban areas. The UN Habitat contends that almost one billion or the 32% of the world's urban populace live in the slums with a majority residing in the developing countries.⁴ The global phenomenon of rapid urbanization has brought about many challenges one of which is the continued deterioration of the living standards of majority of urban dwellers. This challenge was recognized by the United Nations under the 18 millennium development targets. The goal 11 of the Millennium Development Goals (MDG) targets at humanizing the lives of at least a hundred million slum residents by 2020. This implies that any housing reform that targets the low income groups must endeavor to attain this particular millennium target.

The UN Habitat and other international Organizations have come up with slum upgrading measures aimed at promoting of construction of affordable housing structures for all people especially in slum areas.⁵ While the representation of the slum dwellers varies across countries and regions, its prevalence is a daunting task. According to Kenya UN-Habitat report of 2001, it is estimated that at least 1200 people dwell in one square hectare of land which is even worse in areas where they occupy shacks of

¹ Baylis J. and S. Smith. *The Globalization of World politics*. 3rd Edition, Oxford University Press, Great Britain, 2001 p 440.

² Ibid p 405

³ A slum is regarded as a filthy and congested urban settlement populated by very underprivileged individuals. See UN Habitat. *The state of African cities 2008, a framework of addressing challenges in South Africa*. Nairobi: UN Habitat for a discussion on slums

⁴ UN Habitat report 2003

⁵ Ibid

10 by 10 feet. UN Habitat's slum upgrading program is the practice of identifying, improving and constructing of human habitable houses and infrastructure accepted by UN and ISO standards.⁶

Despite the efforts by UN Habitat and other organizations, urban housing remains a challenge facing many developing countries broadly and Kenya in particular. The study questions why the phenomena of slums keeps on increasing despite the efforts of organizations such as UN-Habitat.

1.2 Problem Statement

In Africa, slums continue to be a challenge. This can be attributed to the rising in population of people moving from rural areas to urban areas. This has led to increase of urban people living in slum areas. According to UN-Habitat report of 2003, the mushrooming of slums is quite drastic. UN Habitat together with different states governments should consider coming up with a policy if the situation is to improve in Africa. High population, lack of access to social amenities, sub-standard infrastructure, lack of sustainable and /or reliable employment, are among the reasons that have led to increase of slums in urban centres.⁷

In Kenya urban housing and development is one of the central input to human security. The urban centres in Kenya have guidelines towards development of human settlement to ensure adequate access and proper health and sanitation. However, the human settlements in Kenya's town and cities has witnessed an upsurge of informal settlements that fall below the universal standards of human health and sanitation. The human suffering associated with the informal settlements are indicators of poverty in Kenya.

The government has sought to alleviate urban poor housing through policy review on urban housing development and funding for slum upgrading project. To sustain the long-term budgetary and financial gaps in the slum upgrading programme the government of Kenya has sought to partner with the UN-Habitat to provide technical advice and financial support to achieve the target objective of slum upgrading. While the project has been on the ground for the period 2005-2018, it has not fully addressed the decent housing access in the Kenya Urban Slums. Information regarding the implementation and

⁶ UN Habitat report 2006

⁷ Ibid

beneficiary of slum upgrading projects demonstrates a continuous deficit in housing access in the urban poor settlements. The question that emerges from the UN-Habitat's slum upgrading project is what the contribution of international organizations is broadly and UN-Habitat in particular towards slum upgrading in Kenya?

1.3 Objective of the study

The main objective of the current study is to investigate the role of International Organization in Slum Upgrading in Africa by taking a case study of the UN Habitat's slum upgrading program in Kenya. The specific objectives of the study are:

- To examine the role of international Organizations in slum upgrading programs in Africa.
- To assess the contribution of the UN-Habitat in slum upgrading in Kibera's Soweto East village slums, Nairobi, Kenya.
- To assess the challenges faced by UN-Habitat in slum upgrading in Kibera's Soweto East village slums, Nairobi Kenya.

1.4 Research questions

- What has been the role of international Organizations in slum upgrading programs in Africa?
- What has been the contribution of the UN-Habitat in the slum upgrading in Kibera's Soweto East village slums, Nairobi, Kenya?
- What are the challenges faced by the UN-Habitat in slum upgrading in Kibera's Soweto East village slums, Nairobi, Kenya?

1.5 Hypotheses

- The UN Habitat has contributed significantly to upgrading of informal settlements in Kenya.
- The UN Habitat has failed to contribute effectively to the slum upgrading project in Kenya.

1.6 Justification of the Study

This study is justifiable at academic level, policy level and general public levels

1.6.1 Academic Justification

At academic level, this study will form part of the literature on the subject of slum upgrading. It will therefore form part of literature for reference on urban slum upgrading. This will shade more light to the Kenyan government on how to put in place better structures and mechanism to fight and combat eruption of informal sectors. Also this work will add to the already existing literature on what Kenya should do to advance the general living standards of the residents in informal settlements.

1.6.2 Policy Justification

At policy level, this research would inform government actors on the emerging trends and approaches in addressing the problem of housing in informal settlements. This research document provides an insight on how to come up with policies and decisions that would address increased slums in Africa, particularly in Kenya.

1.6.3 General Public

The study brings out salient issues regarding slum upgrading in Africa, specifically in Kenya. This will make the general public to understand why slums in urban Centre's cannot easily be eradicated and at the same time they cannot just be left to mushroom in major towns like Nairobi and/ or Mombasa.

1.7 Scope of the Study and its Limitation

This research study focuses on investigating the role of the UN-Habitat in improving housing for the deprived urban dwellers in the Africa with a case study of Kibera's Soweto East village slums, Nairobi, Kenya. The study looks at the Government of Kenya in collaboration with the UN-Habitat in slum upgrading in the period of 2005-2018. This slum upgrading program was started in 2005 and therefore the need to evaluate it from inception to 2018.

1.8 Literature Review

The background literature review provides a summary of previously researched information regarding the engagement of international actors in the upgrading of slums. The review of the literature assesses the studies on the recent developments on why informal settlements are mushrooming at a high rate in Africa and what could be the contributing factors. In my literature review. The literature review will also assess reasons why the government in conjunction with other development partners are not able to eliminate informal settlement in Kenya and by extension the entire Africa.

The term slum upgrading refers to improving the conditions of accommodation and access to social amenities in the slum areas. This is due to the fact that some urban areas in Africa are characterized by poor quality housing, poor infrastructure.⁸ The emphasis on upgrading slums and construction of decent houses emerged in the 1970s, by the World Bank, which was by then looking for an alternative to the then mushrooming slums. While the World Bank was keen on an alternative to widespread slum clearance, and urbanizing of the world as a new paradigm, John Turner an English architect was advocating for slum improvement, free of government intervention to allow citizens to change their living conditions on their own volition.⁹

According to Werlin, there are four fundamental principles for slum upgrading which were not stressed in the first programs between 1970s and 1980s. These are; maintenance, land acquisition, land tenure and community participation. These according to him have contributed to making the realization of slum upgrading a ``myth. ``¹⁰ Turner was generally for the idea of a moderate role for government in matters of slum upgrading. While his Peruvian counterpart Hernando De Soto urges that it is the government's full responsibility in upgrading slums in order for her people to have decent housing for improved livelihood. This according to Hernando, would result to ensuring secure land tenure.¹¹

The World Bank's foundational housing policy recommends the development of market systems of property ownership and apportion significance to humanizing the systems of land titling in informal settlements.¹² The above policy overview was based on observable profits of slum upgrading that advances the slum dwellers' investments capital. The land titling method was found suitable to many however some scholars found it undercut by political and economic factors. The people who reside in slums are attracted to sale off their land if they know how valuable the land is and move to domicile elsewhere.¹³

Currently some of the slum upgrading programs and planned works contracts are under implementation. These are providing drainage systems, roads, high mast security lights, and water supply and sanitation

⁸ Hardoy J.D, and D. Satterthwaite (2003) *Environmental problems in third world Cities*. Earthscan, London.

⁹ Werun H. , (1999) *The slum upgrading myth*, *Urban studies*, 36: p. 1569-1596

¹⁰ Ibid pp

¹¹ De Soto H. , (1989) *The other path, The inviable Revolution in the third world*, IB Taurus, London.

¹² World Bank reports 1993

¹³ Payne G. (2005) Getting ahead of the game: A twin-track approach to improving existing slums and reducing the need for future slums. *Environment and Urbanization 17 (1)*, 135-145

systems in 27 informal settlements in six urban centers. About 250,000 people are benefiting from the improved infrastructure. The above engagements are complementing the formal implementation of civil works for the settlement of urban deprived category of dwellers through inspections, management of registry index maps, and registration of land occupancy to guarantee security of tenure for some people.¹⁴

It should be noted that institutional development and program management assists in strengthening the capacity of the State Department of Housing and Urban Development and the participating County Governments, and also finances programme management activities. It further enhances the tenancy of households by supporting scale-up and process systematization of land tenure in urban slums through financing of the community organization and mobilization, identification and delineation of settlement boundaries, preparation of Local Physical Development Plans (LPDPs), and issuance of allotment letters to individuals/groups. In addition, it seeks to invest in settlement restructuring and infrastructure that advances the realisation of slum upgrading plans at the community level and the investment in settlement level infrastructure through extension of trunk infrastructure to slum settlements.

Eventually the institutional development contributes to planning for growth by supporting implementation of cheap accommodation and access to social amenities. On this basis the institutions are projected to underscore effective government planning to reduce the emergence of new slums. The institutional mechanisms shall advance land tenancy and housing that can enhance affordability for the middle and low-income households.

From the above literature, the study has established that quite a number of research has been done on the subject of slum upgrading in the African continent, however they have not captured the role of the UN-Habitat in the slum upgrading in Kenya.

1.9 Gaps in Literature Review

From the above literature, the study has established that quite a number of research have been carried out in regard to slum upgrading in the African continent. However, none of the research carried out has been able to outline what exactly the UN-Habitat is doing in regard to slum upgrading in Africa, Kenya in particular. This is despite the Kenyan government together with other development partners coming

¹⁴ Ibid

together to collectively try and upgrade slum areas. This study therefore seeks to establish the role UN-Habitat is doing in Kenya to upgrade the slum areas. This has been necessitated after critically analyzing what other scholars have not extensively, conclusively carried out in matters related to slum upgrading in Kenya and by extension Africa.

1.10 Theoretical Framework

Hoffman¹⁵ defines a theory as a system organized study of noticeable phenomena that tries to determine the major variables that could be used to explain the behavior and characteristics of the stated phenomena. Singer¹⁶ defines a theory as a body of internally consistent empirical generalizations of descriptive, predictive and explanatory power expressed in the form of hypothesis and propositions that are testable, verifiable and falsifiable.

This study was guided by the dependency theory. The theory proposes that the developed countries have the control and ability to accumulate resources for development to the detriment of poor states. The attribute of the core states to accumulate economic wealth has led to the control of the international economy. The structures of pursuing economic growth in the developed countries is embedded in the decisions made by international institutions whose aim is to cultivate a friendly policy environment in the developing countries to exploit their resources and the markets. Therefore international institution were founded to act as the structures for creating an international order that responds to the social and economic interests of the developed countries.¹⁷

It is observed in the dependency conception that the end of the colonial system in Africa, ushered in a development trajectory anchored on policy papers designed by international institutions.¹⁸ The African states to date seek developmental interventions from the developed countries with a hope to overcome the barriers to social and economic challenges including urban housing development. The dependency theory therefore forms a background for explaining the role of the UN-Habitat in Kenya's urban slum upgrading program. The inability of the government of Kenya to finance on its own the slum upgrading projects, is a precedence found in the establishment of the structured institutions in the aftermath of the

¹⁵Theodore et.al, *An introduction to international Relations*, 3rd Edition, Longman, London, 1986, p27

¹⁶ Ibid.

¹⁷Dougherty, E. J. & R. L. Pfaltzgraff, (2001) *Contending Theories of International Relations*, 5th Ed, New York: Longman, pp, 449-451.

¹⁸Ibid

second World War to fund and expand the international economic development in the interest of the capitalist western countries.

In this view the UN-Habitat is seeking to partner with the Kenyan government to uplift the living standards of the poor people in urban Centers to empower them and make them become part of the international market of the goods and services sourced from the developed countries. The developed states support UN-Habitat initiative with an understanding that the poor population shall gradually consume products from the West to sustain or expand the trading opportunity with Kenya.

1.11 Research Methodology

This section presents the methods that were applied to achieve the objectives of the study.

1.11.1 Research Design.

The research was a descriptive research that sought to ascertain the challenges of slum upgrading for urban informal settlements. Case of Soweto East village in Kibera slums in Nairobi. This study gave a detailed analysis of the challenges faced in Soweto East village in slum upgrading program. The type of design adopted for this particular study was a case study that is an in-depth study of a particular situation rather than a sweeping statistical research survey. It is a method used to narrow down a very broad field of research into easily researchable topic. It may not answer the research question completely, but it gives some indication and allows further elaboration and hypothesis creation on a subject. It is a method used to narrow down a very broad field of research into one easily researchable topic. Whilst it does not answer question completely, it gives some indication and allows elaboration and hypothesis creation on a subject.

1.11.2 Study Area

The study area was Soweto East village in Kibera, informal settlement, Nairobi. Kibera informal settlement is located southwest of Nairobi city center and is approximately 5 kilometres away from it. There are 13 villages (shown in the figure below) that constitute Kibera informal settlement. They are: Soweto East, Soweto West, , Makina, Kianda, Gatwekera, Kisumu Ndogo, Lindi, Laini Saba Silanga, Mashimoni, kambi muru, kichinjio and raila..¹⁹

¹⁹ <http://people.ofkibera.com>

1.11.3 Target Population

According to Mugenda and Mugenda,²⁰ population is the entire group of individuals or items under consideration in any field of inquiry and have a common attribute. Mugenda states that it is not practical to select a representative sample from the target, thus a sample was drawn from an “accessible population” which is more narrowly defined and manageable. Despite the high likelihood of losing the generalizability of the result, “population validity” was used which is a way of establishing that accessible population is in itself representative of the target population.

The key respondents were staffs of UN-Habitat, Staff of Ministry of Housing and Soweto East village residents. While carrying out the research, I assured the respondents on the confidentiality of their feedback. Purposive sampling and stratified random sampling techniques were used in the case of UN-Habitat and Ministry of Housing and Soweto East village residents respectively.

