FACTORS INFLUENCING IMPLEMENTATION OF INFORMAL SETTLEMENTS IMPROVEMENT PROJECTS IN KENYA: A CASE OF LAND TENURE SECURITY PROJECT IN SHAURI MOYO, KISUMU COUNTY

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A Research Project Report Submitted in Partial Fulfillment of the Requirements for the Award of the Degree of Master of Arts in Project Planning and Management, University of Nairobi

2019

DECLARATION

This research project report is my original work and has not been presented for an academic award in any other institution.

.

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This research project report has been presented for examination with my approval as a University Supervisor.

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DEDICATION

I wish to dedicate this research project report to my loving and caring parents Mr. and Mrs. Ndung'u, for their financial, intellectual, and moral support; for nurturing me and reserving nothing towards empowering me to this level. I also dedicate my work to my brother P.N. Githinji for encouraging me.

ACKNOWLEDGEMENT

I would like to acknowledge my project supervisor Dr. Mercy Mugambi for never giving up on me throughout this journey and for her support, time, and personal interest in my work so that I can achieve what I had set forth. I did not take her commitment for granted, but rather I valued her commitment highly, I appreciate that it was indispensable and that without it the research objectives could not have been achieved.

I wish to acknowledge the support of my instructors at the University of Nairobi in the Department of Extra Mural Studies for their great support over my pursuit towards this degree.

I wish to acknowledge the support of Planner S. Odhiambo of Jooyato Surveys L.T.D for his constructive critique and for helping me obtain whatever information I needed from the County Government of Kisumu Lands and Planning Department as well as the management KISIP Kisumu County Office.

I also wish to recognize the support of my tight-knit circle of friends, and class group members; Diana Mageria, Rita Oswana and Elijah Mwaluko for their corporation and dedication to our group activities all through 2017/2018; they have been a pillar of my success.

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ABBREVIATIONS AND ACRONYMS

AFD	Agence Françoise de Development
CBO	Community Based Organization
CoK	Constitution of Kenya
CUNY	City University of New York
ESMF	Environment and Social Management Framework
GARE	Government Alliance on Race & Equity
GoK	Government of Kenya
KISIP	Kenya Informal Settlement Improvement Project
MoLPP	Ministry of Lands and Physical Planning
MoTIHUD	Ministry of Transport, Infrastructure, Housing and Urban Development
NGO	Non-Governmental Organization
PBO	People Based Organization
SDGs	Sustainable Development Goals
SEC	Settlement Executive Committee
SIDA	Swedish International Development Agency
SIP	Settlement Improvement Project
SPSS	Statistical Package for Social Sciences
UN	United Nations

ABSTRACT

The development of informal settlements has become visible with the increasing rate of urbanization. The informal settlement residents often invade into government owned lands – squatting - which translates to lack of land tenure security for the residents. These results in little to no tangible investment in infrastructure needed within these informal settlements therefore, making implementation of informal settlements improvement projects infeasible. Consequently, the dwellers continue to live in degrading conditions. The study aimed at identifying the factors that influence the implementation of informal settlements improvement projects in Kenya using the Land Tenure Security Project for ShauriMoyo informal settlement, Muhoroni sub-county, Kisumu County as a case.The study examined community engagement, land use planning, political will and development agencies as vital parameters that influence implementation of informal settlements improvement projects in Kenya. The study survey was descriptive in nature. Questionnaires and interview guides were used to collect primary data. From a target population of 900 a sample population of 90 was arrived at using Nassiuma's theory of sampling. The sampling procedures used were stratification where the target population was grouped into homogenous strata. Thereafter, purposive sampling was used to identify the officials involved in project implementation to interview and systematic random sampling was used to identify the household heads to administer questionnaires to. The Statistical Software for Social Sciences (SPSS) was used to code and analyze data collected and present the findings. Quantitative data was analyzed through descriptive statistics calculated as proportions, frequencies and percentages: with Pearson's correlation used to determine the strength and direction of association at 0.01 level of significance while multiple regression analysiswas used to establish cause and effect relationships between the variables. Qualitative data was presented through thematic narration in line with the literature review. Results from quantitative data were presented in a tabular form. The findings indicated that the four variables studied were significant predictors of implementation of informal settlements improvement projects in Kenya. Additionally, the four variables account for 96% of the implementation of informal settlements improvement projects. Land use planning was found to be the most significant factor followed by community engagement in influencing implementation of improvement projects. Political will was found to be averagely significant with development agencies seen as the least significant factor in influencing implementation of improvement projects. The recommendations for the study were to engage the community in a robust manner at every stage of the project cycle alongside using them as a labor source over project execution. Secondly, pursuit of land tenure security should be used as a means to attain settlements improvement as it grants community protection from eviction and enables concrete developments to be undertaken. It is recommended that KISIP in their improvement efforts involve the political class from the onset and sell the benefits of the efforts to them for increased governmental support. Feasible financial plans should be developed in order to obtain adequate funding from development agencies and states should negotiate with development agencies on conditions to minimize restrictions and pursue projects that states desire.

CHAPTER ONE

INTRODUCTION

1.1 Background to the study

The main goal of a research study is to have a solution which on implementation effectively meets the needs and solves the problem for which it was developed. In that regard, the eventual success in implementation of a given project is paramount for all stakeholders. In light of this, the intended benefits are realized and problems of the target community eradicated. Morris (1990) observes that delays in implementation and completion of public projects may result to low returns on capital investment therefore, undermining the productivity of these projects.

Zouaghi and Laghouag (2012) noted that every project is unique in nature and faces varied challenges such as: resource constraint, inadequate time, poor management and high costs. The project implementation process is guided by a detailed plan that takes into account twain factors; internal and external; that influence the project. This helps to mitigate any risks and appropriately make use of the opportunities and strengths. Any project is deemed successful if it is implemented within agreed time frame, acceptable quality and budget (Mbamali, 2005). However, projects are often not completed on time and in some cases the completed projects are of underwhelming quality thus not achieving their purpose effectively (Sambasivan and Soon, 2007). This calls for the project management team, which is responsible for planning, execution, controlling and directing the project activities and resources; to do so in an organized and quality manner so as to make project implementation a success (Bhatti, 2005). It is for this reason that identification of factors influencing implementation of informal settlements improvement projects becomes essential.

Informal settlements improvement projects are implemented for socio-economic benefit. Some of the major benefits include: infrastructural development, development of utility lines such as water points and electricity lines; to facilitate mobility through road improvements, and enhancing security of tenure for residents due to issuance of title deeds. Chandra (2012) alludes that such developments lead to socio-economic development. In this regard, failure to implement such projects not only delays economic development but also affects accessibility to crucial amenities.

Urbanization is observed to be happening at a fast rate. Studies indicate that approximately 50% of the world population dwells in urban centers. Further, its projected that by 2050 most of the

regions in the world will be urbanized. Much of the increasing urbanization is projected to take place within developing countries particularly within Asia and Africa by 2050. Studies have portrayed plenty benefits of urbanization particularly for developing countries. However, in most of the countries in the developing world, urban growth is greatly characterized by the expansion of settlements that are unplanned (CURI, 2012). Low-income groups have invaded public or private land which they have no secured and legalized land tenure, are not in line with planning regulations and respective regulations by local authorities and other relevant bodies in areas where they are situated (Abbott, 2001).

Noteworthy, one-third of urban dwellers in developing countries live below the poverty line. These dwellers are seen to reside within informal settlements, residences that are relatively disadvantaged in comparison to other dwellings within the urban areas. This is contributed by the lack of land tenure security, high poverty levels and unemployment of victims of rural-urban immigration. The informal settlements are characterized by the lack of infrastructure, inaccessibility to basic social services and socio-cultural conflicts (Desai and Pillai, 2002).

In the developing world, the number of urban poor who dwell in informal setups stands at over 300 million. This translates to a population of about 200 million in Asia, 50 million in Latin America, and over 60 million in cities of the African continent (Sandhu, 1989). It is estimated that in Sub-Saharan Africa alone, over 60% of the urban dwellers live in informal establishments with only an approximated 23.5% residing in decent urban dwellings. Additionally, East Africa is observed to be the least urbanized sub-region in Africa. Of concern, is the relatively higher percentage (65%) of urban population living in informal establishments. Further, the growth rate of informal settlements within the region is 5% higher than that of other regions in the world (UN HABITAT, 2010). Building resilient communities within the informal settlements through integration of urban network, infrastructure and livelihoods projects would help unlock the potential in the African informal settlements as they help address multiple issues and risks (Khan, 2018). Many African governments in the past have been observed to undertake single-sector interventions in order to improve the informal settlements and facilitate services provision; a strategy that would be identified as cause for low success rates in implementation of informal settlements improvement projects.

Informal settlements in Kenya are expanding at an unprecedented rate resulting from high rates of rural-urban migration in search of employment and additional opportunities that urban centers offer. In Kenya, 40% of the population resides in urban centers, 70% of which live within

informal settlements. The outcome is that local authorities and the government are challenged with planning and directing the growth and expansion of these urban areas alongside providing sufficient services and infrastructure for the growing urban population. These resultant adverse consequences of urbanization are certain to persist and to an extreme extent become irreversible if the existing inconsistency between demand and supply of services in urban areas persists.

Needless to say, the rise of informal settlement should be observed as a failure of both policies and strategies. In this regard, the governments and policymakers should create policies and strategies to curb this menace. This includes the provision of adequate and affordable housing and provides support to help alleviate poverty levels. At the national level, decentralization should be pursued to minimize rural-urban migration thereupon, preventing congestion of prime cities which accounts for mushrooming of informal settlements. Decentralization is more effective as opposed to direct migration control measures (UN Habitat, 2008).