1.11.4 Sampling Techniques and Sample Size

According to Mugenda and Mugenda,²¹ it is impractical to select a representative sample from the target, hence a sample was drawn from an “accessible population” which is more narrowly defined and manageable. This sample was informed by 2009 population and housing census data of Soweto East village and it was pre-determined at a minimum of 117 respondents following the adoption of Fisher et al.²² To conduct the study, the researcher obtained an introductory letter from Institute of Diplomacy and International studies (IDIS) at the University of Nairobi. Purposive sampling for top level management of UN-Habitat, and staff of Ministry of Housing was employed using a checklist of questions. In contrast, stratified random sampling technique was employed.

1.11.5 Sources of Data

In this study, both secondary and primary data was used and the data gathered through desk top research and field survey. Primary data was collected by interviewing selected Soweto East village residents who are the direct beneficiaries of slum upgrading program, which is being carried out by UN-habitat in conjunction with other development partners including the Kenya government. Primary data plays an integral role in complementing and adding new dimension to the secondary data. The study used

²⁰ Mugenda O. Research methodology sample for Social research. Pp 65-69

²¹ Mugenda, O. Research methods qualitative analysis.

²² Fisher et al, Guidelines for overcoming design problems in family planning operations research.

structured questionnaire containing open ended questions as a tool of collecting primary data information. Before embarking on research, the author discussed the questionnaire with his supervisor to help in setting up the questions which were clear to the respondent and would lead to getting relevant information regarding the role of UN-Habitat in urban slum upgrading in Kenya.

The study gathered secondary data from published literature on informal settlements in Kenya. The secondary data was sought from published works that includes books, journals, newspapers and other scholarly publications. To obtain secondary data, a wide scope of literature was reviewed in relation to the study. This included desk top review of the existing data and information mainly from internet searches, published UN-Habitat reports, World Bank reports and other relevant records. The main aim of reviewing the secondary sources of data was to identify existing information gaps, challenges to be addressed by the study and highlight areas to emphasize on. Secondary data therefore helped to establish what is already in existence in relation to current study and explanation that have been offered concerning relationships among variables.

1.11.6 Data collection Techniques

The study employed documentation review, structured interviews and questionnaires the data collection techniques as follows.

1.11.6.1 Documentation review

Various documents including text books, reports, published and unpublished works and websites were reviewed too get the necessary information on the research study. Nonetheless, some textbooks on the study topic were not accessible. As a remedy, both published and unpublished works and use of websites especially UN website provided the required information. This method was quite suitable in the study because one could get comprehensive and historical information that is vital for this research topic.

1.11.6.2 Structured interviews.

Interviews were conducted during this study. Same questions were dispensed to different audiences, this was done in order to make statistical manipulation viable. Most questions were open ended in order to give respondents some room for clarification, for this could not be limited on the kind of information to share with the author. However the author used his discretion and presence of mind to guide the interviewee so that they give only relevant information appertaining to the study. This author was

cautious to make sure that whatever information he gathers, can be captured in computer databases and can be easily read and interpreted.

1.11.6.3 Questionnaires

The author administered questionnaires to staff of UN-Habitat, Ministry of Housing and residents of slums. He preferred this method of gathering information to posting of questionnaires which could take longer than expected. The questions were filled anonymously so that much information is given. The author emphasized that the information gathered was for strictly for academic purposes only.

1.11.7 Data Analysis

The data collected was qualitative in nature and was analyzed using content analysis. Content analysis determine the presence of certain words or concepts within texts or sets of texts. A summative content analysis involves counting and comparisons, usually of keywords or content, followed by the interpretation of the underlying context.²³

3.7 Sample size

The study adopted Fisher et al. (1983) formula in Mugenda & Mugenda (1999) to determine the sample size of 217 residents.

$$n = Z^2pq$$

d²

n = desired sample size

z = standard normal deviation at required confidence level

p = the proportion in the target population estimated to have characteristics being measured

q = 1-p;

In this study, the standard normal deviation at required confidence level (z) is 1.96 and the level of statistical significance level adopted is 5%

The proportion of target population to the population (p) is 28,182/170,070=0.17

$$n = 1.96^2(0.171)(0.83) / (0.05)^2 = 217$$

²³ Kondracki, N. L., & Wellman, N. S. (2002). Content analysis: Review of methods and their applications in nutrition education. *Journal of Nutrition Education and Behavior*, 34, 224-230.

2.0 CHAPTER TWO: REVIEW OF LITERATURE ON SLUM UPGRADING PROGRAMMES IN AFRICA

2.1 Introduction

This section of the study presents an overview of literature in two sets. First is the literature on slums and slum upgrading in Africa which analyses the various approaches to improving urban poor settlements in Africa through government interventions. The second set of literature looks into the role of external interventions in urban settlement development in Africa. The literature on external interventions looks into the international organizations and specific program interventions in urban slum upgrading in the post-independence period in Africa.

2.2 Overview of Emergence of Slums in Cities

Most slum formation in the cities is observed to have originated from rapid urban population expansion. The rapid urban population growth in most Countries have been occasioned by influx of people from their villages into urban centers and cities. There are numerous reasons as to why people migrate, in Africa some even migrate from civil strife in their localities and displacement.²⁴ These huge numbers of people coming into the urban centers come with myriads of challenges such as Spatial segregation, high crime rates, challenges of inadequate housing, unemployment, inefficient social amenities. These challenges are more ambiguous in developing countries.

First is the challenge of long period of lack of order and general *laissez-faire* attitude especially on the side of the urban authorities who hesitate on matters of illegal occupation. There is mushrooming of structures in the suburb yet the authorities never control the rise of these structures.

In addition, urban housing has been attested to fail in providing for required construction materials and pieces of land to cater for the needs of the slum dwellers.²⁵ The authority in place is fond of buying time until the situation get out of control. This is a wrong precedence that must be stopped in order to amicably address the issue of slums.

²⁴Becker, C M, A M Hamer and A R Morrison (1994) *Beyond Urban Bias in Africa*. James Currey, London.

²⁵Varley, A (1998) 'The political uses of illegality: Evidence from urban Mexico' in E. Fernandes & A. Varley (eds) *Illegal Cities: Law and Urban Change in Developing Countries*, Zed Books, London and New York.

In cities found in the developing world, it is noted that political and institutional inaction has contributed to expansion of slums.²⁶ This results in allowing slums to expand to levels where their sizes does not match the resources and space available hence stretching too much the available resources in the cities. The enormous sizes of urban slums have contributed to lack of political desire to intervene in improving or eliminating the settlements. In many cases formal urban interventionists have always tried to address issues of mushroom of informal housing in some areas within the city, issues of illegal land occupancy within the urban centers and issues of degeneration of houses, all these effort end up in vain for there is myriads of challenges affecting this huge populace.²⁷ These interventions explicitly make scholars and other policy makers understand that slum issue is too big a menace that cannot be sorted out single handedly by one faction. They also come to the reality that slums dwellers have got other serious problems other than housing hence the need to review Maslow's hierarchy of needs in case the authorities optimistically want to mitigate the challenges. Phenomenon of slums and challenges within the slum is complex and complicated that policy makers need to understand before implementing any project or program. There are numerous underlying issues that need to be addressed first so as to make the slum dwellers own the project or initiative first before implementation. Failure to which; an outrageous slum dweller population will stall some of these projects.

It is therefore evident that in the developing countries, a number of cities and slums are considered highly undesirable yet to devise adequate programs that shall fill gaps in core issues of urban poverty. The government and states in the developing countries have further demonstrated that they are unable to understand the forces, conditions and trends behind the rise of slums and informal housing in the urban centers. Universally, it is pragmatic and real that medium and large cities are increasingly deteriorating and becoming less impoverished, characterized by urban seclusion with a few wealthy people pocketing urban wealth. This is an evidence that the rise of classes is a major cause of the rise of slums, We can disagree to agree that majority of slum dweller are poor and most of them too face the challenge of unlimited skills hence most of them simply do the blue collar jobs in order for survival. Majority of the world's population today in the 21st century prefer staying in the urban centers to rural areas unlike in the previous centuries. A country like Australia for instance has more than two thirds of

²⁶Kumar, S (2001) 'Embedded tenures: Private renting and housing policy in Surat, India' *Housing Studies* 16: 425–443.

²⁷Huchzermeyer, M (2002) 'Evaluating tenure intervention in informal settlements in South Africa' in A. Durand-Lasserve & L. Royston (eds) *Holding Their Ground: Secure Land Tenure for the Urban Poor in Developing Countries*. Earthscan, London, pp182–194.

her population residing in the countries cities such as Melbourne, Sydney, Perth and Canberra. This was not the case in the previous centuries, the influx of people into the cities started mainly during the industrialization era in the 18th century. African countries also seem to have followed the trend whereby young energetic youth seem to be relocating from rural localities to come settle and work in the cities. On arrival, some dawn to the reality that urban life is not a walk in the park hence forced to retreat back home while other sort to reside in shanties.

A city that really wants to address urban poverty and come up with better policies, programs and strategies aimed at improving the living conditions within the slums must try to dig deep so as to understand what constitutes a slum and its socio-economic dynamics, after which check how the municipal and national legislative system can be engaged to come up with rigorous laws to address the needs. Slum dwellers are characterized by low income, low levels of education; with most of them having basic certificates, high poverty levels and high unemployment rate.²⁸ The impact of this is stigmatization that ultimately leads to social discriminations in accordance with the caste system.

The argument herein in the above paragraph about the characteristics of slum dwellers has cases of exception, for instance the case of Bangkok where majority of the slum dwellers are necessarily not poor but rich. In such cities the percentage of stigmatized slum dwellers are almost negligible. In Havana slum dwellers have secure tenure and access to the same social infrastructure just similar to those that don't live in slum.²⁹ The aforementioned discrimination, urban isolation and victimization contributed immensely to inability to access both social and physical structures among the slum dwellers communities. The effects of the above practices in urban areas are higher occurrences of conflicts, violence and crime which spawn into patterns of depressed urban areas where the inhabitants, despite their cosmopolitan nature and heterogeneity, still seek common grounds and interests due to marginalization characterized by unsatisfied basic needs

²⁸Mumtaz, B. & E. Wegelin (2001), *Guiding Cities: The UNDP/UNCHS/World Bank Urban Management Programme*, DPU & Institute for Housing and Urban Development Studies, Rotterdam.

²⁹Musterd, S. & W. Ostendorf (eds), (1998), *Urban Segregation and the Welfare State: Inequality and Exclusion in Western Cities*. Routledge, London

2.3 Slum Upgrading Programs in Africa

The state of some African urban centers is in deplorable conditions. That is the reason why Governments and UN-Habitat is collaborating to try and eradicate poverty in Africa. It is not easy to determine whether slum upgrading initiatives in African states is improving the living standards of the people residing in these slums. According to the World Bank, determining whether the slum upgrading processes are positive rely on the expectations of the urban poor and if the objectives of the program are fully achieved.³⁰

In the South Africa Republic, it has been observed that slum upgrading has succeeded through advancement of the social amenities and affordable accommodation to the urban poor people. The urban poor who had no decent urban services were supplied with water, sanitation and access to housing. For example at Ekurhuleni, which is the largest city in South Africa, an approach to slum upgrading method has been adopted that promotes sustainable economic development.³¹ It is observed that slums continue to rise in Africa's big cities. In the Cities of Cairo, Kinshasa and Lagos, population growth have been rapid and it continues to rise leading to huge demand for urban housing. In regard to population size, the urban cumulative population of Lagos was close to 10 million while Cairo in 2007 had an estimation of about 12 million inhabitants and Kinshasa had 7.8 million. It was concluded that this had a direct correlation with mushrooming of slums in the respective urban cities.³²

In the recent decades African has attested to well-endowed economic progress. Although the economic progress unevenly distributed, it demonstrated that some states had better economic output than others, it was statistically noted that nearly forty percent (40%) of the citizens were surviving on less than one US dollar per day. This implied that in Africa urbanization and elimination of slums can only be addressed if poverty is addressed. The transition of African cities into urbanization is based on extreme forms of poverty as opposed to industrial productivity which was the case in the major cities in the developed world.³³

³⁰Satterthwaite D. (2001) *Sustainable Cities*. London: Earthscan.

³¹UNCHS (Habitat) (2001), *Cities in a Globalizing World: Global Report on Human Settlements*. London: UNCHS (Habitat)

³² The state of African Cities 2008, A framework for addressing urban challenges in Africa.

³³ Ibid

In order to alleviate human suffering and eradicate poverty in African cities, the states and governments are recommended to initiate tactical policy options that shall spearhead and push African cities into becoming globalized economy in the 21st century. Africa therefore requires to initiate political integration and economic integration to stimulate urban centers as propellers for development.³⁴ The number of cities seeking to reduce the urban slum residents through a combination of upgrading and resettlement programs is on the rise. To complement this initiatives, the majority of government in Africa have sought the approach of Public-Private Partnerships (PPP) in housing projects. To realize the objectives of public-private initiatives, the governments are inclined to provide the private developers with swathes of serviced land through a subsidized cost. The role of PPP in housing provision is further strengthened by guidelines and procedures intended to expand housing alternatives and introduce sustainable financing for mortgage.

High rate at which urbanization is taking place, and the increase in per capita income do have an impact and negatively affect the lower and middle income households. According to research, countries North of Africa like Morocco and Algeria, cost of a market rate dwelling equals to eight to nine times annual earning of a middle income earner. Slum upgrading being a significant policy initiative in Morocco since the 1980s, it established *l'Agence Nationale De La Lutte Contre L'habitat Insalubre*(ANHI) to oversee the urban housing in slum settlements. In Mauritania, urbanization witnessed squatters' settlements in Nouakchott city and other main cities. While the government sought to legalize squatter settlements through subsidized prices for housing, it became unsustainable as Mauritania accelerated towards urbanization.³⁵In west and central African states, slums are generally squalid compared to those in Nairobi as they mostly have lower densities.³⁶ Cities are becoming fragmented mostly in west and central African cities.

2.4 International Organizations and Slum Upgrading

While having a keen look at the recent approaches deployed by the United Nations approach on upgrading and elevation of the slums; it is evident that the approaches are not only unique but also well thought of. International organizations such as United Nations have set global norms and objectives for

³⁴UNCHS (2001), *The State of World Cities 2001*. UNCHS-Habitat, Nairobi

³⁵ Ibid.

³⁶Lasserve, A. D. (2006), Informal settlements and the Millennium Development Goals: Global Policy Debates on Property Ownership and security of tenure. *Global Urban Development Magazine 2 (1)* pp.1-15.

urban human settlements. One of the key approaches to sustainable urban settlement through helping the urban poor to attain secure land tenure and access resources for social and economic livelihoods.³⁷ The UN seeks to deliver advance urban housing and settlement agenda through the Global Campaign for Secure Tenure (GCST) and the Global Campaign on Urban Governance (GCUG). The above programs are in line with UN Habitat Agenda in which the international organizations are working closely with all other government operatives and distinct representatives from the civil society in trying to improve the lives and welfare of slum dwellers.

The United Nations Housing Rights Program (UNHRP) organized for a meeting together with the UN-Habitat in their office here in Nairobi where they attested to increased commitment towards the envisaged UN-Habitat goal of ensuring that there is not only progressive but also full realization of better housing facilities provided for by the international instruments.³⁸ The focus of the above program is grounded on the improvement of the overall environment that shall enable governments to take an appropriate action that should protect, promote and above all ensure that everyone has the realization to their right of better housing.

The UNHRP derives her mandate and responsibilities from both the OHCHR and the United Nations. It is a great and an important tool for Global Campaign for Secure Tenure (GCST). UNHRP is not just implemented but after a wider scope with Special Rapporteur on social, political, cultural and economic rights. Non state actors for instance women's organizations National human rights institutions, Non-Governmental Organizations and Civil society, research and academic practitioners in great institutions and professional associations of relevance and local authorities are supposed to step up and play pivotal role as partners in the implementation of the UNHRP.³⁹ It was between 2002 and 2004 that the first phase of UNHRP was rolled out with focus on five program areas. The main areas of engagement run alongside advocacy, outreach and learning from partners. The program further focuses on the support to the United Nations human rights mechanisms on housing rights, monitoring and evaluation of progress towards the realization of housing rights. The above framework includes the development of

³⁷UN-Habitat, (2003), *The Challenge of Slums: Global Report on Human Settlements-2003*, London: Earthscan.

³⁸ USAID (2001) *Making Cities Work: USAID's Urban Strategy*. Washington, DC: USAID

³⁹World Bank (2002), *Globalization, Growth, and Poverty. Building an Inclusive World Economy* Washington: World Bank.

housing rights through capacity building and technical cooperation for implementing and monitoring housing rights.

International finance institutions are progressively defining urban development and housing strategies by increasing their engagement in slums upgrading through an integrated approach that incorporate both programs trying to minimize poverty levels and those that are trying to develop the urban centers'.⁴⁰ International institutions that deal with financial matters such as the International Monetary Fund and World Bank have a wider component for ensuring global development. Despite the fact there are some key differences and variation in the approach, it remains between the different multilateral financial institutions there is a gradual convergence of approaches towards slum upgrading initiatives. For example, the World Bank has supported slum upgrading projects by lending the government of Kenya some money to assist mitigate the challenge. World Bank is hugely interested in four main phases namely: water sanitation, urban planning and upgrading and finally environmental issues. Initially, especially in the late 20th century; between 1970s and 1980s the World Bank was fond of supporting sectoral projects via government agencies. These packages and goodies were predefined by various sectors of the government through the central government and specialized authorities. This approach was geared towards slum upgrading which was then considered friendly. The intention was to minimize opposition emanating from the slum dwellers. It was also considered as a cost effective approach with minimal resistance hence accepted rather than relocation and clearance of slums that according to the dwellers were regarded as their "cradle homeland", for they had stayed there for a very long time hence knew no other home apart from the slum.⁴¹

The World Bank realized that the shelter projects were unable to meet the huge demands of homeless Kenyans in the slums. In accordance with their assessment they noted that the project was not economically viable due to the underfunding and inability to construct better houses for the slum dwellers. Only 2500 household had been constructed yet the demand was way huge than the number of the houses constructed. The World Bank also noted that better frameworks need to be laid so as to achieve this noble course. The public was also neglected in this operation; a recommendation was made that the public ought to be involved and incorporated especially in activities that affect them directly.

⁴⁰ World Bank (2002), *Improving the Lives of the Poor through Investment in Cities. An Update on the Performance of the World Bank's Urban Portfolio*, Washington, DC: World Bank,

⁴¹Ibid

The World Bank further advances that the focus for urban assistance in slum upgrading should be institutionalized.⁴² The lack of institutional development for slum upgrading programs alongside financial constraints are the key factors hindering efficacy of local service delivery and to instant interventions in slum improvement projects. Institutional growth and development that were once implemented in adherence to the national context of housing and land market shall reduce failure in slum upgrading programs for the urban poor. In view of the above multilateral approaches, sources of market failure in the urban economy and governments hesitation and failure to listen and address issues that affect slum dweller; issues such as inequality, high poverty levels and poor living conditions. This reflects the limits or failure of conventional aid and cooperation policies to deal with the growth of urban housing inequalities. It further acknowledges the long term effects of poverty on human settlements in cities. To address the problem of human settlement in slums should seek to develop a new approach through which cities could sustainably entrench functionally habitable competitive, well governed and managed slum upgraded settlements. Due to the challenges stated above the government of Kenya decided to collaborate and cooperate with the UN-Habitat in trying to upgrade these slums.

2.5 Theoretical Approaches to Understanding Urban Slum Development

To study and investigate the role of international organisations in slum upgrading, one has to outline the various world-views that form the backbone of the discipline. This section presents these approaches that form the basis of studying international organisations in international development.

The first approach to understanding international organisation is the rationalist approach that tries to link the notion of world order as that order found within states.⁴³ This conceptualisation avers that the society of states in the international stage can be transformed into a unified world community based on the submission to universally lawful moral and legal principles. This can be achieved through on-going increase in the influence and responsibility of international organisations in all fields of peace and security. This view presupposes that international organisations have a substantive and a procedural purpose that are intended to function above the just administrative convenience. Thus international institutions have a significant role to play upon the world stage rather than being only mechanisms to greater efficiency.⁴⁴

⁴²World Bank, (2001), *World Development Report 2002: Building Institutions for Markets*. New York: World Bank/Oxford University Press.

⁴³ Goodwin, G., *World Institutions and World Order*; In C. Cosgrove & K. Twitchett, *The New International Actors*, New York, 1970, Pp. 55-7.

⁴⁴ Bowett, D. W., *Op Cit*, P. 73.

The second approach that helps to evaluate the role of international organisation in international development is the revolutionary thought.⁴⁵ The revolutionary theory regards international institutions as objects for specific policy formulation. The primary aim of international institutions is viewed to be that of being utilised as a means of attaining a final objective as envisioned by the states. This view does not consider international institutions as primarily targeting to evolve a world community of states based on global association. This approach sees states as units that will benefit from global institutional structures.

The third approach to analysing international organisations in global development is projected by the realist thoughts. In the realist perspective international organisations are viewed as a forum for states searching for dominance in pursuing national interests.⁴⁶ States are in a constant search for power and supremacy. The eventuality of the 1st and 2nd world wars demonstrated that the foundation of the League of Nations and the UN reinforced the status quo of the new balance of power.⁴⁷ Thus what is labelled, as the World Order is a replication of the operation of the norm of the balance of power. Realists perceive the role of world organisations as reinforcing that balance and enabling it to safely and gradually altered in the light of changing patterns of power. This has led to some weaknesses on the part of international organisations to effectively tackle issues without causing intrigues among member states.

International institutions therefore can be looked into more adequately by combining the above approaches and establish an inter-linkage between the various world-views. The inter-dependence of states has indeed compelled states to create viable organs for cooperation. Through international agreements, cooperation can be sustained to improve upon the basic political areas of peace.

International organizations are categorized according to the scope of their membership and the nature of their activities. The scope of international organisations presents the level at which international organisations are founded and the extent to which they participate in international affairs. International organisations are established by the state actors and they seek to entrench the people's expectations when interacting in international relations. The international organisations are empowered to design

⁴⁵ Goodwin, G., Op Cit, Pp. 57-91.

⁴⁶ Ibid, P. 62.

⁴⁷ Shaw, M. N., Op Cit, P. 890.

and implement the issues that affect the development of states. The international organisations in this section are reviewed on the basis of the contribution they make towards human settlements. The review shall focus on international organisation at universal, regional and sub-regional levels.

Organisations of universal character encompass membership from across the globe. Universal organisations seek to promote international cooperation for social, political and economic development.⁴⁸ The member states in the international system continue to face a wide range of new and unprecedented threats towards socio-economic progress and therefore seek to mitigate those threats through cooperative efforts that transcend their regional territories. Some of these problems cannot be addressed by the internal capabilities of states and therefore external support is essential to remedy the economic and human security threats.

The developments in international cooperation have engendered supranational organisations like the UN and international regimes that seek to establish norms, rules, processes and organisation that help govern the behaviour of states in an area of international concern.⁴⁹ These regimes have been noted in protection of international bodies of water like the Regime for oceans and seas. The trade regime under the WTO has established regulations for international trade practices. The United Nations encompasses specialised agencies whose influence on government policies has gradually improved the nature of international relations.⁵⁰ It is upon the UN to ensure peaceful settlement of disputes among states and also promote economic and social cooperation in a wide range of issues to achieve collective human development.

In regard to the objectives of the UN, the human development issues are highlighted. The desire by the UN to have a peaceful environment where the rights of the people are respected socially, economically and culturally is a contribution towards the human security of the people in Africa. One key aspect of human development in Africa is that of access to decent housing and human settlement.⁵¹ The human settlement and housing are viewed as essential bases for pursuing long-term social stability in the emerging economies in Africa and translate to economic progress of the society.

⁴⁸ Rourke, T. J., *International Relations in the World State*, 2002, P. 197.

⁴⁹ Ibid

⁵⁰ Shaw, M. N., (2010), *International Law*, London: McMillan, p. 892.

⁵¹ UN-HABITAT (2008) *UN-Habitat and the Kenya slum upgrading programme strategy document*. Nairobi : UN Habitat

2.6 An Assessment of International Actors and Slum Upgrading

Issuing from the challenges faced by states in dealing with urban slums is the search for international partners to fill gaps in the funding and technical input in slum upgrading. There is a wide range of bodies and associations engaged in development cooperation programs in the urban sector. Some of them are engaged in the urban housing and slum-improvement programs and others contribute to an indirect impact on slums improvement through technical and financial interventions.⁵²The aim of international partnerships in slum upgrading is to ensure that the modern cities have sustainable settlement levels for urban development and governance.

Bilateral cooperation is one of primary approaches to engage international actors in slum upgrading. In bilateral processes the state actors have sought to reach out on donor countries to channel resources into the urban housing sector.⁵³ Bilateral cooperation policies in urban development underscore the augmented economic liberalization, land tenure and housing markets, and incorporation of the informal sector within the scope of the official market. It has been observed that the USAID has chosen to embrace a neo-liberal style of dealing with matters of slum s and housing by advocating for restricted public activity, reduction of the finance given to the public, strengthening the private sector, trying to mobilize enough resources and improving the systems of taxation and finally developing new municipal or urban financial instruments.⁵⁴This approach seems to be working in some well organize urban areas.

It is further demonstrated that bilateral cooperation has sought to emphasize on social integration objectives. International actors that have consistently advanced the above principle in dispersing slum upgrading initiatives include the Nordic countries, the Netherlands, German, Canada and Switzerland.⁵⁵ The above actors have been extending strong support to municipal authorities with an aim of improving the capacity of their management, coordination, funding and service delivery to the slum settlements. The above actors are further linked with the objective of strengthening the revenue base of municipalities through a suitable policy structure.

⁵²UN-Habitat, (2001), *Cities in a Globalizing World: Global Report on Human Settlements 2001*. London: UNHCS.

⁵³Ibid

⁵⁴UN-Habitat, (2003), *The Challenge of Slums: Global Report on Human Settlements-2003*, London: Earthscan.

⁵⁵Ibid.

The actors engaged in slum improvement undertakings work to advance partnerships and networks intended to support collaboration between officers and people who were working in fields closely related. Choices of actions to stimulate better cooperation have augmented inter-agency programs such as the Cities Alliance, the UMP and the MDP.⁵⁶ Growth in cooperation, harmonization, coordination and partnership between bilateral and multilateral agencies dealing with matters of developmental projects in urban areas has brought in international associations of local authorities thus expanding the role attributed to international networks and people centered development initiatives. The above initiatives have yielded to NGOs contribution to international cooperation and aid for decentralized cooperation among institutions.

The slum upgrading programs have also been supported by the mainstream governments in Europe and have proposed cooperation efforts that are decentralized. Most countries in the North have constituted bilateral cooperation agencies and policy programs in the form of municipal twinning or city-to-city cooperation that are platforms for training and empowerment⁵⁷ The challenge is that this cooperation and partnership is always just narrowed down to official development assistance with limitation to only technical skills.

2.7 Conclusion

This section of the study has presented an overview of the slum upgrading in Africa and the theoretical basis for the international organisations to be involved in the resource mobilisation and technical input. The study has further demonstrated that there are numerous challenges that manifest the slum upgrading agenda in Africa. While the challenges in slum upgrading observed stem from structural and systemic barriers, there are still avenues that could support accelerated urban slum development such as government partnership with international institutions.

⁵⁶Ibid.

⁵⁷Mbodj, E. H., (2002) Les perspectives de partenariat entre les villes africaines, in *Revue internationale des sciences sociales* Vol LIV(172):259–263

3.0 CHAPTER THREE: SLUM UPGRADING- THE CASE OF UN-HABITAT IN KIBERA’S SOWETO EAST VILLAGE SLUMS, NAIROBI, KENYA

3.1 Introduction

This chapter presents an overview of slums upgrading programs in Kibera’s Soweto East village slums, in Nairobi, Kenya. It synthesizes the nature and dynamics of the projects that have been initiated by UN Habitat to date. The chapter further outlines how different stakeholders have been plugged in the participation and implementation of these programs. It discusses the achievements and challenges realized by UN Habitat slum upgrading initiatives in the period 2005 to 2018.