Over the years, informal settlements have experienced a verifiable process of metamorphosis kicking off with retraction of essential services by the corresponding entities to those governments accepting that they are socio-economic entitlements and should be backed to advance, through provision of necessary infrastructure and amenities (Abbott, 2000). It is in this regard that efforts have been pursued by Governments and International Development Agencies towards countering expansion of existing informal settlements, preventing uprising of new ones and improvement of the existing ones. Unfortunately, these authorities have failed to accomplish their mandates in an effective manner leading to collapse of most of the projects. Some of the identified cases in the past include: informal settlements improvement programs where, the slums demolitions displaced the dwellers without offering an alternative solution and thus with time, the dwellers invaded the land again making previous efforts futile. Additionally, often the publicly funded slum improvement projects did satisfy the needs of its intended population but otherwise catered only for the middle and high income earners; thus, the urban poor continued setting up new informal settlements to meet their needs (Diang'a, 2011). Also, many informal settlements improvement projects are also seen to only target improvement of housing thus deprive other slum livelihoods such as socio-economic status of the poor hence persistence of the poverty structures which contribute greatly to development of informal settlements (Gong and van Soest, 2002).

This notwithstanding, the UN Habitat estimates that between 2000 and 2010 there has been a decline in poverty levels among people living in informal settlements in developing countries

from 39% in 2000 to 32% in 2010. Despite the improvements arising from the various efforts, the situation still remains grievous. This therefore means that the successes achieved have not been adequate to counteract the fast rate of invasion of informal settlements and the unsuitable living conditions (UN Habitat, 2010).

The rise and propagation of informal settlements in Kenya and to be specific Nairobi began during the colonial period. The natives were relocated into the then native reserves in the periphery of the city by the advent of the settlers from European (Diang'a, 2011). On realization of independence, the new government took over the existing land laws and urban planning standards already developed by the colonialists. The laws were however unsuitable in housing the rapid urbanization post-independence. There were efforts by the government to settle the landless citizens through land adjudication. Nevertheless, the available land was not commensurate to the demand and thus the mushrooming of informal establishments (Karanja, 2008).

According to Diang'a (2011), past endeavors of resolving the housing problem trace back to 1967, upon the development of the Housing Policy for Kenya through Sessional Paper No. 5 of 1967. This made provision for the disintegration of informal settlements and in their place, the development of state funded housing for rent. Additionally, the inevitability of informal establishment was recognized by the GoK as early as of the year 1970 when the 1970/74 National Development Plan was formulated. The development plan proposed postponement of demolition of slums until the issue of inadequate housing was resolved. Despite these efforts, there have not been any radical changes in ordering of the city since. The rigid housing development guidelines alongside the prevailing economic burdens also made it difficult to design these plans. This has contributed to continued propagation of informal settlements. These settlements are a reaction of the people to the unmet needs from rapid urbanization, poor living conditions, inaccessibility to secure land tenure and lack of adequate affordable housing. In turn, this has led to degeneration of basic social amenities such as sanitation and water supply. Moreover, available social infrastructure such as education and health facilities does not adequately cover the available population and thus congestion. Informal establishments are characterized by: houses of poor quality, insecure residential status, overcrowding, open sewers and non-developed drainage systems (Diana, 2013).

The Government of Kenya in liaison with donor and other strategic partners strives to improve the state of informal settlements. The Kenya Informal Settlements Improvement Program

(KISIP) is a sub-autonomous entity that seeks to improve the state of municipalities and convert them to centers of economic development. In addition, the entity signifies the government's mandate to eliminate the unbearable living conditions in these regions. KISIP encompasses various projects that are in line with Kenya's Vision 2030 with its diverse development agenda, the constitution of Kenya and most recently the building bridges initiative that strives to create affordable housing units for residents.

Kenya Vision 2030 is a government development program that runs from year 2008 to year 2030 and is implemented in consecutive five-year plans. Its main purpose is to achieve "a well-housed population living in an environmentally-secure urban environment". The blueprint has three major pillars namely political, economic and social development. From an economic stand view, the blueprint seeks to improve the living standards of the people living in urban centers through economic development projects throughout the state. This is also placed into consideration the informal sector and supporting it in ways that create and increase job opportunities. On the other hand, the social pillar seeks to create a just and cohesive society characterized by social equity and a conducive learning environment with the ultimate objective of improving the quality of life. This strategy makes unique provisions for historically marginalized communities. The political segment strives to develop a democratic political system that protect the rights of all citizens, result-oriented, accountable and issue-based (Kenya Vison 2020, 2007). The three pillars work in unison to achieve equality as provided by the Constitution of Kenya 2010.

Additionally, the Constitution of Kenya 2010, promises every citizen easy access to affordable and sufficient housing. This was enhanced by the wake of devolution, where the power of the government was devolved to include county governments that are closer to the people. The county governments are in charge of distributing political and economic resources to all citizens at the lowest level. This feat was not provided for in the previous constitution. Community leaders through devolution and local county government authorities are increasingly looking to have an understanding of regional issues, build from existing strengths, find quick fixes and impact the lives of all dwellers in their communities.

Leaders at community level are working toward such ends as: A transportation system whose extras and burdens (jobs, service, and pollution) are fairly distributed across all income levels and all neighborhoods: Available affordable housing throughout the region; an environment

devoid of toxic substances that can spark health complications such as asthma; and access to the education and skills needed to take part in opportunities in the regional economy.

Further, this is effectively propelled through a new legal framework—The County Wards (Equitable Development) Bill, 2018— a bill for an parliamentary Act to accommodates a framework for the championing of equitable growth in the county wards by providing for; the allocation of funds for development projects that are based in wards, to criterion for of project selection and an overview mechanism for the use of funds allocated for ward-based development projects. The guiding principles for equitable development under this act are: the promotion of the social and economic development of all persons residing within the ward in order to ensure the achievement of their economic and social rights under Article 43 of the Kenyan Constitution; the principles and objects of devolution set out under Articles 174 and 175 of the Kenyan Constitution; equity and the need to ensure that persons residing in marginalized areas in the wards access facilities and services that are available to other residents in the respective county. To achieve this, huge financial resources are required. In view of the enormous funding gap between cost of achieving the target and funding available from budgetary allocations, ways of leveraging financing to facilitate project implementation were explored. In this light, the GoK and the World Bank through the International Development Association (IDA) has secured credit for implementation of KISIP. The KISIP project launched in 2011 covers the following 14 counties: Nairobi, Mombasa, Kisumu, Nakuru, UasinGishu, Nyeri , Kiambu, Embu, Garissa, Kakamega, Kericho, Kitui, Machakos and Kilifi.

The main objective of implementing KISIP in Muhoroni sub-county was to attain equitable development through enhancing security of tenure by developing sustainable land use practices, development of infrastructure and improvement of economic health and the residents' living standards through use of local physical development plans in liaison with the beneficiary community. The study has four key components namely, strengthening of institutions and proper program supervision by empowering the Ministry of Lands and Physical Planning, participating counties, and also finance program management activities; Enhancing tenure security through supporting the scale-up and process systemization of continuing efforts to secure land tenure; Investing in settlement restructuring and infrastructure through supporting realization of settlement upgrade plans developed locally and developing urban growth strategies by supporting remittance of affordable housing and land which is serviced which helps support aggressive planning aimed at dampening the propagation of new slums (World Bank 2011).

Informal settlements improvement in Kenya is the mandate of KISIP. The program's main intent is to improve the livelihood of over 3.5 million residents of informal settlements by 2020 through investment in infrastructure and strengthening security of tenure. Successful implementation of investment into social and physical infrastructure projects such as schools, health facilities, ECD units, repair of social halls, market stalls, and roads within some of these informal settlements are proper indicators of the success the sector is achieving recognition of the essence of informal settlements improvement. KISIP must therefore ensure that they accelerate the implementation of informal settlements improvement projects to enable eradication of existing inequities and the resultant challenges that crop up within these informal settlements.

1.2 Statement of the Problem

Informal settlement improvement projects in essence are deemed successful when they address the major obstacles to achieving poverty eradication outcomes and in particular; inaccessibility of marginalized communities to the key determinants of social, physical and economic wellbeing (Ryan, Nora and Dwayne, 2009). Land is a necessity for development of the needed basic and social infrastructure needed to eradicate poverty among the marginalized. Informal settlements are developed on land without title or right as a result of invasion by the slum dwellers on private or public land. Consequently, this has a negative effect because no concrete development can be pursued on this land and thus making slum improvement efforts unattainable. Other identified challenges to informal settlements improvement are: little land space to cater for all residents which is further heightened by lack of land use planning by local authorities; Conflicting interests amongst residents and relevant stakeholders drawing back the projects alongside the complexities over involvement of communities in decision making; and the governments negative attitude towards the settlements which leads to failure in delivering their improvement promises thus frustrating slum dwellers (Chege, 2012); (Muraguri, 2011); (IFRA, 2011).

Shauri Moyo is among the oldest informal settlement schemes in City of Kisumu. The area was initially zoned out for industrial purposes. The railway line was the main driver of development. Inevitably, a high percentage of the land in the area was government land. However, the railway line has since been out of operation leading to closure of the previously existing industries. As a result, existing land was left idle. This led to invasion by the existing slum dwellers with settlement undertaken without proper layout procedures. They would not invest in permanent

structures granted they had no right over the land alongside their high poverty levels thus, the mushrooming of the informal settlement.

Previously, efforts to improve Shauri Moyo informal settlement have been little and unsuccessful. This would be attributed to the neglect by the government. For instance, in 2013 a local physical development plan was developed but not approved (Mwongo, 2013). It was expected that the plan, through proper zoning of land uses, would enhance land tenure security hence provide initiative for the dwellers to invest in developing the area along with setting up modest and within building standards residences. However, following the lack of approval, the plan did not take off therefore; informal settlement improvements were not undertaken. Efforts to improve the informal settlement in Shauri Moyo and the country as a whole can be fortified through approval and realization of physical development plans in order to ensure attainment of land tenure security.

The study sought to identify the factors that affect the implementation of informal settlements improvement projects with selective focus on the tenure security project in Shauri Moyo, Kisumu County.

1.3 Purpose of study

The aim of this research was to investigate factors that influence the implementation of informal settlements improvement programs in Kenya: A case of land tenure security project Shauri Moyo, Kisumu County.

1.4 Objectives of the study

1. To examine how community engagement influences implementation of informal settlements improvement programs in Kenya.
2. To determine the influence of land use planning on implementation of informal settlements improvement projects in Kenya.
3. To examine how political will influences the implementation of informal settlements improvement programs in Kenya.
4. To determine the influence of development agencies on implementation of informal settlements improvement projects in Kenya.