Table 3.2: Biodata

		Frequency	Percent
Interviewee position	Officials of NGOs	22	25.6
	Residents	64	74.4
	Total	86	100.0
Age	20-30yrs	18	20.9
	30-40yrs	26	30.2
	40-50yrs	32	37.2
	Above 50	10	11.6
	Total	86	100.0
Length in current employment	1-5yrs	28	32.6
	6-10yrs	35	40.7
	Over 10yrs	23	26.7
	Total	86	100.0
Level of education	Primary	32	37.2
	Secondary	30	34.9
	Tertiary/University	24	27.9
	Total	86	100.0

From the study findings in Table 3.2, 86 respondents participated in the study out of a sample of 117 participants. This resulted in a response rate of 73.5 percent. In regard to the positions of the participants, majority (74.4 percent) of the respondents were residents of Kibera slums and 25.6 percent were officials of NGOs. Majority (37.2 percent) of the respondents were aged between 40 and 50 years.

Majority (40.7 percent) of the respondents had stayed in the current employment for periods ranging between 6 and 10 years. Majority (40.7 percent) of the respondents had attained primary education.

3.3 The contribution of the UN Habitat in slum upgrading in Kenya.

A number of human settlement development policies and strategies have been embraced in the past to deal with slums menace all over the world, which Kenya too embraced. The policies and strategies have ranged from forced eviction, resettlement, site and service schemes.⁵⁸ According to statistics, forced eviction, demolition of slums and resettlement of slum dwellers create more problems than solution. Eradication destroys a large number of houses to the urban poor, while new housing provided has frequently turned out to be unaffordable resulting to movement of relocated households back to slum accommodation. Resettlement at times compels slum dwellers to move far away from their place of employment.⁵⁹ This makes them reluctant to move. For it affects their productivity and generally disrupts their livelihood network. This makes UN-Habitat and Kenya government to be sensitive when relocating slum dwellers before setting up decent houses in the hitherto slum areas.

When the Cities Alliance was established, a proposal for slum upgrading in Nairobi was among the first submissions in December 1999. There was no progress on the proposal until the Executive Director who in her first meeting with the then President of Kenya, His Excellency, Hon. Daniel Moi, in 2000, agreed with the President that the Kenya Government and UN-Habitat will collaborate in a slum upgrading initiative. A Memorandum of Understanding was signed between the Minister of Roads, Public Works and Housing and the Executive Director of UN-Habitat on 15 January 2003.⁶⁰ This was the birth of the Nairobi Collaborative Slum Upgrading Program focusing on Soweto village in Kibera.

After two years of consultations with the government, during which time, UN-Habitat funded the preparation of a situation Analysis of informal Settlements in Nairobi, the Kenya Slum Upgrading Program was agreed and a Grant Agreement signed between UN-Habitat and the Cities Alliance. The Government of Kenya executes and manages the program, the Ministry of Housing and the relevant

⁵⁸ Talukdar, D. (2012). "Living Conditions, Rents, and Their Determinants in the Slums of Nairobi and Dakar." *Land Economics*, 88(2): 251–74

⁵⁹ Arimah, B. C. (2010). "The Face of Urban Poverty. Explaining the Prevalence of Slums in Developing Countries." *UNU-WIDER Working Paper no. 2010/30*.

⁶⁰ Government of Kenya and UN-HABITAT, Memorandum of Understanding, 2003.

local authorities implement it, and UN-Habitat, civil society partners, participating local communities, and the private sector complement and support their efforts.

The UN-Habitat was involved in slum upgrading program in Kisumu, Nairobi, Mavoko, and Mombasa. The UN-Habitat focused on different aspects of slum upgrading from implementing pilot projects aimed at finding suitable models for scaling up and replicating activities, to building the capacity of local authorities. UN-Habitat also engaged in analyzing conditions in target communities through situation analyses and socio-economic mapping; providing technical advice to KENSUP partners; and making available basic infrastructure. UN-Habitat was responsible for lobbying and provision of technical support to the program partners, which take the form of provision of experts, seminars, training programs, demonstration projects, and assistance in the provision of core elements of infrastructure necessary for slum upgrading, and mobilization of financial and other resources. Additionally, UN-HABITAT collaborated with the Government of Kenya in the mobilization and coordination of financial and other resources for the program.

The Human Settlements Financing Division worked with the Cities Alliance, a collaborative initiative of the World Bank Group and UN-Habitat, to improve conditions of cities in the developing world. The Cities Alliance provided US\$240,000 and Kenya Government through the then Ministry of Roads, Public Works and Housing provided equivalent to US\$60,000 for a preparatory phase since the Inception phase had been completed with UN-Habitat funding support of up to US\$110,000. The government of Kenya funded the construction of decanting site to the tune of over Kshs. 500 Million. The Government of Kenya established the Kenya Slum Upgrading Fund (KENSUF) to receive an initial budgetary allocation of Kenya shillings 20 Million (US\$ 250,000).⁶¹

UN-Habitat regularly provided technical advice to its KENSUP partners.⁶² For instance, in the Kibera Integrated Water and Sanitation Initiative, UN-Habitat assisted in the design and supervision of the road construction works in order to ensure that the mobility needs of the community are considered; and to guarantee that the community is involved throughout the implementation phase. Further, UN-Habitat collaborated in designing sanitation (two types of toilet blocks) and waste holding facilities (e.g.

⁶¹ Government of Kenya, KENSUP Financing Strategy, 2005.

⁶² Government of Kenya, Kenya Slum Upgrading Programme: Programme Document in collaboration with The United Nations Human Settlements Programme, 2003.

chemical waste, door to door garbage collection and recycling options), and on identifying suitable sites for construction of sanitation facilities. The provision of technical advice to UN-Habitat's KENSUP partners was a key ingredient of UN-Habitat's involvement in slum upgrading in Kenya as it had specialized expertise in the various areas relevant for slum upgrading.

In Mavoko, UN-Habitat was involved in the facilitation of a self-help housing project, which was a pilot aimed at finding suitable community-driven self-help housing models for replication and upscaling. In the Kibera Water and Sanitation Initiative, the aim was to test the use of water and sanitation as entry points to slum upgrading, and how it could reduce the cost of housing for slum dwellers.

3.4 The achievements of UN Habitat in advancing slum upgrading in Kenya

Various activities were carried out to implement the slum upgrading program in Kenya. First a social and economic mapping was carried out to document the various actors in the 12 villages in Kibera.⁶³ The social and economic mapping sensitized the residents and stakeholders on the program and to commit them to contribute. A communication strategy was developed to ensure that all aspects of the program were effectively communicated to all stakeholders. The social and economic mapping led to the preparation of social and economic profile of Kibera residents. The physical mapping obtained detailed information of the physical features of the 12 villages.

Chronology of events in the implementation were as follows: program document finalized in mid-2003, sensitization of residents including local administration, offer by the Finish Government to debt swap for land and funding for a Sustainable Neighbourhood Program (SNP), government provided land for a Decanting site near Langata Prison ground and another piece of land in Athi River for the Sustainable Neighbourhood Programme. Government committed funding for the development of the decanting site. Kenya Government and UN-Habitat outlined a Kenya Slum Upgrading Program (KENSUP) strategy in which all slum upgrading and related activities become part of KENSUP. This included the SNP, City without Slums Program for Kisumu and the Water and Sanitation program for Kibera.⁶⁴

The achievements in Kibera included establishment of institutional arrangements and sensitization of the community and stakeholders were sensitized. Soweto village physical mapping and social/economic

⁶³ UN-HABITAT, Provision of Basic Services in Selected Slum Settlements in Nairobi- Project Document, 2005.

⁶⁴ UN-HABITAT, Cities Without Slums Sub-Regional Programme for Eastern and Southern Africa (Kisumu, Kenya) – Project Document, 2004.

mapping was completed. The government of Kenya constructed decanting site of 600 units in and established a slum upgrading fund.

In regard to the impact of the slum upgrading program, the support of the Cities Alliance, including key bilateral donors, helped to increase the Government's political commitment to slum upgrading. There was a greater awareness of the need to change the living conditions of the people in slums. There was increased collaboration of several Ministries and other agencies in the slum upgrading process. Slum communities after understanding the process, were willing to contribute to the improvement of their living conditions. The Government of Kenya established the Kenya Slum Upgrading Fund (KENSUF) and the donors showed a great interest in the related land sector. The private sector agreed to launch a corporate housing bond. Besides, the UN-Habitat established the Global Slum Upgrading facility (GSUF), which made resources available to provide guarantees for slum upgrading. The Kibera-Soweto upgrading process not only improved the physical living conditions of people, but also focused on addressing the high incidence of HIV/AIDS and unemployment in the slum. The achievements of UN Habitat in advancing slum upgrading in Kenya were realized at the following levels:

3.4.1 Local Authority Level

The capacity of local authorities was built in institutional, legislative, financial and implementation frameworks as a strategic contribution to slum upgrading. Through the socio-economic and physical mapping exercises, local authorities gain information about the existing conditions in the slum settlements, which enabled them to prioritise and plan for the way forward. Their awareness of slum upgrading was drastically improved and therefore, slum upgrading gained greater recognition within each municipality, which is hoped to translate into enhanced commitments.

In general, KENSUP projects were expected to positively influence the capacity of local authorities to facilitate slum upgrading and related processes, which enhanced their accountability, transparency and responsiveness. The project improved their technical, political, institutional and human resource capacities, for instance, by encouraging the participation of small-scale firms and community groups in public works through community contracts. The technical capacity building led to improvements in physical planning, implementation and budgeting capacities.

The long-term goal was to influence the policy framework by creating enabling conditions to support slum upgrading as well as possible innovative local finance measures. The local authorities also learnt

new skills and gained knowledge on how to support people-driven and sustainable development within their municipalities, which contributed to the improvement of their relations with their constituents. The enhanced dialogue between the local authorities and the local communities was intended to result in greater compliance in tax payments, adherence to rules and regulations and hence, improved revenue for the local authorities.

3.4.2 Community Level

KENSUP improved the livelihoods of the people living and working in Kenya's slums. This was achieved by empowering slum dwellers socially and economically through cooperatives, building associations, project management committees etc. The different KENSUP projects offered training opportunities for slum dwellers in sustainable practices, such as construction, water supply, sanitation and solid waste in order to empower community members to start up income generation activities, which enabled them to improve their livelihoods.

KENSUP further improved the living conditions in Kenya's slums by assisting in the provision of adequate and affordable physical infrastructure and improved housing. By collaborating with the central and local authorities, the local communities further learnt to negotiate with the authorities, which positively affected the dialogue between them leading to a more open relationship and thus, improved governance relations. This is an important outcome which train slum dwellers in political participation empowering them to be more involved in urban decision-making processes.

Participation in KENSUP projects also facilitated the organization of slum dwellers to collectively address issues concerning them, which enhances their bargaining power in the urban sphere. It further improves the sustainability of the interventions as it ensures that the participation of slum dwellers is guaranteed. KENSUP demonstrated that slum dwellers can take responsibility for their living conditions, and that their contribution is essential in finding lasting solutions to the slum issue. Their participation also builds social cohesiveness and integration within their own communities.

3.4.3 Central Government Level

The support of UN-Habitat and other donors helped to increase the central government's political commitment to slum upgrading and it was hoped that this trend continues and gains even greater momentum as more concrete results materialize in the program. KENSUP advocates for a common

vision and an action plan, which have been developed by the central government, which are important steps forward in addressing the issue of slums in Kenya. Most importantly, the program enjoyed the political support of the central government, which is a key to its success.

KENSUP also promoted a multidisciplinary approach to slum upgrading which calls for collaboration between the relevant Ministries in Kenya. The program demonstrated the need for a concerted effort if sustainable solutions are to be found. Further, not only promoting collaboration between the different ministries, KENSUP advocated for a broad-based partnership approach to slum upgrading where all the relevant urban stakeholders had an important role to play. The central government took up the role of a coordinator bringing together local authorities, the civil society, local slum communities, UN-Habitat and the private sector to participate in the program. The central government developed enabling conditions for the slum upgrading activities to really succeed, including the regulatory, institutional and funding frameworks that sought to alleviate urban poverty and enhance prospects for slum upgrading. There was also scope for mobilizing funds addressing slums within National priorities.

3.4.4 UN-HABITAT

Broadly, UN-Habitat expected that the program would contribute to the realization of the objectives set in the Habitat Agenda, and the MDGs, particularly Goal 7, Targets 11 and 12.⁶⁵ As a small UN agency with global responsibilities, UN-Habitat has had to find ways of maximizing its impact by focusing its resources and by adopting a strategic approach that promotes certain policy principles to guide city management all over the world. With these imperatives in mind and with a sharper focus on urban poverty and, in particular, slums as the most visible manifestation of urban poverty within the overall urbanization process, the UN-Habitat strategic vision focused on knowledge management, the financing of housing and human settlements and strategic partnerships. All of these fit well within the principles of KENSUP.⁶⁶

Therefore, UN-Habitat demonstrated the combination of these new and innovative concepts and strategies in practice and gain first-hand experience about their applicability. UN-Habitat hoped to find a sustainable strategy for slum upgrading that is also replicable in other Countries, not just in Kenya.

⁶⁵ UN-HABITAT, Habitat Agenda, June 1996.

⁶⁶ Government of Kenya, Kenya Slum Upgrading Programme: Programme Document in collaboration with The United Nations Human Settlements Programme, 2003.

Additionally, UN-Habitat acted as a lobbying agent in order to attract more donors to financially support the program.

3.4.5 Other Partners

All activities undertaken had a direct effect in building capacities of local stakeholders in fields related to slum upgrading. The participating civil society organizations had improved technical, organizational and management skills. Their involvement and participation enhanced and fostered consensus building for sustainable slum upgrading as well as established new constructive relationships amongst actors that may not have previously engaged with each other. Through their participation in KENSUP, the civil society organizations increased their commitment to slum upgrading.

Further, as KENSUP requires collaboration between the relevant ministries in Kenya (such as the Ministry of Housing, Ministry of Lands, Ministry of Cooperatives, Ministry of Road and Public Works, Ministry of Local Government, Ministry of Gender, Sports and Culture), which led to increased collaboration between different Ministries and other agencies in the slum upgrading process. KENSUP also improved the understanding and commitment of slum dwellers themselves to slum upgrading. They were willing to contribute to the improvement of their living conditions, which is an important step. UN-Habitat hoped that slum dwellers realized that in order to have a lasting improvement in their living conditions, they themselves needed to participate and take responsibility for it. Additionally, UN-Habitat's involvement led to the establishment of the Kenya Slum Upgrading Fund (KENSUF), which received an initial budgetary allocation of Kenya shillings 20 Million (USD 250,000).⁶⁷ UN-HABITAT's involvement also led to increased donor interest, particularly in the related land sector.

3.5 UN-Habitat's Role in Urban Slum Upgrading in Kenya

UN Habitat was established in 1945 as an immediate result of the First UN Conference on Human Settlements and Sustainable Urban Development held in 1976, Vancouver, Canada.⁶⁸ Nairobi city enjoys the privilege of being the headquarters for the UN-Habitat. The agency is mandated with ensuring that there is better urban future by promoting socio-environmentally sustainable houses and human settlements. This is one of the key goals of the current Sustainable Development Goals (SDGs);

⁶⁷ Government of Kenya, KENSUP Financing Strategy, 2005.

⁶⁸Unhabitat-info@un.org

specifically goal number 11.⁶⁹ The agency's goals can be summarized as to establish a well-planned, well-governed and efficient cities other than human settlements, with adequate housing, infrastructure, and universal basic services such as water, energy and sanitation. In order to achieve the above goals of the UN-Habitat, the agency has set itself mid-term goals of a period of 6 years, after which a review and revision is done.

In accordance with the UN-Habitat 2014-2019 Strategic Plan, key seven areas have been brought to the limelight.⁷⁰ They include urban legislation, land and governance, urban economy, urban planning and design, urban basic services, research and capacity development, housing and slum upgrading, risk reduction and rehabilitation. The agency has awakened from the slumber to realize that the most vital action to achieve its goals is to push for the establishment of adequate urban policies and legal frameworks to achieve its goals. Without which, other fundamental areas are likely to be tampered with, for instance; urban planning and design, then without proper urban planning and design then slum upgrading will definitely become impossible to achieve. This is a clear indication that all then seven facets cannot be implemented in isolation, for they are closely attached in order for the UN-Habitat to realize its envisaged goals and mission. In order to achieve these, the UN-Habitat has partnered with several governments, Kenyan government inclusive. UN-Habitat has been able to merge with the UN-Urban entity in order to realize its broad mandate. This was done in order to optimize the implementation of the newly adopted New Urban Agenda hence facilitate mobilization of financial resources.

3.6 UN-Habitat Urban Housing Program Implementation

According to a survey carried out by the UN-Habitat in more than 250 cities, slum dwellers die earlier, have less education, experience more hunger and have less job opportunities as compared to non-slum dweller.⁷¹ Some of the reasons for the mushrooming of slums in accordance with the survey's data. The survey also concluded that slums are economically vibrant places unlike the villages.

UN-Habitat has played a significant role in coming up with good land and housing policies. This has encouraged many governments, Kenya inclusive on coming up with broad housing reforms hence curb

⁶⁹United Nations: Sustainable Development Goals.

⁷⁰UN-Habitat 2014-2019 Strategic Plan

⁷¹ UN-Habitat 2014-2019 strategic pla,

the issue of mushrooming of slums. These reforms have put into attention matters of layout, quantity and diversity, location, standard and price so as to serve diverse populace as possible⁷². These have been articulated by the UN-Habitat through policy guidance, capacity building of wide-ranging urban institutions and implementation support and across a large number of Countries. UN-Habitat considers the slum dwellers' participation and all other stakeholders involved for successful settlement upgrading.

3.7 Participatory Slum Upgrading and Prevention Programme

The program was initiated to strengthen the capacity of local, central and regional institutions and key stakeholders' in settlement and slum improvement. This was supposed to be through pilot projects, ensuring there is good governance, good management of projects, proper policies, proper legislative and implementation frameworks, and financial aid⁷³. In order to achieve all these, two objectives were identified, namely: urban profiles and Regional policy development, capacity building and slum upgrading action planning. UN-Habitat's Regional and Technical Cooperation Division in partnership with other agencies is at the fore front in the implementation of the PSUP. The team is located in Nairobi city in Kenya. Other cities with offices of implementation include: Rio de Janeiro in Brazil and Fukuoka in Japan.

Nairobi holds about 37.7% of the total urban population in Kenya, this is thrice the second most populated city in Kenya: Mombasa. The challenge of urbanization in Kenya is that, it is not economic driven but rather, poverty driven. According to the UN-Habitat, proliferation and persistence of urban slums in Kenya has been contributed by a number of factors as follows:⁷⁴ insufficient political goodwill to address issues of informal settlements and proliferation of slums, politicization of slum upgrading along party lines, poor urban planning policies and inadequate supply of affordable urban residential land. UN-Habitat involvement in slum upgrading initiative in Kenya has had a mixed outcome. Positively; increased housing stock has been witnessed and community involvement in the implementation of the policies has partly been a success as well. Negatively, there has been inadequate partnership, proliferation of slums, frequent persistence of non-participatory approaches, low economic wages among slum dweller forcing them to rent the houses.

⁷² Ibid

⁷³UN-HABITAT: States of World's Cities 2006/7, The Millennium Development Goals and Urban Sustainability: 30 Years of Shaping the Habitat Agenda; 2006, p. 11.

⁷⁴The State of African Cities 2008: A framework for addressing urban challenges in Africa.

In the year 2007, the World Bank approached the UN-Habitat to implement the Urban Sector Profiling in Kenya; this was funded by the World Bank. Kenyan cities captured were: Nairobi, Mombasa, Kisumu, Nakuru and Eldoret. UN-Habitat was mandated to exercise their advisory role on methodology to be adopted, contraction of former implementation partners. UN-Habitat in partnership with the Nairobi-based NGO Pamoja Trust commissioned and facilitated a project a community based slum upgrading project in Kisumu. This was part of a citywide slum upgrading initiative under UN-Habitat and Cities Alliance's Cities without Slums (CWS) initiative and the Kenyan Slum Upgrading Programme (KENSUP). In June 2011, UN-Habitat lent its full support to "Building Communities: Change by Design," an Architecture Sans Frontiers-UK and Pamoja Trust street-based exercise and workshop in participatory urbanism in Mashimoni, Mathare slum, Nairobi, Kenya. The project utilised a participatory design methodology that put slum residents at the centre of upgrading decisions. Streets and community spaces were an entry point from which residents were asked about their needs and aspirations for the area's physical elements. Across focus groups, including collective model making sessions.

3.8 Prospects for Kenyan Government and UN-Habitat Cooperation and Partnership

According to the Big Four Agenda by the current government led by President Uhuru Kenyatta, there are avenues and opportunities for cooperation between the government and other international agencies such as the UN-Habitat.⁷⁵ The Big Four Agenda include: construction of 500, 000 affordable homes, beefing up the manufacturing sector to contribute to 20% of the country's GDP, achieve 100% food and nutrition security and achieve 100% universal health coverage. Construction of 500, 000 affordable homes is a great opportunity for the Kenyan Government to partner with the UN-Habitat so as to roll out the project in the best way possible; as the adage say goes, two heads are better than one⁷⁶.

3.9 Challenges Facing the UN-Habitat Operations in Kenya

3.9.1 Financial Constraints

The UN-Habitat finds it difficult to realize its envisaged mission and implement some of the policies due to financial constraints. It is unfortunate that the UN-Habitat is one of the agencies within the United

⁷⁵Herrmann, Michael & Svarin, David. 2009. *Metro Manila's slum population lives in risk areas (Banerjee, 2010)*

⁷⁶Kenya's Big Four Agenda under Jubilee Government

Nations among the least funded. This underfunding has really tampered with its operations and implementation. The agency is currently at crossroads, financially.

3.9.2 Variations in Domestic Policies.

Many developing states especial in Africa, have housing and planning policies that are solely unique. Kenya as a developing state is not an exemption. This has made it difficult to harmonize policies and work on a collective solution to ensure human beings all over the world live in decent houses. It is also important to note that, construction styles and architectural patterns differ from region to region. This makes it complicated to comparatively sort ought the housing menace in third world countries.

3.9.3 Lack of Good Governance

Many developing countries are still grappling with issues of governance. Some of the funding allocated for housing is often looted by some of the top officials who are entrusted with public funds. This makes it difficult for the UN-Habitat to realize its envisaged goals.

3.9.4 Natural Disasters

Natural disasters such as earthquakes, floods among others hinder UN-Habitat slum upgrading initiative. These are beyond control hence the agency has no otherwise but to live by the occurrences. This affects the program of slum upgrading programs in Kenya. The unpredictable torrential rainfalls causes flooding in most slum areas in Kenya making them inaccessible for any construction to take place. This hinders or slows down slum upgrading processes.

3.9.5 Widespread corruption.

Kenya as a Country experiences widespread corruption among officers responsible for managing government-owned land. This definitely affects the operation of UN-Habitat in slum upgrading programs. In order for this program to be effective, there is need for accurate details on the exact hectare of land, the population of the resident in this land all other information that is required for there to be effective planning and auctioning of programs in slum areas. It's because of corruption that UN-Habitat experiences challenges like;

Lack of capacity among local authorities with regard to participatory planning, zoning, subdivisions and development control. Lack of adequate, accurate and updated urban land information. Lack of

forward planning to provide adequate supplies of land appropriate locations and at affordable prices, deficient that promotes sharp rises in urban land prices. Speculation and use of shortcuts to acquire land and absence of viable legal redress options that includes land restriction and land compensation.

From the findings this research came to the realization that one of the conspicuous concerns for the majority of slum dwellers include: proper drainage, road network, proper sanitation, improved security and better housing. Most of them claimed that the reason to why they were living in slums especially Kibera is because they are unable to pay house rent somewhere else. The critical question being asked by scholars therefore is, is construction of better houses a priority to the slum dwellers? Out of a hundred slum dwellers respondents, fifteen felt like better houses is a solution to upgrade the slums. The government's focusing on upgrading houses by constructing more decent houses in the slums is therefore worrying in a scenario whereby even the envisaged beneficiaries do not see it as a necessity.

Many landlords in the slum area do not have title deeds for legal ownership of the land they hold. This has made quite a number not to invest much in decent houses due to the uncertainty that comes with such like state of affairs. Many therefore choose to construct temporal residential places instead of decent houses hence playing a role in increasing the number of illegal settlements in the slum areas. The beneficiaries of these slums upgrading project have been renting their newly acquired houses. From the findings, this is due to lack of sensitization of needs of the intended beneficiaries of these developments. This then drives the beneficiaries to look for tenants who can afford to live in these houses. Talking to one former beneficiary, she posited that she decided to rent the house at sh 5000 in Kibera after realizing that she was unable to pay the sh 3000 rent. She was therefore making a gain of sh 2000 as proceeds from rent in the house in Kibera. She later disclosed why she decided to rent the house, giving her reasons as follow: inability to pay for the sh 3000 rent, fear of being attacked by other slum dwellers thinking that she could be an outsider close to the political class, poor road network. Due to their economic status, the houses become a bother since they must spend money to live in them. They would rather the houses were a source of income.

Politics has been one of the slow rates of upgrading the slums. Politics is a major impediment to upgrading efforts of the slum. Some politicians politicize ejection of slum dwellers making the efforts to upgrade slums a tall order. Politics has also been a major impediment to slum upgrading efforts. If politicians and powerful organizations peg their survival on existence of slums, all these efforts would

not yield much. While digging into historical files, there are only a few political leaders who were able to decisively deal with slum issues by taking drastic measures, these were: Napoleon Bonaparte in Paris and Pope Sixtus V in Rome. Their firm decisions have made the world today enjoy, love and adore these well planned and magnificent cities; Paris and Rome. The main unique thing about these leaders can well be understood by having a vivid look at Kenneth Waltz's, "Man the State and War". In the book man is seen as evil, selfish and egocentric⁷⁷. Both of these leaders were authoritarian and ruled with an iron fist. They ruthlessly demolished slums, evicted slum dwellers and built the cities they envisioned without embracing any democratic ideals⁷⁸. The big question therefore is, can such work in Kenya? Will it not raise public outrage?

There are challenges associated to the institutional and program design despite the fact that the government has been a strong advocate of slum upgrading. These have hindered and occasionally thwarted implementation of the projects. Ideally, the projects should put emphasis on the process of community participation which apparently looks flawed hence some individuals' masquerading at the expense of the community members. The communities' targeted by the project seem to have been sidelined in the process. From the interview it was conspicuous that that KENSUP Kibera never involved the residents in setting up the rent rates, this is according to a few residents interviewed⁷⁹

The Ministry of Housing implements the projects; it directs all activities and has to approve all budgets including those by municipalities. The officials in the ministry keep stressing that the project is participatory and all inclusive, which in reality is the reverse. It is clear that decisions are made by the top-most pinnacle of authority in the ministry after which imposed on citizens. The challenge of coordination is another problem between partners. For instance, the Ministry of Housing is supposed to implement KENSUP projects in partnership with UN-Habitat, but the latter is not involved or aware of the happenings. Similarly, KISIP and KENSUP are poorly linked. They seem not to be complementing each other hence running as independent entities. There is also the issue of what criteria used to select the municipalities leading to conflict resolution and transparency issues in the mode and modalities of

⁷⁷ Waltz Kenneth. *Man the State and War*.1979.

⁷⁸**Why Slum Upgrading in Kenya has Failed by Arch. Martin Tairo**

⁷⁹ Interview with Kibera resident, August 17, 2018

selection of municipalities, bidding and contracting processes, insufficient evaluation and a lack of ownership within the community. Many of the citizens therefore feel sidelined in the process⁸⁰.

Slum upgrading has not captured majority of slums in the Country, a lot still need to be done. Other small slums keep on mushrooming, for instance Githogoro; a slum adjacent to Runda Estate. The government needs to allocate more funding to cater for a wider region hence succeed in these initiative of upgrading slums.

The slums area coverage within Nairobi County is about 5% of total area of Nairobi. This is approximately 1110 hectares of the land in Nairobi. Slum upgrading has kicked off in a number of counties in Kenya, namely: Nairobi, Kisumu, Mombasa, Kiambu, Nakuru among others. Majority of the targeted estates are within the city; Nairobi. Estates such as Dandora, Kibera, Mathare, Korogocho, Gothogoro, Mukurwe kwa Njenga, Mukurwe kwa Reuben are some of the few given a key attention.