1.5 Research Questions

1. How does community participation influence implementation of informal settlements improvement projects in Kenya?
2. How does land use planning influence implementation of informal settlements improvement projects in Kenya?

3. How does political will influence implementation of informal settlements improvement projects in Kenya?
4. How do development agencies influence implementation of informal settlements improvement projects in Kenya?

1.6 Significance of the study

Informal settlement improvement has become significant given its contribution towards attainment of sustainability. Therefore, implementation of informal settlements improvement projects is not only essential in ensuring that the projects are complete in good time and meet the objectives for which they were developed but also inform the managerial and policy decision making process.

The study may be of importance to several stakeholders:

To Kenya Informal Settlement Improvement Project (KISIP), the study may provide beneficial insights on the influence of community engagement, land use planning and land use practices, political will and development agencies on implementation of informal settlements improvement projects thus provide guidance on how to better involve and incorporate these factors in future projects to ensure successful implementation as well as mitigate any risks and hindrances that may arise from said factors consequently, negatively influencing implementation.

For National Government, County Government, Ministries and Development Agencies, the study may avail vital information on fundamental factors influencing successful implementation of informal settlements improvement projects and hence help in develop policies, guide on funding allocations and decision making on informal settlements improvement projects to pursue and how to go about successfully implementing them to gratify the needs of the target communities and guarantee sustainable development of undertaken interventions.

The research is important for both scholars and policymakers in identifying and conducting further research on additional factors influencing implementation of informal settlements improvement projects.

1.7 Limitations of the study

Like many studies, the current one has its limitations that include;

i. The researcher experienced hardships in reaching the end users target population due to poor accessibility and transport networks within the settlement. The researcher opted to navigate within the settlement by foot so as to reach as many end users as possible.

ii. The researcher incurred difficulties in setting up interviews with the officials from the various government offices given their regular out of office duties thus rare availability from their end. The researcher set up interviews out of office and availed themselves where the officials were in the event where they were out of office.

1.8 Delimitation of the Study

The scope of this study was in Shauri Moyo informal settlement, Muhoroni sub-county, Kisumu County which is among the projects by KISIP. The study target population constituted KISIP Project Coordination Teams; the National Government representatives from the Ministry of Transport, Ministry of Housing and Urban Development, and the Ministry of Lands and Physical Planning. Parastatals officials from Kenya Urban Roads Authority, Kenya Rural Roads Authority (KURA) and National Environment Management Authority were also included in the study. The County government was represented by respective Ministry of Roads, Public works and Transport, Ministry of Lands, Physical Planning and Housing, and the Ministry of Environment, Natural Resources, Energy and Water. The project beneficiaries, residents of Shauri Moyo informal settlement, also formed part of the target population and interviews were conducted on the household heads.

1.9 Assumptions of the study

i. That the research instruments enabled optimal collection of data that was material to the study objectives.
ii. That the respondents had adequate knowledge on the informal settlement improvement project hence gave accurate and reliable data.

1.10 Definition of significant terms

Community engagement: The process of collaboratively working with community groups to tackle issues that affect their well-being.

Development agency: An institution whose mandate is to aid in the advancement and support of economic growth within a particular city, region or state by availing required resources and assistance.

Implementation of informal settlements improvement projects: Successful realization of project objectives within the set period, especially based on the benefits realized by project beneficiaries.

Informal settlement improvement projects: Projects geared towards the enhancement of the conditions of living in slums and providing basic services to the dwellers.

Informal settlement improvement: This denotes the collective socio-economic, environmental, physical and organizational restructuring done in a community to promote continued improvement in the quality of lives for people.

Informal settlement: Unplanned and underserved sections of urban areas typically settled by squatters lacking any form of legal security and recognition.

Land tenure: This is the right of an individual of group to take or own and make use of a piece of land.

Land use planning: Aesthetic and organized regulation of land, its resources, facilities and services with an aim at securing the physical, social and economic adequacy, health and well-being of people.

Political will: An attitude of benevolence and cooperativeness of the political leaders and class towards a certain agenda the public has interest in/desires.

Slums dwellers: Residents who live in informal settlements

Upgrading: Deliberate and structured efforts towards the improvement of the conditions of living of residents in a given region.

1.11 Organization of the study

This Document has five chapters organized as indicated below;

Chapter One- The first chapter provides a background of the study including problem stamen, research questions, research objectives, study significance, scope and limitations. At the end are various definition of terms used throughout the other chapters.

Chapter two is the literature review segment that examines previous work on the study topic. Various sources were consulted in the process. These sources include journals, government websites, and books, among other credible internet sources. It emphasized on four variables: community engagement, land use planning, political will and development agencies. The chapter composed of the following parts: an introduction, the nature of informal settlements, land tenure security, the history of informal settlements improvement, effective implementation of informal settlements with an in-depth analysis on the influence of community engagement, land use planning, political will and development agencies on implementation of informal settlements improvement projects. At the end of the chapter is a conceptual framework, theoretical framework and a summary of the literature review.

Chapter three deals with the research methodology which includes the research deign, study sample, sampling tools, and data analysis methods. An overview of the ethical considerations and the reliability of the data collection tools will also be reviewed.

Chapter Four entails data analysis and presentation of results. This includes both primary and secondary data. A review of the data will be provided in line with the literature review and study objectives.

Chapter Five covers the summary of findings, discussion on findings and provides recommendations based on the results along with future lines of research to consider.

CHAPTER TWO

LITERATURE REVIEW

2.1 Introduction

Existing literature associated with the identified research problem is explored in this chapter. Focus is drawn on particularly the core variables whose proper management would lead to implementation of informal settlements improvement projects as intended. The features to be evaluated are community engagement, land use planning, political will and development

agencies. The theoretical framework on which the study is based and the conceptual framework illustrating the relationship between different variables in the study is outlined.

2.2 Implementation of Informal Settlements Improvement Projects

Implementation of projects successfully within agreed budget, quality and time frame has stood out to be a point of concern for both client and project implementer (Mansuri and Rao 2004). A project is said to be effectively implemented when its objectives and deliverable(s) are achieved. To achieve this, it is required that the project's work activities are properly discharged over the implementation phase. Requirements for project implementation include: procurement of necessary resources, project production and verification of performance (Kerzner & Harold, 2002). Over the execution of the project, the management components of the project need to be integrated to ensure project objectives are met and needs of the beneficiaries are met (Giridhar and Ramesh, 1998).

In Kenya, the experience from slum upgrading programs executed earlier has not been encouraging or as effective as desired. Several schemes have been neglected due to: lack of community engagement, where already existing residents within the settlements are overlooked with civic leaders giving them only lip service (Kaye, 2013), land allocation issues and poor planning. Some of these schemes include: Eviction of informal settlers where informal settlements were viewed as unappealing by public authorities resulting in evictions and demolitions as a means to eradicate them while the existing laws supported these evictions. Evictions however did not completely eradicate the problem as after eviction, the squatters would invade another identified piece of land and set up settlements there (World Bank, 1996).

The establishment of Housing Programs for Low Income Earners between 1950s and early 1960s was another scheme where re-development of informal settlements was the goal thus a rise of housing programs. However, they did not last long due to the high costs as the housing scheme required high amounts of capital and high level of skills. Additionally, there lacked housing policies to provide effective responses to the constraints in housing (Payne, 1984). The target market was also not served by the housing programs (Tebbal and Ray, 2001).

Site and service schemes followed with governments and World Bank developing the site and service schemes. They aimed at supplying better shelters to the low-income earners alongside legal tenure. Site and service schemes empowered low income earners with ability to possess homes once land installed with essential infrastructure is granted. Location of these sights however was discouraging. Located at the peripheries of the urban centers, the sites were far

from job locations. The standards of the developments were also beyond the means of the urban poor thus not benefiting the target groups.

Diana (2013) also observes the lack of clear policies and lack of proper implementation of set up policies as a cause for failure of informal settlements improvement projects. Omwomwa (2013) observes that some of the challenges arising from informal settlements improvement projects include a lack of sufficient space for decanting, high population densities, absolute poverty and resistance from structure owners commonly called slumlords. For Miller Travis (2016), informal settlement improvement through upgrading can only be successfully achieved when focus is on more than just the environment. She calls for an approach that emphasizes on local needs, transparency and a commitment to diversity. Eley (2011) also calls for land use planning to take into account the impact of economic development on the social wellbeing of the people in order to successfully achieve informal settlement improvement.

Improvement of informal dwelling without eviction of the dwellers is what is defined as upgrading (Douglas, 2001). Improvement of the physical conditions of the slums which involves set up of infrastructure is the primary activity of upgrading. This promotes social wellness given improvement in accessing social welfare programs such as education and health and regularizing security of land tenure amongst other things (World Bank, 1996).

Upgrading comes in various packages including: Planning as a package where land use planning is the focus of upgrading which is dependent on the actors. In the cases where the local residents are the actors, the package entails need identification and ability to fulfill these necessities. Master plans come in over the involvement of governments and sponsors. This clearly comes out in the Shauri Moyo improvement project. Another package is the tenure package where to upgrade poverty and shelter is addressed through attainment of security of land tenure. This is lobbied for by governments and World Bank who identify illicit settlement of land as a barrier to providing basic infrastructure. Therefore, most World Bank funded projects have the tenure package as in the case of Shauri Moyo.

Land tenure is the right of an individual or group to occupy or use a piece of land through ownership or lease. This land right is about confidence in the future thus a long-term sense of stability. Tenure can be defined as the method through which land is possessed and the land based relationship among people (Payne, 2002). In urban areas, guarantee of tenure occurs through registration of rights of ownership. Informal settlements are developed on public land without right or title. Implementation of informal settlements improvement projects will only

be achieved if there is some security of tenure for the dwellers since they will invest in it (Castillo & Stein, 2005).