Kenya slum upgrading program has benefitted very few people compared to the envisaged beneficiaries. Apparently, the beneficiaries of such projects usually end up renting out their houses, this suffocates the vision of the slum upgrading program, for they find their way back into the slums. This projects achieves therefore is slum relocation, not upgrading.⁸¹

The government of Kenya in collaboration with the UN-Habitat under the project Kenya Slum Upgrading Program (KENSUP) has made some milestone in their effort to upgrade slums⁸². Currently there is the relocation of 1200 households a number that is expected to leave Soweto slums and resettle in some decent modern houses in Lang'ata. 822 housing units construction have almost been completed in Soweto, together with 245 market stalls. The government of Kenya in partnership with nongovernmental organization have been working in Kibera since 2007 designing and building sanitation facilities and public parks⁸³. Allocation of the newly constructed 691 units is also on going.

⁸⁰ Civil Society Forum, January 16, 2013.

⁸¹ **Why Slum Upgrading in Kenya has Failed by Arch. Martin Tairo**
(tairo@architecturekenya.com)

⁸² Ministry of Transport, Infrastructure, Housing and Urban Development: State Department for Housing and Urban Development.

⁸³ <http://www.Kounkuey.org>.

High mast flood lights have also been installed in a number of counties namely: Nyeri, Embu, Kisumu, Bungoma, Kilifi, Kajiado, Trans Nzoia, Tharaka Nithi, Laikipia, Kwale, Kiambu, Makeni and Homa Bay counties. Housing cooperative societies have been formed to help in the realization of the upgrading dream by constructing affordable houses. Classrooms have been constructed in Huruma, Eldoret, Amalemba in Kakamega and Mukhaveri in Bungoma. There has also been construction of some markets in some slums like in Langas in Eldoret. The government has tried to do a facelift of Mavoko and its neighborhood by constructing 462 residential units together with jua kali, primary school, police post and nursery schools.

The research takes a position in support of the slum upgrading initiative by increasing the numbers of decent houses in the slum areas. Even if the intended beneficiaries are renting them, aren't they receiving livelihood gains? Is the Real estate ownership not a definite source of income in the contemporary world, yes it is. While focusing on the previously low land/structure ownership rates in majority of slums e.g. Kibera before (8%), Mathare and Korogocho, this actually seems to be a positive step. It doesn't matter whether the beneficiaries are living in their properties or not.

Kenya has taken a couple of steps forward to eradicate slums in the city by trying to construct some decent houses in slum areas especially within the major cities. According to Syagga Nairobi has got a population of over 1.5 million citizens living in slums⁸⁴. A bigger percentage of this population lives in dilapidated environments within the city, unable to afford the basic necessities. Kenyan government has tried to upgrade the status of these slums in phases. While focusing on some of the positive developments that have taken place between 2005 and 2018 the research found out that Kenya still has a long way to go in regards to matters of slum eradication.

Mushrooming of informal settlements though can be dated back to colonial period where many African migrated to the cities in the country especially in Nairobi. This led to an influx of population of urban dwellers in the cities leading to housing crisis especially in urban centers. The governments after independence have therefore been brought to try clean up the mess and limit growth of shanties. Kenya urban slum upgrading initiative has been championed by the recent governments after a long period of

⁸⁴ Syagga, P. , Mitullah W. and Karirah-Gitau S. 2001. Nairobi Situation Analysis Consultative Report. Nairobi: Collaborative Nairobi Slum Upgrading Initiative, Government of Kenya and United Nations Centre for Human Settlements (Habitat)

neglect since independence in 1963. According to Huchzermeyer, the rise of slums and poor housing has been contributed by bad governance, poor planning since independence leads to poor living standards⁸⁵. However, some fresh impetus was injected during President Mwai Kibaki's tenure in office who then passed the button to the incumbent president Uhuru Muigai Kenyatta.

In the year 2009, Kenyan government got into an agreement for a joint programme with Italy.⁸⁶ The government was to spend sh4.4 billion in order to elevate and upgrade Korogocho slum in Nairobi. This was done in phases. First phase took ten years then the next phase taking another ten years. By the start that is in 2009 the first phase had received about sh210 million from the Government of Italy. This initiative was supported by then then deputy Prime Minister; Hon Musalia Mudavadi. According to Musalia Mudavadi, the project was going not only to improve the economic and physical status but also the social status of Korogocho residents. At the launch of the project, the Italian Ambassador Pierandrea Magistrate posited that the project's main aim was to uplift the living standards of the slum dwellers of Korogocho, citing that by so doing they are realizing of one of the then Millennium Development Goals on decent shelter and housing.⁸⁷

Later in the same year there was a kick off of upgrading of Huruma estate located in the city of Nairobi. Italy injected Ksh. 74.4 billion towards the program via Cooperation International (COOPI).The program took five years to complete not the three years as had been envisaged. Today decent houses can be seen in Huruma's Gitathura village, courtesy of this project. The government in partnership with various Non-Governmental Organizations is trying to construct decent affordable houses in an effort to flash out slums. Kenya's slum upgrading project began in the 1970s; however, the kick-off was slow. The employed mechanisms and methodologies may have contributed to the current crisis, for the government deployed; resettlement after eviction, site and sieve and also embracing UN-Habitat affirmative action. It later gained momentum in the 21st century. After the adoption and the ratification of the Millennium Development Goals as a signatory of the United Nations. Kenya's desire to elevate and improve lives of at least one hundred million persons living in slums by 2020 in accordance with

⁸⁵Huchzermeyer, M (2002) 'Evaluating tenure intervention in informal settlements in South Africa' in A. Durand-Lasserre & L. Royston (eds) *Holding Their Ground: Secure Land Tenure for the Urban Poor in Developing Countries. Earthscan, London, pp182–194.*

⁸⁶ <https://www.skyscrapercity.com/showthread.php?t=938872>

⁸⁷ <https://www.skyscrapercity.com/showthread.php?t=938872>

the MDG goal seven is yet to be realized, yet the project is two years shy away. Then Kenyan president, held a meeting with the UN-Habitat executive Director, a meeting that tried to come up with a blue print on how to implement upgrading of slums in Nairobi and other cities within the country. It also explicitly elaborated the rule of engagement between Government of Kenya and the United Nations. A year later, that is 2003 the UN-HABITAT and the government came up with an MOU that the UN Habitat would oversee all the slum development projects within the country starting with the Kenya Slum Upgrading Project (KENSUP); this covered the largest slum in Kenya; Kibera slum. The government later in the year 2005 came up with implementation and financing mechanisms by developing the KENSUP to help facilitate the implementation and the financing strategies. This was supposed to cover the period between 2005 and 2020. The targeted amount of people who were to improve their lifestyles through this project were projected to about 5.3 million citizens. The program was supposed to run in line with the MDGs time frame⁸⁸.

In the year 2008, Kenya rolled out Vision 2030, a document that outlined the trajectory line of development of Kenya. In the document, the issue of upgrading slum is one of the key issues in terms of infrastructural sector and increase of the number of decent housing.⁸⁹ The current Big Four Agenda document highlights better housing as one of the key agenda that the current regime is working on. The regime in Kenya led by the incumbent president; Hon. Uhuru Kenyatta is focusing on increasing the number of better houses within and outcast the city of Nairobi.

Kenya's 2010 constitution stipulates that all citizens are entitled to a decent housing.⁹⁰ Citizens' right to adequate housing has made governments to partner with various international development partners to realize this vision.. Notable major funders and supporters of the above initiatives are the World Bank, Agence Française de Development (AFD) and the Swedish International Development Cooperation Agency (SIDA). These sources of funds provided the government with loans and grants for upgrading of slums.

⁸⁸UN-HABITAT and The Kenya Slum Upgrading Programme Strategy Document, May 2008

⁸⁹ Vision 2030

⁹⁰Kenya Vision 2030, 2007

In 2011 KISIP was initiated, a program that targeted 15 municipalities⁹¹: Kitui, Kakamega, Thika, Garissa, Mombasa, Nairobi, Eldoret, Naivasha, Kericho, Machakos, Malindi, Nyeri, Kericho and Embu. This initiative was funded by the following international institutions as follows: World Bank-sh100 million, Government of Kenya- sh10 million, Agence Française de Development (AFD)-sh45 million and Swedish International Development Agency (SIDA)-sh10 million .Kenya slum upgrading initiative is commendable; so far change has been realized due to the positive trajectory made by the government in collaboration with other development partners. Many households have benefited from the newly constructed houses in the slum areas, business men and women have also benefitted by having conducive environment for their businesses.n.

As of 2016, Kibera slum upgrading project had managed to achieve the following: 900 housing units, a youth centre, 230 business stalls, a social hall, a nursery school, toilet blocks, three solid waste handling sheds and a boundary wall.

3.10 Conclusion

As noted above, interventions to develop slums are characterized by a shift from sectoral based projects to programs that are urban based with better housing programs. A review of both multilateral and bilateral agency policies indicates that within the more integrated comprehensive approach to slum upgrading there are seven main sectors of intervention that dominate international cooperation. The main sectors that could address the problem of slums in the urban cities include urban management and finance, management of urban land, service provision and delivery that is closely linked to the environment and public health. Other key sectors in the pursuit of urban slum upgrading are housing deliver, social issues and population, research activities, exchange of knowledge and skills and capacity building. Bilateral agencies have got an explicit convergence in their sectoral focus.

⁹¹Kenya Informal Settlement Improvement Program (KISIP)

4.0 CHAPTER FOUR: UN HABITAT AND SLUM UPGRADING IN KENYA: A CRITICAL ANALYSIS

4.1 Introduction

The main objective of the study was to investigate the role of international organization in slum upgrading in Africa via a case study of the UN Habitat's slum upgrading program in Kenya. UN Habitat as an international organization plays an integral role in slum upgrading in Kenya. It does this in collaboration with the Kenya government. This section looks at the role of UN Habitat in slum upgrading and the options that should be considered in order to improve the efficacy of slum upgrading initiatives.

4.1 Gaps in slum upgrading in Kenya

Slum upgrading is a complex operation that should be informed and guided by the local situation. Success depends on ensuring full support and engagement of local actors. Slum upgrading must be carried out holistically. Water and Sanitation is a key component of slum upgrading and in Kibera, with its high-density unplanned settlements, the situation is dire. The study established that most donor-funded projects have attempted to undertake water and sanitation interventions in the whole settlement, instead of concentrating in one area. This has resulted in ineffective allocation of resources with no visible improvement to the lives of Kibera's residents. Moreover, these large-scale projects have failed to understand the needs of the many different ethnic groups within the different ethnic villages that comprise Kibera.

Over the years Kibera receives significant investment (both physical and financial) to alleviate the poor conditions that exist with respect to water, sanitation and health.⁹² However, no significant impact had been made. The main reasons for the limited impacts are that the projects were design and implemented in an isolated manner due to lack of good governance structure, which jeopardized the sustainability and as a result there has been no replication or follow up. There was lack of well-designed demonstration projects and this led to suffocation or failing of slum upgrading project.

⁹² Marx, B., Stoker, T. M., and Suri, T. (2013). "*There is No Free House: Ethnic Patronage and Property Rights in a Kenyan Slum.*" Available at: http://www.mit.edu/~tavneet/Marx_Stoker_Suri.pdf.

Little effort was made to link sanitation to income generation and livelihood for Kibera's residents. The vast majority of water and sanitation initiatives were not integrated. Water, solid waste management, sanitation and drainage needed to be addressed properly simultaneously in settlements like Kibera if there was to be a perceivable improvement in the living environment.

4.2 The challenges faced by UN Habitat in slum upgrading in Kenya.

This study established the following challenges faced by UN Habitat in slum upgrading in Kenya.

4.2.1 Competition among NGOs

Competition among NGOs was a challenge to the slum upgrading programme. While the climate has become markedly more favorable towards NGOs and CBOs over the years, in Kenya there was criticism, political attack and even physical assault on NGOs and CBOs. As links among NGOs, CBOs, INGO, foreign donors and governments have increased, political leaders who are hostile to civil society mobilization accuse NGOs of being agents of foreign powers, seeking to subvert national development with Western ideas and strategies. In more extreme cases, the protection that NGOs enjoyed eroded during heightened political campaigns in general elections in Kenya.

Competition among NGOs and CBOs also increased as they vie for government grants and contracts. This reduced NGO solidarity and collaboration and undermined the political power of NGOs to stand in opposition to influence governments. The increasing reliance of NGOs on grant funding was a threat to the time-consuming skilled task of building up the capacities and capabilities of community organizations. Allied to this is the challenge that NGOs and CBOs face in reaching the very poor, rather than working only with those with some asset base who can be more easily be lifted out of poverty. Under pressure to meet development targets and to answer to donors and governments, NGOs and CBOs found it increasingly expedient to neglect the worst off.

The geographical coverage of NGOs and CBOs was patchy and incomplete, leaving some slum settlements, neighbourhoods in Nairobi, towns or whole regions to fend for themselves, depending upon the self-help strategies that their inhabitants can devise and on what government could provide. Nevertheless, scaling-up NGO and CBO activities could jeopardize the quality of their work. Grant funding can facilitate interventions at a greater scale but pose problems of bureaucratization as funders require increasingly complex appraisal and reporting requirements.

All this points to the need for both NGOs and CBOs to be able to prove their credentials and justify their actions. Ultimately, it is in the interest of these organizations to be ahead of the game in defining what are acceptable or legitimate activities as a means of defending themselves and increasing their legitimacy and influence. Thus, one of the biggest challenges is to make civil society organizations accountable. Yet, it is only now that this is starting to happen and performance monitoring for these organizations is still in its infancy.⁹³

The sustainability of large-scale service provision by NGOs has also been called into question by those who cite the large subsidies granted to NGOs that make the gap between private and public provision a self-perpetuating reality.⁶¹ Furthermore, with regard to NGO and CBO progress in democratization processes, while there is evidence of some success at influencing policy reform at a local level. There is little evidence that NGOs and even CBOs are managing to engage in the formal political process successfully, without becoming embroiled in partisan politics and the distortions that accompany the struggle for state power.⁹⁴

States can be adept at putting a ceiling on the types of activities that NGOs and CBOs perform, by encouraging their participation in service provision.