In India, the collective land tenure strategy has been adopted to safeguard the poor into keeping their land, secure housing and ensure community sustenance. In Mumbai, given the scarcity of land, allocation is undertaken through the Slum Rehabilitation Scheme where land transfer occurs at society level rather than individual level hence land is assumed to be communal despite house being individual. In Brazil, closure tenure system is applied where slum upgrading is undertaken deficient of full land tenure legalization where right of usage of land is granted but not full ownership which gives way for upgrading program to be implemented with minimal land challenges (UN Habitat, 2008). In South Africa, lack of land tenure security was a key factor in development of Soweto slums with people engaging in illegal land acquisitions (Baker, 2008). In Kenya, unofficial land takeover is a consequence of intensely lucrative unlawful and exploitative fraudulent land distribution (Njoroge, 1998).

To achieve sustainable development, land tenure security is a prerequisite. Land tenure is a secure source of identity, status and rights to own land (Habitat for Humanity, 2008). Moser (1996) observes that for poverty eradication within informal settlements, secure tenure is vital. This is asserted by the Global Campaign for Secure Tenure (www.unhabitat.org/tenure.htm, 2009) who emphasizes that for promotion of human rights, security of tenure is fundamental. UNCHS (Habitat, 1996) identify home ownership as an essentiality towards promotion of freedom and identity. De Soto (1989) identifies bureaucratic procedures as the top most barriers to attainment of land tenure security. The settlement residents are taken through long, repetitive and expensive systems prior to registration of land or property purchase. Additionally, the dysfunctional state of land markets and improper standards make it difficult for respective authorities to identify suitable, serviceable and affordable land for the informal settlements residents.

Lack of security of tenure hinders informal settlements improvement efforts such as installation and accessibility to basic social services and infrastructure such as transport and shelter; thus fortifying poverty and social exclusion. Further it obstructs long-term planning given the fluctuation in land prices and costs of services within these areas. On the governments platform, insecure tenure has an adverse impact on tax recovery given the challenges that arise in local taxation on property and economic activities that are either little or non-existent within these areas. Additionally, given that identification of urban services beneficiaries within these areas

is not accurate; cost recovery for these services and infrastructure is made challenging and unattainable (Lasserve, 2006).

Proper land registration and record keeping is a necessity in development and implementation of land strategies that make it possible for the urban poor to acquire adequate land for development. In Sub-Saharan African countries, only 1% has a comprehensive cadastral information system. This calls for urgent improvement of land cadastral systems as it helps in allocating low-income groups with sufficient affordable thus eradicating informal occupation of idle land and mushrooming of slums. Additionally, it helps integrate the informal settlements formally in the city planning framework (Navarro, 2008).

Further, land rights need to be guided by a concise legal framework. Regularization of schemes by governments should be pursued given the incentives they offer to the settlement dwellers to invest in their homes and businesses. It also helps reduce and prevent evictions alongside supporting functionality of rental housing markets. Strengthening of financial and technical capacities of local authorities additionally provides an environment that promotes expansion of private land development agencies. Such conditions will help develop regulations that ensure that these agencies cover all groups of income and thus prevention of informal settlements and ensuring that existing ones have access to basic social services. This also leads to increased economic growth and provides solutions to inequalities and poverty (Cities Alliance, 2011).
In most of African countries, majority of traditional land regulations, standards and procedures have proven ineffective in preventing informal land acquisitions and settlements. This has contributed greatly to their engagement in land policy reforms (UN Habitat, 2009). The Land Policy Initiative has generated an energized interest in land policy development and implementation within Africa. Kenya has commenced the policy review process whilst ensuring deliberations and public participation (Africa Union, 2009). Fostering of the National Land-Use Policy and National Spatial Plan helps guide and control slum growth in the future. Revision of the policy has been undertaken to acknowledge land possession rights of informal settlers and identify lack of land tenure and land zoning as cause of increased informal settlements. Against this, the goal is to provide a land use planning, land administration, access to planning, historical injustices and environmental degradation framework (Ministry of Lands, 2010). Land titling stands to be the clearest and strongest instrument in provision of security of tenure. Significant efforts should thus be pursued to manage and ensure optimal utilization of available land so as to edify the lives of those within these settlements.

The third package is the basic social services and infrastructure package. Basic social services stand as a point of concern in all projects whether pursued by the locals or external actors. At the local level with the help of NGOs provision of clean water alongside health facilities is identified as a core need. Availability of external funds widens the project scope hence introduction of infrastructure installation. All informal settlement improvement projects have this component. This type of package undergoes the core project phases. Therefore, this kind of projects can only be applied by donor actors given that they are too professional oriented and expensive. In this case therefore, the local NGOs roles stand at identification of needs and participation (Njamwea, 2003).

In Kisumu County, one of the programs, the Migosi slum upgrading program, did not benefit the intended beneficiaries. Other upgrading programs implemented earlier in Kisumu, Eldoret, Kitale, Nakuru and Thika, had program management challenges since the community was not involved within the program and thus construction of rental units that were beyond the affordability of the community (Mitullah, 1984).

In other cases, there were delays caused by the non-physical components of projects; with civil works being completed in time but components such as land titling dragged on. A dominant cause of this dragging on was low institutional capacities within key ministries and project implementation units (Cohen, 2015). Additionally, some components such as land allocation got politicized with disagreements arising between project implementers and governments. This highlights some of the hindrances to implementation of informal settlements improvement projects with land allocations and security of tenure being glaring issues.

UNCHS Habitat, (2001) observes that, active involvement of the beneficiaries is necessary for effective informal settlements upgrading. Laying emphasis on this, the United Nations (2001) affirms the necessity of political will in attaining success over the informal settlement improvement process. Mintulla (2011) asserts that successful implementation of informal settlements improvement projects is highly influenced by development of a clear policy framework that guides urban development in Kenya. Diana (2013) calls on the focus on the target beneficiaries' socio- economic features, use of current technologies and physical layout of housing units. Further, Lychott (2013) emphasizes on the need for a more consultative approach such as inclusion of a 'community benefit agreement' within an overall upgrading plan. According to GARE (2009) an effective accountability strategy that would propel improved results would be: the tracking of measurable outputs over a time period, developing

reports on them and assessing them against performance. Christoph (2016) emphasizes on the importance of community collaboration, communication strategies, capacity building and welfare policies as means towards improving realization of slum improvement efforts.

Essentially, to develop solutions for issues affecting informal settlements, an integrated, participatory and inclusive approach in the planning and management of informal settlements improvement projects should be adopted at all levels of governance, Additionally, well equipped countries and agencies should empower those inadequately equipped in planning, managing and effectively implementing informal settlements improvement projects.

2.2.1 Community Engagement and Implementation of Informal Settlements Improvement Projects

Community engagement provides for members of the community to actively engage in the informal settlement improvement activities and decision making process through creation of an environment that is inclusive where feedback from the community is taken in and utilized over project implementation. When involvement of the community is minimal or lacking over planning and implementation of the improvement projects, the upgrading objective is less likely to be achieved. In an informal settlement improvement project, as opposed to the housing program or site-and service-schemes, the project beneficiaries are already within the project site, thus necessitating their involvement I n the overall preparation of the project, standardization and improvement process.

According to DFID (1999), early incorporation of the stakeholders' inputs in a project ensures that issues are addressed as soon as they arise long before they evolve into greater hindrances that would cause conflicts and make project implementation futile. Additionally, regularizing land through allocation of land tenure alongside issue of allotment letters and title deeds calls for high levels of engagement with the settlers and thus necessity for community engagement. Pinto and Slevin (1988) observe that projects are subject to changes over the project cycle. Subsequently, to avoid the stakeholders being caught in surprise when the project is handed over to them, the relevant stakeholders need to be kept in the loop on the changes and progress of the project. This helps mitigate the possibility of resistance from the stakeholders as seen in past slum improvement projects and in extreme cases the project being non-beneficial given that it will not meet the stakeholders' needs. Importantly, throughout the project cycle, the project manager is required to facilitate the community engagement process through probing the community members with the right queries, encouraging deeper appreciation of the prevailing

social-political perspectives and developing an environment within which community members are given the opportunity to take lead positions in development of solutions (Syagga, 2001)

To build on this, Touwen (2001) opines that for an informal settlement improvement project to be effective, effort should be put towards capacity building for the beneficiaries. This ensures that they develop awareness of their rights, have an understanding of the benefits that accrue from their engagement thus drawing cooperative efforts from them, develop their independence which empowers them to have native solutions and importantly, cultivate sustainability for the local inventions. Rahman (2002) lobbies for placing women at the forefront in the empowerment programs as they are the backbone of the informal sector of the economy.

Over the years, Maduagwu (2000) from Nigeria observes that community engagement is hindered by governments assuming they are best knowledgeable of what could benefit the community than community members themselves. This results in failure to capture the accurate needs and disadvantages of the communities. The inability of many local governments to strongly and authentically engage their constituents in slum improvement decisions has contributed to producing, maintaining and even worsening social and health inequities that persist today.

To address this, Katie, Cesar and Tina (2018) opine that governments are oblidged to having members of the community participate in an objective and wholly representative form so as to perform key deliverables of development effectively. The key deliverables include: law formulation and execution, developing budgets, drawing plans and developing strategic future plan goals. This involves diversification of individuals over the engagement process in a bid to amplify all and eliminate the possibility of on voice primarily dominating. An equitable and inclusive community engagement approach to slum improvement decisions ensures that the people most affected and marginalized, in this case the slum dwellers, have control over their lives through involvement in decision making. This inclusive civic engagement ensures that processes and decisions by the government prioritize and meet community needs, manage possible risks and demand accountability from the governments. Additionally, governments, consultants and the development agencies should dedicate resources towards reaching community members who do not respond to written notices to join community meetings and thus potentially resulting in a better development outcome for all. Over and above, in the long-term, investment should be made in resources and pathways for community engagement

arrangements such as community partnerships that help create a cohesive community vision and make it easier for developers to engage productively in the community (CURA, 2017).

In Brazil, upgrading is focused on ensuring community engagement throughout the entire project cycle with constant contact being maintained between the Municipal Secretariat of Housing and the selected communities with an aim of having the city government and the community work together. Participation by the communities is undertaken over preparatory meetings during planning phase and working groups are established over the implementation phase in order to support construction of infrastructure. In Ghana, upgrading is carried out with consideration for community expectations to ensure the benefits of the improvements are felt as early as three months' post implementation (Cropper & Bento, 2006).

In Kenya, successful informal settlement improvement programs have been implemented such as Huruma upgrading program in Kambi Moto. In this case, a participatory approach was adopted involving structure owners, tenants, a network of saving groups within the community and the Planning Department of the County Government of Nairobi. The residents themselves took charge of campaigning and mobilizing for the enhancement of security of tenure, availing of services, development of housing plans, upgrading process conceptualization and the provision of savings and loan schemes ran by community members to help finance and build the houses (Wasao, 2002).

In Shauri Moyo informal settlement improvement project, community engagement is key to successive implementation of the project. Presently the engagement is entirely facilitated by MoTIHUD through workshops, focus group discussions and chief barazzas. The MoTIHUD communicates to target participants on public engagements over the project development through public notices. Though the government is tasked with the responsibility of ensuring thorough community engagement, lack of proper methods to reach out to the public and failure to effectively communicate and consult with them on the scope, design and motivation of the project makes it difficult for the community engagement to effectively contribute to implementation of informal settlement improvement projects.

The above literature exhibits various challenges within community engagement that could impede effective informal settlements improvement. This calls for informal settlement improvement efforts to address these challenges so as to make implementation of the projects a success.In the end, the community would lobby best for their needs given the chance. Advocating end enhancing for the involvement of the community in totality provides best route for reform-minded development efforts.

2.2.2 Land Use Planning and Implementation of Informal Settlements Improvement Projects

Within urban cities use of land is governed and controlled through planning of the spatial area. This acts as a determinant of what is undertaken where (Van Lier, 1994). In the past, planning for use of land has not enhanced wellness of the community particularly for residential of low income earners resulting into existing inequities. Additionally, the land economies translate to land being developed to the most optimal use. Therefore, zoning allocates certain activities to certain sections of land. Alongside this, costs limit the urban poor from accessing land for settlement hence the illegal land occupation and development of non-approved housing. Omwoma (2013) observes that dysfunctional, discriminative and exclusive land management and planning systems; where land occupied by the poor is excluded from the main urban management menu has hindered necessary development within informal settlements.

Proper land use provides for infrastructural and economic resources needed to effectively meet the needs of the communities hence attaining slum improvement. Land requires proper planning and developing into uses that meet the transport, housing, water and sanitation, health and economic investment needs of the communities within informal settlements. Failure to do so make it difficult for development to be pursued and as a result, inequities within these communities' progresses (WEACT 2013)

Cotter (2015) highlights that; our choice of land accelerates or bars availability of opportunities for the people. CUNY Institute for State and Local Governance (2018) obtains that all publicly-accessible spaces in an informal settlement improvement project have the capacity to contribute to the economic and social wellbeing of neighborhoods and disadvantaged groups. A designated space can address a broad scope of identified problems including; service access and opening up of economic opportunities. Kathleen (2017) observes that physical planners of many urban areas are revising the aged policies in a bid to develop up to date ones so as to obtain an equitable allocation and spread of resources over the built space. Partnership is being undertaken by the physical planners with communities and complementing professionals from the physical development sector with the aim of strategically creating a wide range of opportunities in particularly in marginalized areas. This will enable communities be more inclusive, resilient and sustainable thereupon facilitating achievement of informal settlements improvement.

Amy (2015) observes that most regions are prioritizing objectivity in allocations for use of land particularly for areas whose economic prospects are not a guarantee. Urban Habitat (2018)

emphasizes on substantial discourses amongst residents of underserved areas over decision making on use of land and policy formulation that prioritize community needs over land use. Megan (2013) lobbies for development of a common vision as the primary activity over planning for use of land. Annie (2014) opines that practices such as conducting Health and Environmental assessment will help mitigate environmental risks likely to develop as a result of development and plan for the positive events likely to follow informal settlements improvement works. To build up on this, Megan (2013) calls on promotion of public health, clean and safe environments as a means to achieve slum upgrading. This may be achieved through shielding homes from environmental threats such as heavy industrial land uses.

In the case of informal settlements improvement, land use planning helps in land allocation which promotes security of tenure. It also helps direct where development happens and thus adequately address inequities by bringing previous underdeveloped areas into sustainable use. Further, they help mitigate displacement by assisting in developing interventions tailored based on distinct conditions of the neighborhoods alongside providing guidelines on securing rights to land, development of affordable housing for the settlement dwellers and enhancing transit within neighborhoods. Conbere (2013) places emphasis on the importance of state and local government collaboration towards assessment of possible impacts of proposed developments and coming up with input on land use planning allocations. Additionally, having those that run businesses involved in zoning of land uses and post development of the settled upon projects helps regulate environmental degradation amidst propelling growth of native economies.

In Shauri Moyo, rapid rates of development and consequently notorious levels of inequality call for intentional planning practices that ensure urban growth is properly laid out; a necessity in creating a more resilient urban area. The MoLPP has been actualizing this through development of a land use plan and tenure regularization. KISIP supports MoLPP in expanding the system of standardization with concentration on exercises of development of spatial development plans, mapping and setting up cadastral boundaries, and submission of title deeds. Additionally, settlements profit from attainment of security of tenure through installation of infrastructure. Despite these efforts, high population densities in relation to available land, structures on riparian reserves and on forest land thus an adverse environmental impact on available land, inadequate infrastructure facilities to enable access to basic services have made implementation of the slum improvement project challenging.

Conclusively, for land use planning to be a successful venture towards informal settlement improvement, CUNY institute for State and Local Governance (2018) places emphasis on the following measures: Designation of space for a community asset that meets a demonstrated need within the community asset ranging from a physical space that fosters civic engagement, a service that addresses an existing inequality, or a business that supports the local economy, Designation of space that is accessible, affordable and culturally relevant hence able to serve the public and house supportive services that provide culturally relevant goods, services and programs for the community, Designation of space for a local NGO or CBO that serves the disadvantaged groups within the communities such as the differently-able persons and thus promote provision of much needed services by these groups as well and advocacy work within the community, and Designation of space for disadvantaged business owners such as women, youth, the differently abled and Locally Based Enterprise; these helps address challenges in business ownership and community economic opportunity.

It is against this background that the researcher intends to explore how land use planning influences the implementation of informal settlements improvement projects.

2.2.3 Political will and Implementation of Informal Settlements Improvement Projects

The government's role is ‘empowering’, this translates to creating conducive environment for involvement of the community in the rehabilitation of housing and economic situation, with the government providing incentives such as: affordable credit, legal land allocation, primary infrastructure and specialized help. The local government (political representatives) is often the link between the national government and the community. In that case therefore, it is essential that they have an understanding of the people’s issues and needs and integrate those needs into their local action plan. The lack of adequate institutional capacity at the grassroots level is one of the obstacles to the realization informal settlements improvement (Hasan, 2005).

Policy Link (2004) observes that a necessity in ascertaining the fulfillment of the needs of the community is the discussion and cajoling of the political class to act towards meeting their needs. The influence of this political class strengthens the efforts the community outs towards improving themselves. For example, a ruler with high levels of influence on decision making would be the appropriate person to represent the community in development of partnerships between the community, local government and national government. This can give more visibility and importance to the equitable development projects and help convince others to join in.

The United Nations (2001) contends with the significance of goodwill by the political class in successful informal settlements improvement course. Political goodwill is essential in acknowledgement of the existence of informal settlements, commitment to addressing these conditions and development of policy agendas needed to eradicate existing inequities. Failure of acknowledgement and consideration for the marginalized within the political realm and policy development platforms makes their needs and problems unheard and unidentified therefore, no action, strategy or policy is set up towards eradicating the various inadequacies within these communities.

Elmhurst (1999) relates the failure of slum improvement projects to means of survival by the political class with an aim to finesse the slum dwellers for their own personal interests and gains. To resolve the unjust ways, the personal interests of the rich have to be contested and the urban poor have to be adequately represented over policy making. Further, Allen Weinstein of Washington's Centre for Democracy lobbies for principles that promote democracy: upholding of human rights, accountability by the political class, rule of law and transparency, in power exertion as fundamental in preservation informal settlements improvement interventions. To assert on this, the UN Habitat observes that the political class should strive for good governance over development projects while upholding the principles of: sustainability, equity, transparency and accountability, civic engagement and citizenship, and security (www.un-habitat.org/govern). This demands for political responsibility by the political class over informal settlements improvement projects.

Omwoma (2013) observes that in the past, the government's attitude towards informal settlements has been negative and characterized with threats to eviction and neglect. Slum dwellers have also been disappointed over assurances by the government on plans on improvement that did not actualize leading to development of general distrust of government which left slum dwellers fearful about future government action (Mulcahy, 2001). This can be countered by current authorities facilitating a participatory approach that implements residents' priorities along with promising only that which the government can deliver.

Ali Abdel (2011) noted that a great hindrance to slum improvement is that other matters are prioritized by the politicians over upgrading the informal settlements. It is important to understand that placement of development on the lower scale of matters derails growth while sowing discontent and potential social unrest (Waterstone, 1965). This calls for the political class to prioritize and initiate developments within communities that anchor towards refinement

of the settlements alongside formulating development policies that address the needs of low-income communities.

Kuhonta (2011) argues that the realization of equitable development hinges heavily on strong governmental institutions. In Kenya, both within the National and County governments, there are administrative agents (departments) in charge of particular development sectors: housing, transport, environment, economic strategizing, use of land, and sanitation among others. These bodies of administration are entitled with the oversight of the ventures undertaken business and resolve identified issues within these sectors. With these powers, the administrative agencies can formulate, revise, or dismiss the governing frameworks of these development sectors. Further, they have the ability to uphold these regulations so as to enhance procedures leading to implementation of improvement of informal settlements as well as stop practices that propel existing inequities or those which violate law or the agency rules.

This can be observed in the case of Shauri Moyo where, the County Government of Kisumu, through the Ministry of Lands, Physical Planning, Housing and Urban Development initiated the need to direct efforts, expenditure and expertise towards improvement of the settlement through calling upon interventions from KISIP via MoTIHUD. Another example of political commitment is given by the Vision 2030 and recently the Big Four Agenda whose top goals aim at eradication of poverty and promotion of equitable development through development of necessary infrastructure and affordable housing respectively.