Accountability is, therefore, not only a means by which NGOs and CBOs can be held responsible for their actions, but also a basis upon which there can be a more fundamental question of development strategies. Accountability requires a statement of goals, transparency of decision-making and relationships, honest reporting, and an appraisal process. It can emphasize issues of probity or performance, functional accountability or strategic accountability.⁹⁵ To whom NGOs and CBOs are accountable is a complex question because they deal not only with their constituents or beneficiaries, as well as their partners, members, staff and supporters, but also with their funders, trustees and sent governments. It is this multiple accountability that can lead to either too much or not enough accountability, and the fear is that accountability may be directed away from the grassroots and towards

⁹³ Joireman, S. F. (2011). *Where There is No Government: Enforcing Property Rights in Common Law Africa*. New York, NY: Oxford University Press.

⁹⁴ Hook, W (1998). *Transport and Development Policy for the United Nations Development Program*, Unpublished draft document, UNDP. Institute for Transportation and Development Policy, New York

⁹⁵ Patel, S. (1999). 'Revisiting participation: "Win-Win" strategies in negotiations with railway authorities and squatters, Mumbai, India' *Transport and Communications Bulletin for Asian and the Pacific*, 69: 79-87

official agencies that hold the purse strings. Should this happen, monitoring and evaluation processes are likely to stress the short-term attainment of project objectives, time schedules and spending targets, with the process becoming one of auditing rather than learning. Intellectually, those who work for NGOs and CBOs are admit that money spent does not necessarily equate to development achieved, that all problems cannot be overcome through projects. That the public, the media and even their peers judge the worth of their organizations by this single, narrow measurement'.⁹⁶

Accountability is also problematic due to the nature of what NGOs and CBOs are trying to do, especially in relation to empowerment and democratization, which are hard to measure. All of this makes the development of accountability procedures a huge challenge, but one that is essential to face. When it comes to the normative implications of analysis of the non-state sector, three issues merit attention:

First, once we have escaped from the assumption that all non-state actors are benign, or preferable to states, we have to have a normative compass by which to assess these groups. The mere fact of their being 'non-state', even when we are satisfied that they are, does not answer the issue. One part of this compass would involve the attitude to the state itself and to the engagement with those positive functions that states perform. Another would be our, necessarily diverse, assessment of the policy goals of these NGOs. A third would be the very conformity of these 'non-state' entities to the democratic and good governance norms we increasingly insist on for governments themselves.⁹⁷

Within the actor groups identified (governments, donors, NGOs and CBOs), there exists inertia, resistance to change and conflict. Equally, most groups contain within them champions of change and some degree of political will to formulate and implement policies that are aimed at poverty eradication and social justice. Turning the efforts of such champions into effective and sustained change on a large scale is an enormous challenge. It is here that partnerships among donors, governments and civil society can prove to be effective, with like-minded progressive individuals providing each other with sufficient support to foster broader political will that can then be translated into lasting change.

⁹⁶ UNDP (2000a) Human Development Report 2000: Human Rights and Human Development. UNDP/Oxford University Press, New York

⁹⁷ Pugh, C (1995). 'The role of the World Bank in housing' in B C Aldrich and R S Sandhu (eds) Housing the Urban Poor. Policy and Practice in Developing Countries. Zed Books, London, pp34-92

4.2.2 Resistance to Displacement

Inevitably, evictions and displacements face resistance in many areas. The sheer size of some transport projects that accompany slum upgrading tends to bring resentment issues to public attention, and the glare of publicity may prompt better approaches. Furthermore, the common involvement of international finance agencies, companies, international consultants, construction companies and the like may provide activists with leverage, in some cases, if there is an opportunity to lobby the actors of other governments who have clout and can influence local authorities. Increased commitment to negotiating with communities who are threatened with involuntary resettlement is one of the beneficial outcomes of better security of tenure and respect for housing rights.

4.2.3 Regulatory Framework

The regulatory framework in general has a negative impact on the livelihoods of slum dwellers in Kenya as it is complex, bureaucratic, inefficient and prone to corruption. Slum dwellers usually operate on the outside of the regulatory frameworks as majority of their activities, whether economic, social or political, take place outside of the official, ‘formal’ sphere. For instance, there are over 30 statutory land acts addressing land issues making procedures to acquire land unnecessarily complex. These need to be simplified if slum dwellers are to gain more secure land rights.

Therefore, the GoK has to have the political commitment to begin a process of transforming the regulatory frameworks more favorable towards the ‘informal’ activities of slum dwellers. What is also important is that proper decentralization policies are implemented that ensure that local authorities have the necessary financial and human resource capacities to carry out their new tasks.

4.2.4 Lack of funds at County Governments

Cities in Kenya such as Nairobi, Kisumu and Mombasa face a bewildering array of challenges in their efforts to deliver services, especially to the poorer segments of their inhabitants. These challenges, many of which are inter-linked, are as much a reflection of poor governance as they are of diminishing resources. They include poorly defined and ineffective inter-governmental fiscal relations, sometimes due to the reluctance of governments to decentralize, and sometimes due to lack of capacity in dealing with complex inter-governmental arrangements that confound bureaucracies in even the most developed countries.

In the absence of a clear and effective framework for inter-governmental relations, municipal authorities in developing countries have not been able to craft appropriate municipal finance policies. The result is policy drift, often characterized by ad hoc decisions. Thus, city administrations stumble from crisis to crisis, unable or unwilling to map out long-term development paths for municipal finance. Declining resources at the municipal level are the result of many factors. One is the fall in financial transfers from the centre, the result of poor macro-economic performance and decreasing per capita tax revenues at the disposal of the state.

Another is a narrow tax base at the county government level as a result of deepening poverty. Another is the limited capacity of county governments to collect local taxes, user charges and other fees. Formal privatization of municipal services, including commercialization, has brought to the fore a number of challenges. Political elites feel threatened by the loss of existing channels of patronage, especially where either the management or ownership of municipal assets is transferred to the private sector; weak regulatory regimes mean that municipal authorities are not able to regulate the behaviour of private firms, raising the risk of excluding poor households through higher prices for services, and risking reduced quality, reduced safety of service and poor employment practices; and the perception, often wrong, by municipal authorities that privatization will deprive them of revenue sources.

4.2.5 Corruption

Corruption undermines slum upgrading and it has substantially distorted decision-making within county governments, severely limiting their ability to respond to city priorities. Rent-seeking by officials most negatively affects the poor, who typically do not have the resources with which to pay bribes, while they are more likely to be required to bribe or to be subject to harassment because of their vulnerability. Corruption has diverted substantial resources away from County budgets for the development and maintenance of services. The combination of corruption, poor administration and incompetent financial management has sapped the ability of municipal governments to meet the needs of their constituents.

In addressing inter-governmental fiscal relations, the starting point should be to acknowledge that finance follows function. In other words, if the political commitment to decentralize exists, the state must ensure that the functions devolved to municipal governments are accompanied by the requisite quantum of resources. Where there is no match between finance and function, decentralization remains within the realm of rhetoric.

4.3 Proposed approaches to address the identified Gaps and Challenges

4.3.1 Introduction of A database to Track Beneficiaries

There should be a database of the beneficiaries of the slum upgrading initiatives that are being undertaken. This will reduce cases of replication of slums in other towns or estates. The database should capture family details of all the beneficiaries of the initiatives, these includes their names, sizes of their families, their economic activities, their rural home and/or where they were residing before they moved into slums, their level of education, the general family income per each family and any other personal information that might be deemed beneficial to the UN Habitat and the government and in their program of slum upgrading.

The information gathered should assist the government to be able to see how best to empower the people residing in slums, government can do this through capacity building in form of teaching them some technical skills like masonry, tailoring, plumbing, agribusiness, and other entrepreneur skills according to their levels of education.⁹⁸ This will make them self-reliant and be able to improve their general living standards as they are resettled in modern houses. By having a database of who benefited from slum upgrading initiative, cases of replication of slums will reduce. For there are some people who have a habit of moving from one slum to another slum, or another area and start living in dingy places in shanties which eventually sprout into slums, yet they might have benefitted from the slum upgrading program, but rent out the house allocated to them. With proper databases, the government will be able to track them and arrest them. This will reduce cases of mushrooming of slums in urban centers.

4.3.2 Ban Resale of Houses Constructed in Slum Areas

As a way of promoting decent housing in urban areas, the government should totally ban resale of modern houses set up in slum areas as a way of slum upgrading. The government can do this by expressly declaring to the owners of the constructed houses that they are not obliged to sale houses allocated to them once they are complete and habitable.

⁹⁸ The urban future: An East African Perspective., August 2012

Those found selling and / or buying or buying these houses should be arrested and taken to the court of law. This will reduce cases of eruption of more slums, for some beneficiaries' sale of their houses then relocate to other areas and start putting up other slums in a total different location. This makes them to be perpetually vagabonds and remain in squalors forever.

4.3.3 Consider putting up high-rise buildings.

The UN Habitat should consider putting up high-rise buildings when constructing urban houses for the people who reside in slum. High-rise buildings are quite economical in utilizing space, for they use less space and accommodate many people compared to building that are not flats. UN-Habitat together with the Kenya government should come up with a construction policy that only allows construction of high rise building in areas that are fit for such structures.

4.3.4 Put up Temporary Decanting Sites

Whenever transferring people to other places in order construct decent houses in areas which hitherto were occupied by slums, UN-Habitat should put up temporary decanting sites, this is because if decanting sites are permanent structures occupants of such houses often are reluctant to relocate once the construction of modern houses where slums were before are complete. UN Habitat should therefore not make decanting sites permanent and decent.

It is worth noting that some of the above practices have been used in some countries like Brazil. The results led to drastic reduction of the number of slums in this country. This has spurred growth of Brazils GDP, this translates to improved living style among all the people who reside in Brazil as a country. Therefore, these practices should be embraced by Kenya for there to be full maximization of the resources which are found in Kenya.

The proposed intervention by UN-Habitat constituted 3 phases. The identified gaps and challenges were to be immediately addressed in the first phase by demonstrating physical infrastructure improvements within the selected project area, linked to income generation. At the same time pro-poor governance structures were to be developed. This would positively impact by building confidence amongst the recipient communities. The second phase would focus on refining the governance structures developed and stimulating investment from all sources. The third phase was to be full-scale replication and scale-up in the selected communities.

Through this initiative UN-Habitat aimed to mobilize resources in an efficient and timely manner to implement integrated water and sanitation projects under a governance structure that is conducive to expansion and upgrading. Based on UN-Habitat's current activities, the KUSP Program and the UN-Habitat Vacutug project, the initial intervention was to be carried out in the Kibera villages of Soweto and Laini Saba. A two-year project duration was envisaged. The physical infrastructure work was to be undertaken with labour sources from the recipient communities.

4.3.5 Communication

UN-HABITAT emphasized communication as an essential tool to effective and efficient interventions within KENSUP. This applies to communication at all levels, both internal and external. Firstly, good communication internally within UN-Habitat is important in order to avoid duplication of tasks, to ensure UN-Habitat presents itself as a unified front to its outside partners, as well as to ensure constructive exchange of ideas and information within the organization. All of these can be facilitated with regular KENSUP meetings with all the staff present, as well as exchanges of update e-mails and informal discussions. Secondly, KENSUP promotes efficient and effective communication with all of its partners, starting at the Ministry of Housing to the participating communities. It is necessary to have regular meetings with the KENSUP Secretariat at the Ministry of Housing aimed at keeping both sides up-to-date with developments in the program.

Further, it is necessary to keep the concern communities and the local authorities well informed of all the developments in the projects, in order to maintain their commitment. It is evident that the concern communities and the local authorities are key stakeholders in the program and therefore, it is their right to be fully informed. It is recommended to have UN-HABITAT staff based on the ground, which enables them to be in a position to be able to respond to emerging queries and issues. Moreover, legitimate mechanisms and structures should be created in each of the project components that allow for regular communication between all the partners, including an avenue where all the partners are able to freely voice their concerns.

4.3.6 Good Governance

UN-Habitat recognizes that good governance is a prerequisite for successful slum upgrading interventions. Governance refers to the relationship between civil society and the state, to the process of decision making and the process by which decisions are implemented. Government is only one actor

in the governance relations, and hence, governance commonly refers to the relationship between civil society and the state central to it is the idea of credibility, of the governing institutions and their representatives

4.3.7 Gender Awareness

A gendered awareness is vital for the understanding of how urban societies function as gender divisions are found at every level of any society. It is accepted that men and women use and experience urban areas differently. Gender is understood to refer to the social relations between men and women, women and women, and men and men in a given society, meaning that these relations are context specific. However, gender relations do not exist in a vacuum but they intersect with other social relations, such as class, ethnicity, age and race. Gender relations are socially constructed and they do not remain fixed but are constantly being recreated and redefined.

If UN-Habitat's interventions are to be successful, they have to cater for the different needs and interests of both, men and women. Hence, it is recommended that gender awareness must permeate all of the activities of the program, and it should not be dealt with as a separate 'women's category'. For instance, men and women use housing differently due to their diverse roles which translate into different needs in housing. If a housing project is to benefit both men and women, a clear understanding of the different gender roles and strategies is needed.

4.3.8 Partnerships

Slum upgrading requires partnerships of all the key urban stakeholders in order to have a lasting impact. It is important that relevant governmental departments learn to coordinate and collaborate. Further, there is a need to balance the interests of the local and central government to address the often-problematic relationship between them. This is all part of striving towards good governance.

UN-HABITAT acknowledges that public private partnerships in urban services are essential when we realise that the public sector and the NGOs cannot meet all the needs of the urban poor. The public private partnerships between government and the private sector do not imply that government retracts from its role in urban community development, but rather, redefines its role in an arrangement where the work of the public sector is complemented by that of the private sector and vice versa. KENSUP

can be an important tool in facilitating these types of partnerships as they tend to bring about a more beneficial type of development for all parties involved.