Political goodwill comes in handy in informal settlements improvement programs by providing for increased commitment, by the government and its agencies, to addressing the identified issues. It also promotes a shift from aversive laws that propel demolitions, displacements, and overlooking of the marginalized to accommodative measures including site and service approaches and planned settlement schemes whilst upholding the people's rights. The result of these people based policies has been improved financial integration, growing native economies and improved shelter for slum dwellers.

In Chile, government promotes informal settlements improvement through provision of a subsidy on shelter for low-income earners whereby, Ministry through its executing arm builds and directly finances the houses for the poor. Further, the government safeguards and manages this housing resource. Accordingly, the government is the lead actor in land policy processes in the government (Minvu, 2004). The Indonesian government contributes to informal settlements

improvement through institutional building and infrastructure development. Community participation is highly encouraged with government ensuring that over the upgrading programs, the beneficiaries are actively involved (Hambdi, 1991). The government of Chad over the upgrading projects offered job opportunities for the beneficiaries in the construction site leading to reduction in poverty levels. Thailand has implemented upgrading programs through construction of homes for low-income households over their development pursuits. In Egypt, the government set up policies that helped curb the geo-politics of land tenure and ownership thus protecting public land and ensuring development of basic social infrastructure upon these lands. Additionally, the policy demanded that any upgrading or regularization undertaken follows an area development plan for the settlement considering all needed layout changes; resettlement ad relocation needs (Greene, 2010).

In Kenya, enhancement of informal settlements has been taken up as the foundation for advancement of shelter and urban centers. The country's strategic framework recognized informal settlements improvements as an integral part of development. The Poverty Reduction Strategy Paper (2005), recognizes improvement of slums as a measure to eradicate poverty since it targets at bettering the livelihoods of slum dwellers. Part of the programs strategy to achieve its goal of land tenure security is, land adjudication and registration a necessity in facilitating establishment of basic social support infrastructure. The National Housing Policy (2004) prioritizes informal settlements improvement whilst targeting minimal displacement over the improvement process and taking into account security of land tenure as a key upgrading component. This is to be achieved through: refining land obtaining process for development of settlement for the urban poor and adopting befitting systems of tenure.

Policy Link (2004) further urges that communities can get the government agencies to solve or prevent a problem, and in this case, improve informal settlements by bringing to the attention of agencies the seriousness of the problem and calling on their mandate to solve it by taking meaningful steps to implement a viable solution.

2.2.4 Development agencies and Implementation of Informal Settlements Improvement Projects

Informal settlements improvement efforts are being undertaken by development agencies with the objective of creating dynamism among the urban poor. This helps in achieving the global poverty reduction mission through enhancing the livelihoods of the slum dwellers considering

that those living in slums have the potential to contribute significantly to domestic capital formation (Ooi&Phua, 2006).

UN-HABITAT focuses on slum upgrading programs that involve surveying social economic conditions and mapping physical housing conditions for slum households with an aim of propelling land use planning and promoting land tenure security. A universal rapport was developed in 1999 between UN-Habitat and the World Bank Group. Its main concertation is on integrated that attains poverty reduction in the metropolis whilst ensuring fit urbanism hence working towards improving informal settlements. UNDP and the UN-Habitat have been engaged in programs aimed at providing adequate infrastructure and basic social services consequently, achieving secure and sustainable squatter settlements. Another wing set up in 2004 under UN-Habitat is Slum Upgrading Facility (SUF), with the intention of mobilizing domestic capital towards informal settlements improvement undertakings within urban areas in developing countries (Shea, 2008). Trial projects are running in Ghana, Indonesia, Tanzania and Sri Lanka thus creation of Local Finance Facilities to counter financing constraints through provision of solutions that propel implementation of informal settlements improvement (Painter, 2006).

Development agencies provide financing, the monetary resource necessary in fulfillment of the budget for projects implementation. World Bank, International Development banks (IDB) and Asian Development Bank (ADB) has been the primary sponsors of informal settlement improvement (Cobbett, 2009). When funds allowed for the project are insufficient in relation to the needs of the target communities, then slum improvement projects are not successfully implemented. Sub-standard funding arrangements, inefficient cash flow resulting from improper financial management, and inadequate funding have an adverse implication on the apt running on the projects leading to unsuccessful implementation (Devarpiya & Ganesan, 2002).

Vincent (1993) observes that a high constituent of developing countries budgets money sourced from international agencies. This calls for articulate allocation of obtained funds. Developed countries can significantly aid in slum improvement through channeling their grants and sponsorships on the areas addressing the social wellness of the target countries. Unfortunately, this has not been the case with the Human Development Report (1993) estimating than less than 7% international aid is channeled to human infrastructure thus the emergence of informal settlements.

In Kenya, capital investment in slum improvement is by a great percentage financed by the development agencies. KISIP accesses funds to informal settlements improvement projects such as: infrastructural development, land use plan development, and tenure establishment from the World Bank (60%), AFD and SIDA (30%) in form of Specific Investment Loan (SIL) (Ministry of Finance Kenya, 2016). Despite the development agencies providing funds, the vast number of rival requirements of the variant components of the informal settlements improvement projects when not well planned for implementation, hinder available finances from to harmonizing with investment needs in these projects.

A challenge observed in implementation of informal settlements improvement projects is the lack of detailed investment plans. This has resulted to failure in optimization of financial resources and low rates of investment actualization. To address this, an in-depth feasibility study that helps in development of suitable investment plans necessary for successful implementation of slum improvement projects is required. (Matta and Ashkenas, 2005) The investment plans determine the budgetary allocations and financial investments for the various projects ensuring their sufficiency for successful implementation. This helps guide investments in the informal settlements improvement sector, making it easier to sell ideas to the development agencies thereby, requesting for adequate allocations.

Mismanagement of allocated funds has been observed as a great challenge over the donor funded projects. This has resulted to some projects never taking off, delays in implementation and non- attainment of set objectives, resulting to prevalence of the inequities which the projects targeted. It is against this background that the development agencies, have since demanded for periodical financial reports that give an outlay on the utilization of funds received over the project implementation process (Gatti, 2007). The demand of accountability and transparency by the development agencies is a beneficial imposition towards ensuring that disbursed funds are adequately utilized towards implementation of informal settlements improvement projects. The demanded accountability also introduces the concept of monitoring and evaluation whereby scrutiny of work done against finances allocated is carried out therefore, ascertaining fulfillment of set goals (Kerzner and Harold, 2002) towards eradicating identified issues and implementing informal settlements improvement projects.

Development agencies also develop the policies, terms and conditions that bind the arrangement to offer aid towards the slum improvement projects. However, Fernand (2006) observes that these contractual agreements often contain constrictive restrictions and conditions for the

countries receiving aid. This imposes a challenge on the countries since they strive to meet the donors' demands in a bid to secure the financial aid received. Some of the demands do not align with the initial objectives set up and thus a hindrance to implementation of the projects.

The influence of the development agencies is continuously felt over the implementation process of the slum improvement projects. Their contribution is observed over their involvement in investment in infrastructure over past KISIP ventures. Further, aid is granted to the government in preparing for prospective growth in the urban areas in forms that bar mushrooming of incoming slums through government counterpart funding of 10%. (UNFAD 2013)

2.3 Theoretical Framework

In this section various theories which relate to the study shall be reviewed with an aim of adopting one or more of the theories. The evaluated theories for the improvement of the informal settlements are Freeman's stakeholder theory that focuses on the relationship between entity's management and the stakeholders and the Smart Urbanism theory that provides guidance in dealing with complex issues of urban areas such as informal settlements.

2.3.1 Stakeholder Theory

Stakeholder theory developed by Freeman (1984) focuses on the relationship that exists between entities and their stakeholders. According to the theory, stakeholders are those that are either influenced or influence entity activities. They include: state government, private implementers and the slum residents. The theory argues therefore, that entities be managed in interest of all its involved parties with all members catered for thus paying equal credence to all stakeholders involved with no priority for benefits among stakeholders.

In relevance to this study, the relevant parties are those who engaged in execution of informal settlement improvement project in Shauri Moyo. These will include: the informal settlement dwellers who are the end users of the project, the County Government, relevant Parastatals, contractors, National Government and the development agencies. In conjunction with the stakeholder theory, the stakeholders hold different interests over the informal settlement improvement project and thus obliging principal coordinator of the project and the National government through the Ministry of Transport, Infrastructure, Housing and Urban Development, to ensure different stakeholder interests are well understood and met. The argues that a project will be founded on the identification of all relevant parties as primary profiteers thus the concentration of the undertaking. The goal therefore, is for all project activities working to create integration of relevant parties with them being crucial content sources (Mikkelsen,

1995). This influences implementation of informal settlements improvement projects by ensuring involvement of all relevant stakeholders at all levels of the project. This involves: consulting them on the best way forward and identifying possible needs to address through the projects, creating awareness on the value and necessity of the projects, communicating often on the progress, taking feedback from them and appropriately acting on it which consequently yields increased project acceptance and successful implementation. Miles (2015) observes that social cohesion is promoted through stakeholder involvement resulting from the value created from working together.

2.3.2 Smart Urbanism Theory

Smart Urbanism Theory, established in 1993, originates from works of Louis Wirth (1938). It refers to working towards livable places within chaotic centers. Its relevance is in dealing with the complex issue posed by existence of informal settlements as it is a strategy developed at a time when both governments and actors tasked with urban planning have to do more with less resources; when so many efforts geared towards controlling informal settlements growth have failed; and when there is an increasing focus on integration of malleability and community wellness (Barnett, 2010).

This theory is cognizant of the diverse development difficulties encountered by authorities in developing countries in their efforts to decentralize development (Knox, 2010). The above situation is characterized by a high percentage of third world countries which facing unplanned urban growth with the capacity of those in charge limited to only do the basic minimum in providing direction for this growth. This urban change however is happening, despite lack of proper planning (Bernstein, 2010). Presently, there is a greater focus on the resident's capacity in designing their settlement areas. Varied opinions are arising on whether the 'bottom up' approaches to urban planning and development should replace the more conventional and government preferred 'top down' approaches.

Smart Urbanists opine that whereas there is a notable opportunity to be creative in wake of difficulties using the bottom up systems; the conventional top down approach has a greater capacity. Smart Urbanism therefore aims at conflict resolution and opportunities arising from the two systems (Kriegler, 2009). This theory aligns with the present mode of development. The theory's strength is in the normal 3 phase 'Plan-Design -Deliver' urban transformation process beginning with planning for use of land, followed by formulating and executing urbanism, classifying the role of land use planning in controlling urban growth is clearly fundamental. Therefore, getting it wrong in the beginning leads to everything else going wrong,

while getting it right from the onset provides opportunity for realization of later outcomes as desired. This is the reason proponents of smart urbanism often see the land use as fundamental in measures geared towards providing holistic and proper urban management. Consequently, this helps prevent growth and expansion of informal settlements. The theory thus supports the necessity of land use planning in settlement improvement projects such as Shauri Moyo in a bid to provide direction for development and resource use whilst solving the problems encountered by the informal settlement dwellers.

2.4 Conceptual Framework

A conceptual framework is a diagrammatic representation of the main components of the study and how they relate. It outlines variables operationalized by the researcher to attain the objectives (Chandran, 2004).

The conceptual framework for the study is shown in Figure 1.

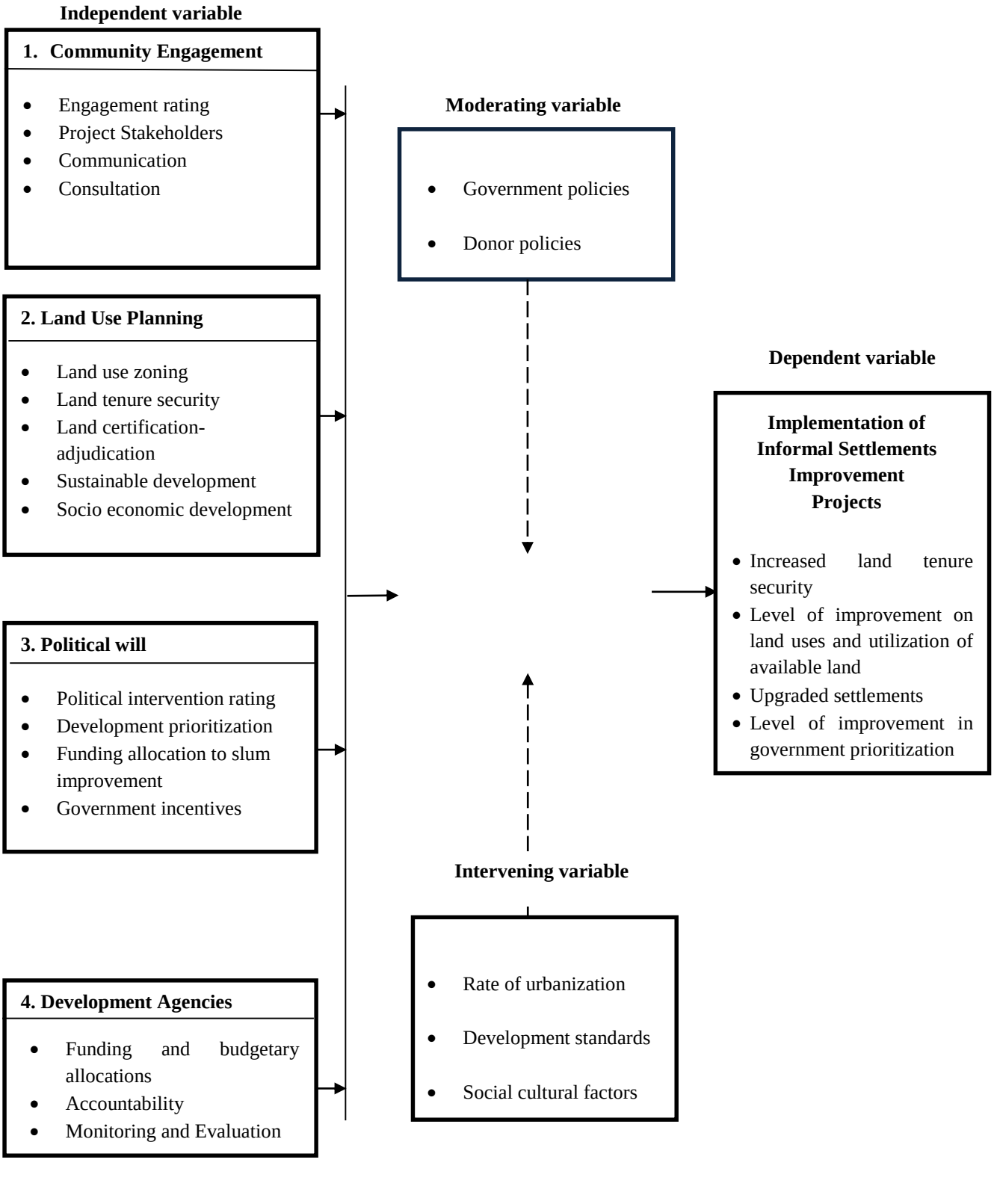

Figure 1: Conceptual Framework

The independent variables have features of change within them and impact the dependent variable. A diverse reach out in community engagement efforts helps access as many people and meet their needs thus solve their problems. Land has to be efficiently planned into uses that promote wellness and ownership of land for the informal settlement residents in order to informal settlements improvement. Political support is relevant in development and implementation of policies and strategies that aim towards eradicating poverty and upgrading informal settlements. Development agencies financial aid ensures informal settlements improvement projects are effectively pursued, well managed and successfully implemented. The study is also cognizant of intervening variables and moderating variables existing within the model where the rate of urbanization, development standards and social cultural factors are considered intervening this relationship.

2.5 Research Gap

In references to studies undertaken on informal settlements improvement projects, it is evident that their successful implementation is a major problem to the state and non-state sectors particularly for developing countries. Reviews have been made on influencing factors including: management and oversight, funding, community engagement, land use planning, political will and development agencies.

The study seeks to address the absence of past studies in addressing the concept of land tenure security over informal settlements improvement projects. The research knowledge gap is outlined in Table 2.1

Table 2. 1: Knowledge Gap

Variable/ Objective	Sources	Title	Findings	Knowledge Gap
Community Engagement	• Maduangwu (2000)	• Community Base and Driven Development: A Critical Review	• Community Engagement helps to capture the accurate needs and disadvantages of the community	Limited data on better and improved methods of reaching out and communication to community members over public participation
	• DFID (1999)	• DFID Sustainable Livelihoods Guidance Sheets	• Early Incorporation of stakeholders inputs ensures issues are addressed as soon as they arise	
	• Pinto and Slevin (1988)	• Critical Success Factors in Effective Project Implementation	• Keeping stakeholders in the loop over the project cycle on project changes and progress helps mitigate possibility of resistance	
	• Katie et.al (2018)	• Inclusive Community Engagement and Equitable Participation	• Governments have the responsibility to engage their community members in a robust and equitable manner	

Land Use Planning	• Van Lier (1994) • Omwoma (2013) • Cotter (2015) • Urban Habitat (2018)	• Landscape Planning and Ecological Networks. • Land Related Challenges to Slum Upgrading in Kenya • Poor People in Poor Places: Local Opportunity structures and Household Poverty • Equitable Land Use	• Land use planning ensures economic use of land • Exclusion of the urban poor from land management hinders necessary development within informal settlements • Land use planning and zoning promotes community wellness and meet: transport, housing, water and sanitation, health and economic investment needs. • Meaningful engagement and participation opportunities over land use planning maximizes the community's desired use of land and property	There lacks an official land use plan for Shauri Moyo

Political Will	• UN 2001	• United Nations Human Settlement Programme	• Political Goodwill is essential in acknowledgement of existence of informal settlements and drawing commitment to addressing these conditions	No such study has been undertaken in Shauri Moyo Informal Settlement Kisumu County
	• Omwoma (2013)	• Land Related Challenges to Slum Upgrading in Kenya	• Past government attitude has been negative and characterized by eviction and neglect	
	• Abdel (2011)	• Development Planning in Africa: Key Issues Challenges and Prospects	• Political leaders accord other matters higher priority than they do upgrading informal settlements hence hinders improvement	
	• Kuhonta (2011)	• The Institutional Imperative : The Politics of Equitable Development	• Realization of settlements improvement hinges heavily on strong governmental institutions	

Development Agencies	• Ooi&Phua (2006) • Shea (2008) • Vincent (1993) • Fernand (2006)	• Urbanization and Slum Formation • Multilateral and Bilateral Funding of Housing and Slum Upgrading Development in Developing Countries • Developed and Developing Countries : Promoting Equitable Development • NGOs, Social Movements, External Funding, and Dependency	• Development agencies are undertaking improvement of informal settlements with an aim at poverty reduction • Development Agencies strive towards mobilizing capital towards informal settlement improvement undertakings • International Aid should be carefully directed towards the social sectors thus helping on slum improvement • Contractual agreements by development agencies often constrictive restrictions and conditions for countries receiving aid	The challenges of having donor agencies in control of projects is not optimally highlighted

2.6 Summary of Literature

Unplanned urban growth is characterized by poverty and non-inclusive policies that hinder the poor from settling in well-established city sections. There have been efforts on policy changes towards acknowledgement of slums developing from government's failure to deliver housing and land installed with infrastructure. Policy makers presently appreciate the efforts and initiatives by the informal settlers in improvement their living conditions through development of livable structures. This led to slum upgrading projects through site and service schemes alongside the tenure package. It is believed that once the government makes an input on these services which cannot be individually afforded, the limited income and efforts will focus on improvement of housing. In this way, the government and the people share responsibility on informal settlements improvement.

Informal settlement upgrading involves provision of services that are lacking yet available to formal parts of the city. Provision of security of tenure is characteristic to World Bank funded projects alongside the state given its intricacy which calls for support by organizations. The package on tenure covers slums on public land. Upgrading success is highly dependent on public participation over the project cycle.