The government should work closely with the UN Habitat to see to it that the slum upgrading initiative accommodates all the stakeholders before rolling down the whole project of slum upgrading. The stakeholders in this case includes the people who reside in these slums, financial institutions like banks, Non-Governmental Organizations, Community Based Organizations that are found within these slums, research institutions, Family Based Organizations, private sector, media, professional bodies like Architectural association of Kenya, housing cooperatives, development agencies , county governments, religious bodies like Supkem, National council for churches in Kenya (NCCCK). This therefore means that unless the exercise all inclusive, it might not yield the result as expected. This is because all these agencies and organizations represent a certain percentage of the residents who reside in these slums. Unless their input are addressed the people who are to benefit from the slum upgrading projects might feel sidelined and their grievances not addressed, instead they might consider the initiative as a project that is being imposed on them without asking them how best they would like to be assisted and be part of slum upgrading initiative which directly benefits them. If the slum upgrading initiative is to be effective, UN-Habitat should consider the following,

4.3.9 Inclusive Participation

UN-HABITAT emphasizes that all urban actors who have a stake in slum upgrading are involved in the process. Particularly, UN-HABITAT attempts to ensure that community members are involved in slum upgrading as this is considered as their basic right, as they must have a say in urban processes that shape their lives. KENSUP attempts to ensure that relevant community members are in charge of all stages of the project. KENSUP pays particular attention to those who have been previously excluded and those who lack formal representation.

For example, during the socio-economic mapping in Mavoko, separate focus group discussions and interviews were held for men and women in order to ensure that women did not feel intimidated in disclosing issues affecting them. The aim of KENSUP is inclusive participation that acknowledges the diversity of actors and does not view the communities as comprised of homogenous interests. The ultimate aim of participation is empowerment, capacity building and sustainability.

4.3.10 Capacity Building

One of the main aims of KENSUP is to build the capacities of (a) the local communities to take control of their development; and (b) the local authorities to deliver basic urban services and in general respond to the needs of their constituents in a participatory manner. Hence, KENSUP recognizes the need to build the capacities of both, the community sector and the local government to achieve sustainable interventions.

More importantly, UN-Habitat recognizes that there is a need to address the relationship between the community and government sectors because this is the only way capacity-building efforts can be sustainable. It is acknowledged that there is a need for favorable institutional structures if true social change is desired and that it is not possible to rely solely on the community sector or the government actors, but rather, there is a need for cooperation and synergy between them.

For instance, in the Sustainable Neighbourhood Programme in Mavoko, training in sustainable house construction, cooperative formation, and business development form an integral part of the programme. The training will enable community members to manufacture cheap building materials, build their own houses and participate through mutual aid in the construction of services and infrastructure. In addition, the programme recognises that housing construction and development require financial investment, which slum dwellers generally cannot afford due to their low incomes and high prices for land and therefore, it trains community members in cooperative formation and management.

4.3.11 Empowering Community Members through Cooperatives

Joining cooperatives allows slum dwellers to access housing finance that is usually beyond their reach as conventional housing finance mechanisms do not favour the urban poor as they do not allow for incremental, self-help housing solutions. Forming cooperatives is also recommended as they are highly participatory in their management; they are good entry points for other shelter related issues, such as sanitation and waste management; and because a cooperative allows collective land acquisition, useful partnerships are likely to emerge with local authorities in the provision of services.

When dealing with communities and cooperatives, it is of paramount importance to include a specific focus on women, their needs and roles in housing and infrastructure development and service provision. In low-income neighborhoods, women predominantly remain the managers of homes and

neighborhoods, and the providers of services and hence, their involvement is crucial. UN Habitat should encourage beneficiaries of slum upgrading programs to be owners of the constructed houses. Together with the Government, UN Habitat should encourage residents of the slums to be part of the construction of modern houses through participating in the real construction and contribute some money in order to own the houses constructed in slum areas. This is one of the ways government can use to guard against misuse of donor funding. Inclusiveness is paramount in realization of any sustainable development.⁹⁹

4.3.12 Delegated Decision-Making

A key concept of KENSUP is that of delegated decision-making, which means getting decision-making focused to the lowest level, which is compatible with efficiency and equity goals. This requires a much greater role for local authorities, often to the distrust of the central government. The principle of delegated decision-making seeks to guarantee accountability and efficiency in the delivery of services. Capacity building is important in this context so that the local authorities are capable of taking care of their new responsibilities and this is the rationale of why KENSUP has such a strong emphasis on the capacity building of the local authorities.

Additionally, delegated decision-making leads to new forms of partnerships between central and local governments, and between local governments and communities. Apart from social benefits inherent to this approach, the economic benefits are obvious. It can draw on local knowledge, expertise, insights and solutions to address locally identified priorities. A neighbourhood-scale project can be designed, initiated and implemented in a shorter time frame and with significantly enhanced degrees of local participation than larger scale initiatives. Its benefits can be reaped sooner and this represents in itself a saving both in time and in other resources.

4.4 Conclusion

The study observes that the Millennium Development Goals in the world slums is unlikely to be attained if upgrading policies do not recognize community participation as a core and critical component of slum redevelopment. In this regard, slum upgrading provides a solid foundation upon which this particular

⁹⁹ GoK Harmonius urbanization: The challenge of balanced territorial Development: a Kenya Country Report, presented at the Fourth world Urban Forum 2008 Nanjing, China.

right can be realized¹⁰⁰ Slum upgrading should be done systematically and in a humane manner, this is the only to avoid housing problem.

Slum upgrading is necessitated by the existence and emergence slums and informal settlement in Kenya and in other states in the international system. Unplanned urban settlements are evident in most cities in the developing countries that are experiencing rapid population growth. The appearance of such settlements has been a consequence of the intense urban population growth causing high pressure on urban services including housing. As a result of population pressure in the slum areas, there have been poor services as well as deteriorating housing condition

5.0 CHAPTER FIVE: SUMMARY AND CONCLUSION

5.1 Introduction

This study set out to examine the role of international Organizations in slum upgrading programs in Africa, to assess the contribution of the UN Habitat in slum upgrading in Kenya and to assess the challenges faced by UN Habitat in slum upgrading in Kenya. This chapter summarizes the findings of the study and presents the conclusions and recommendations of the study.

5.2 Summary

UN-Habitat's activities within KENSUP have had a multiplier effect in Kenya. The support of UN-habitat and other donors has helped to increase the GoK's political commitment to slum upgrading. The GoK now has extensive KENSUP Implementation and Financing Strategies. KENSUP has improved the awareness of the urban stakeholders that there is a need to change the living conditions of people living in slums, that it is not acceptable anymore that a majority of the urban population lives in extremely poor conditions.

The objective of the slum upgrading programme in Kenya was to improve overall livelihoods of people living and working in slums through targeted interventions to address shelter, infrastructure services, land tenure and employment issues, as well as the impact of HIV/AIDS in slum settlements. The process started with the preparation of programme documents, which outlined the elements of the programme, institutional arrangements and a logical framework for implementation.

In making its conclusion, the research established that the urban slum upgrading in Kenya is too serious issue to be left to the UN-Habitat alone. Other stakeholders should also step-up on their role to ensure that people in the slums stay in decent residences. Funding and accountability of such projects should be paramount so as to optimize the strengths and minimize failure. The United Nations too should think of how to increase funding of the UN-Habitat, for finance is a major blow to realization of this goal 11 of SDGs.

The research further observed that there are several constraints that prevent the slum upgrading in Kenya. In this view the constraints ranged from poor governance, inadequate financing and lack of strong institutions for project implementation are embedded in the slum upgrading policy

implementation. There are however opportunities for the Government of Kenya to overhaul the policy implementation process to ascertain success in future slum upgrading projects.

The study further established that the UN Habitat is an instrumental actor in advancing complementary input in slum upgrading. The study observed that the UN Habitat has contributed to slum upgrading program in Kenya by providing technical input, financial resources and international networking. The study observed that the contribution of UN Habitat has enabled the government of Kenya to realize its core objectives in slum upgrading as attested in Kibera, Soweto and Korogocho. The UN Habitat therefore is an international actor to fully engage in slum upgrading project for the purpose of financial mobilization and technical input. The partnerships with other international stakeholders should be explored to include the regional organizations from the donor countries and the individual donor community member states.

The study established that the main challenges encountered by UN Habitat in slum upgrading in Kenya are competition among NGOs, resistance to displacement, weak regulatory framework, lack of funds at county governments and corruption. The proposed approaches to address the identified gaps and challenges include: introduction of a database to track beneficiaries, ban to the resale of houses constructed in slum areas, consider putting up high-rise buildings, put up temporary decanting sites, communication, good governance, gender awareness, partnerships, inclusive participation, empowering community members through cooperatives and delegated decision-making.

5.3 Conclusion

The study concludes that UN Habitat is playing an integral role in slum upgrading in Kenya. However, if this program is to be effective, there is need for different organizations both domestic and international to come together and work as a team. This is because slum upgrading is a menace which is quite complex and it requires a strategy to address it. It should also be noted that if the upgrading is to attain the expected results, input of the residents of these slums should be put into consideration when the upgrading is taking place. The slum dwellers should be given an opportunity to fully participate in the whole process of upgrading. This plays a role in owning up the project, and they will easily embrace the project unlike if they are expected to relocate to modern houses once they are complete without being involved in the whole process. They would feel that the whole project is being imposed on them.

5.4 Recommendations for Policy Development

5.4.1 Funding

The UN should address the issue of financial constraints and underfunding within the UN-Habitat. Housing is among the basic needs of any human being in the world. A review must be undertaken of the existing resources and assets and once this is completed, there is a need to consolidate the funds under a common budget. The KENSUP team require assistance from the SUF team in drafting an elaborate financing strategy for KENSUP that is innovative and sustainable. This must include a new fundraising strategy on how to raise new funds for the programme. Based on the task expected to be carried out by the UN-Habitat increased funding is relatively essential, failure to which then collapse will become inevitable. New and traditional donors should also help support this agency.

5.4.2 Lending instruments

The study recommends that lending institutions should devise lending instruments that are more attractive to borrowers. Examples include low start or progressive mortgages, which work well where the borrower's income increases over time; fixed interest loans that insulate the borrower from the adverse impacts of rapidly changing interest rates; low down payments and, therefore, high loan-to-value ratios, making it easier for the potential borrower to access loans; and loan guarantees that aim to reduce the risk of defaulting. Governments generally have to intervene in the form of creating housing loan bodies, institutions or instruments, or in providing guarantees, not just in the developing world, but practically everywhere.

5.4.3 Housing Subsidies

The study recommend housing subsidies should be provided to slum dwellers. The potential beneficiaries should be means-tested to ensure successful targeting. Financial subsidies should be tied to the household and not to the dwelling, and should be regularly reviewed or tapered off, so that households receive the majority of the benefit when they most require a house. Secondly, subsidies should promote horizontal equity, which calls for equal treatment of households in similar circumstances, while they should be progressive, varying inversely with income. Thirdly, subsidies should be designed so that they distort housing markets as little as possible and cannot easily be directly appropriated by landlords or developers.

5.4.4 Curb Corruption

The study recommends that government should come up with measures to curb corruption. To counter poor revenue collection, it is necessary to build the capacity of county governments by using a variety of interventions: training staff; introducing better methods of financial management and control; and updating valuation rolls of landed properties. However, this managerial approach to ‘fixing’ capacity problems has its limitations, especially where corruption abounds, and these measures are only effective and sustainable where good governance prevails. Fighting corruption requires political will and a reform minded government. Four areas of reform that are acknowledged as important are reducing the discretionary power of public officials; enforcing anti-corruption laws; reforming the public service; and increasing the accountability of government to citizens. Decentralization could also help to curb corruption by pushing decision making responsibility down to the levels at which people can more control their agents, or at which peer monitoring can operate.

5.4.5 Empowering Community Members through Training

To achieve sustainable urbanization of the slum, the study recommends training of community members in practices, such as construction, water supply, sanitation and solid waste lies at the core of this programme. The training will enable them to manufacture cheap building materials, build houses and participate through mutual aid in the construction of services and infrastructure. For instance, in Mavoko, the aim is to increase the skills and capacity of low-income communities in plumbing and sanitation, infrastructure development, waste management and the production and use of eco-building materials. Additionally, low-cost builders’ associations, and construction and assets committees are established in order to ensure sustainability. Community members should also be assisted in drafting business development plans towards setting up small-scale enterprises. The ultimate aim of the training is to empower community members to start up income generation activities (or to support already existing activities)

5.4.6 Strengthening Civil Society

Central and local governments have been unable to provide shelter and related services for the growing number of slums. Therefore, a crucial idea is the sustainable strengthening of the civil society. There is a need to empower and enable people to organize themselves to take charge of their own needs related to housing, services and infrastructure. The institutional sustainability of the different projects is achieved through the establishment of project management committees that will monitor and coordinate

the implementation of project activities at the local level. It is important for communities to organize themselves to be involved in the construction, operation, and maintenance of the facilities provided in order to gain maximum benefits and ensure that all running costs are met.

It is essential that communities appreciate the role of sound management to ensure sustainability of interventions. It is necessary to provide training for groups taking part in such committees. Ideally, each participating neighborhood will establish its own project management committee, a building association, a water management committee or a solid waste management committee, and eventually all neighborhoods will be united under umbrella associations representing all low-income neighborhoods.

5.4.7 Partnerships

United Nations Human Settlements (UN-Habitat) should intensively develop partnership with other international organizations so as to coordinate actions and implementation of sustainable urban development. The Kenyan government should also seek to partner with other organizations interested in the eradication of slums. This will help the government to prioritize on more important projects beneficial for slum dwellers in Kenyan Urban centers; this will help the government to come up with better policies and implementation ideas.

5.5 Recommendation for Further Research

The study recommends further research on the effect of devolution on slum upgrading. Further study on the role of county governments in slum upgrading will complement the findings of this study by providing insight into means through which inter-governmental relations between central and county government can address the challenge of informal settlements.

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Appendix 1: Questionnaire

This questionnaire is intended to solicit information about the role of international organizations in slum upgrading in Africa: A case study of UN-Habitat in Kenya.

Section A: Biodata

Interviewee position	
Age	
Length in current employment	
Level of education	

Section A:

1. What is the input of UN-Habitat in slum upgrading in Kenya?

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2. Do you think there is adequate input in supporting slum upgrading in Kenya?

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3. What are the achievements of UN Habitat in advancing slum upgrading in Kenya?

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Section B:

1. What are the gaps in slum upgrading in Kenya?

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2. How does UN Habitat intend to address the above gaps?

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Thank you.