A set of Critical Success Factors (CSFs) was developed by Pinto et al (2010) to assist in measuring and identifying successfully implemented projects. These are: simplicity of objectives and direction; support by top management particularly in its ability and willingness to give funds, authority and direction; a comprehensive schedule for project implementation; client consultations with sufficient communication and actively paying attention to the clients and their needs; hiring, picking and empowering the workforce; obtaining of needed specialists; acceptance by client; provision of complete information at every stage of implementation through adequate supervision; communication and capacity to deal with crisis. Further, Pinto et al (2010) highlighted on identification of CSFs within a project as a means to help develop relevant and acute responses to challenges and risks encountered over implementation of the project thus promoting successful implementation.

According to Antonio and Barry (2008) implementation of a project triumphantly acts as bottom line for sustainable development. This is observed as in the case of government investments in capital projects and the top implementer of projects such as public infrastructure – healthcare and hospitals, roads and bridges, airports and harbors and public utilities. When these projects are implemented on basis of timely delivery, on budget and in line with set objectives, their

sustainability is guaranteed. Additionally, involvement of the beneficiaries over planning, execution and upkeep of these projects stands significant to the success and sustainability of an initiative.

Selvin and Schultz (2009) observe that project management by top level of management has been considered of essence in determining their eventual success rate. Beck (2006) highlights on methods of execution as crucial for management of projects as methods used may speed up and increase effectiveness of implementation or slow it down. As such the project oversight of the development agencies in the informal settlement improvement projects becomes a necessity to facilitate successful implementation.

Manley (2004) opines that the level of support from the end users of a project will promote increased acceptance of the project and reduce resistance. It is against this reason that community engagement is called upon so as to draw the end users into contributing into the project via ideas, monetary resources and even in some instances as a source of labor as it provides a form of control over the project and consequently successful implementation.

Pinto et al (2010) observed that for government initiated projects are frequently undertaken for political goals such as setting up foundation for re-election. In these instances, the result is that set processes of project management and execution are not followed to facilitate the delivery of the project resulting in failure to meet the objectives for which the project was set up. For this reason, it is necessary for the political forces to align with the project goals so as to achieve successful implementation.

Given that upgrading stems from slum dwellers efforts towards existence, the process requires to be guided and controlled by them intermediaries notwithstanding, to prevent dramatized standards, demands and costs. The schemes should thus be driven by the primary stakeholders as opposed to having them imposed upon them.

CHAPTER THREE

RESEARCH METHODOLOGY

3.1 Introduction

This chapter reviews the methods of data collection and analysis to be used such as sampling tool, method, target population, research design and data analysis methods.

3.2 Research design

A research design denotes the techniques that used in data collection and analysis with respect to the research questions. A research design is typically a detailed outline of the study. Evidence obtained makes it possible for the researcher to respond to the research questions in detail (Shajahan, 2005). The study adopted a descriptive survey research design where self-administered questionnaires, interviews with key informants and study of project related documents were used for data collection. Descriptive surveys are described as fact-finding enquiries through asking questions (mainly using questionnaires) to a wide range of persons, with the intention of describing the identified parameters as they are presently and representing the information statistically (Kothari 2004). Quebec and Kraemer (1993) suggest that descriptive survey assists researchers to identify attitudes, opinions and preferences of the study sample. Mugenda and Mugenda (2003) observe that a descriptive survey design provides answers on subjects' questions current status.

3.3 Target Population

Tuckman (1972) defines a target population as the subjects of a study in a larger population. The researcher uses information from the target population to draw conclusions about them. The target population comprises an aggregate of individuals with similar characteristics in respect to a particular study. In this respect therefore, all the relevant persons involved in the execution of the Kenya Informal Settlement Improvement Project in Shauri Moyo, Kisumu County constituted the target population. These stakeholders are those that: were directly or indirectly influenced by the project, participants in project implementation, decision makers over project implementation and those who may not be influenced by the project but had interest in it.

Table 3. 1:Target Population

S/No	Category	Population
1	KISIP – National and Kisumu County Project Coordination Team	6
2	Ministry of Transport, Housing and Urban Development, Kenya Urban Roads Authority and Kenya Rural Roads Authority (County and National levels)	8
3	Ministry of Lands and Physical Planning and National Environment Management Authority (County and National levels)	7
4	Consultant/contractor including site workers	9
5	End users of project (Shauri Moyo Informal Settlement Residents)	870
	Total	**900**

The study target population constituted: KISIP Project Coordination Teams at the National and County levels with 3 representatives each; the National Government representatives from the Ministry of Transport, Housing and Urban Development and the Ministry of Lands and Physical Planning and Parastatals officials from Kenya Urban Roads Authority, Kenya Rural Roads Authority and National Environment Management Authority; The County government will be represented by Ministry of Transport and Public Works, Ministry of Lands, Physical Planning and Housing and Ministry of Environment, Natural Resources , Energy and Water,. The National Government ministries nominate 3 members each to the project management team while Parastatals nominate 2 members each, the County Government ministries nominate one member each (KISIP, 2011).

The benefiting communities, residents of Shauri Moyo informal settlement, also formed part of the target population and were represented by the household heads of each interviewed household. The consultants and site workers of the project also constituted the target population.

3.4 Sample size and sampling procedure

An illustration of approaches used to establish the subjects for the study and the particular number of the identified subjects.

3.4.1 Sample size

Features such as the target population and research design influence the sample size (Kasomo, 2006). To arrive at the sample size, Nassiuma's (2008) theory of sampling was employed. The formula was used to compute the sample size is as outlined:

n = NC^2/C^2 + (N - 1) *e*^2

n = sample

N = Target Population

C = Coefficient of Variation (21% ≤ 30%)

e = error rate (2% ≤ to 5%)

Therefore;

n = 900(0.25) ^2 / 0.25^2 + (900-1) 0.025^2

n = 90 respondents

3.4.2 Sampling procedure

Mugenda and Mugenda (2003) define a sampling procedure as the as the process of identifying the study sample from a larger population. The target population was first stratified to obtain the sample population. Stratification is the grouping of the target population into homogenous subdivisions (strata) followed by picking a sample from each stratum independently of each other. Generally, stratification is used when the population is varying in diversity or where resembling sub-populations can be separated (Patton, 1990). Stratified sampling is aimed at attaining a rational representation from various sub-groups within the population (Mugenda and Mugenda, 2003). This method was the most appropriate because the population for the study formed clear strata from the various project groups of persons involved over the project cycle and whose representation was necessary in attaining accuracy.

Purposive sampling was used to identify the 30 officials from the various National and County Government ministries, Parastatals and KISIP involved in the project implementation process. Purposive sampling is a selective, judgmental, biased and subjective sampling method used where a researcher requires speed, specific information, quality or competency (Mugenda and Mugenda, 2003). The identified subjects were selected because they had the required

information. In this study, the researcher picked the project heads of the various project teams because the prior have had hands-on experience in the development and implementation of the project. The sufficient experience and involvement from these groups, served as suitable indicators of the factors that influence implementation of informal settlements improvement projects.

Systematic random sampling was used to identify the remaining 60 respondents of the study from Shauri Moyo informal settlement to ensure that all the residents of the settlement are sampled to eliminate bias. There are approximately 870 occupants living in Shauri Moyo. The researcher needed a sample size of 60 occupants hence a systematic pattern was used to select the study participants. The interval popularly known as the sampling interval, is arrived at by dividing the study population by the sample size; 870/60. To select the samples, the researcher started with the 1st unit in the list and took every kth unit which is equal to 14. Hence the subjects that participated in the study were residents 1, 15, 29, 43…… 870. The researcher targeted the household heads of the targeted 60respondents.

Table 3. 2: Sample Size

S/No	Category	Population	Sample Size
1	KISIP – National and Kisumu County Project Coordination Team	6	6
2	Ministry of Transport, Housing and Urban Development, Kenya Urban Roads Authority and Kenya Rural Roads Authority (County and National levels)	8	8
3	Ministry of Lands and Physical Planning and National Environment Management Authority (County and National levels)	7	7
4	Consultant/contractor including site workers	9	9
5	End users of project (Shauri Moyo Informal Settlement Residents)	870	60
	Total	**900**	**90**

3.5 Data collection instruments

The study used two data collection tools; an interview guide and questionnaire. Kothari (2004) asserts that questionnaires are the most appropriate data collection tools particularly in survey studies. The 60 questionnaires in this study were selected over their easy administration, enabling the respondent to adequately understand the question before responding and ensured objectivity from the researcher's end. Structured and unstructured questions were used to obtain required data on implementation of informal settlements improvement projects and the factors influencing their successful implementation. The questionnaire comprised of five parts. Capturing the respondents' demographics and focusing on the four research study objectives.

An interview guide wasused on specific key informants; the officials from the Ministries at the National and County Levels, Parastatals and the project consultant ; to expound on issues not adequately covered by the questionnaire respondents with analysis of content providing for an in-depth understanding of project activities and influencing factors on implementation.

3.5.1 Pilot Testing of the Instruments

Information derived from the used research instruments help the researcher draw conclusions. For this reason, it is necessary to ascertain the validity and reliability of the research instruments through a pilot study prior to data collection.

The rule of thumb is that the pilot test should involve 10% of the study sample (Cooper and Schindler, 2010). A pilot survey was undertaken using questionnaires administered by the researcher on 9 beneficiaries of the informal settlement improvement project within Shauri Moyo. The resultant outcomes were studied to provide guidance on modification of the questionnaire where needed.

3.5.2 Validity of Research Instruments

The validity of the questionnaire was tested to determine its applicability. Validity is achieved by guaranteeing both the internal and content validity of research instruments. Internal validity is the questionnaire's capability to measure what its intended to and content validity relates to how adequately a subject matter is covered. Mugenda and Mugenda (2003) observe that, determination of validity is often intuitive. The researcher determined the validity of the research instruments through evaluation from an experienced research professional whereby the development of the research instruments was ion consultation with the research supervisor.

3.5.3 Reliability of Research Instruments

Mugenda and Mugenda (2003) define reliability as a measure of consistency on results from the research instruments upon tests being carried out repetitively with the aim of error reduction within the study.The test-retest method was used to determine reliability of the instruments. This involves submitting the questionnaires to the same group of persons after the identified time has lapsed from the previous test (Cooper and Schindler, 2003). A sample of 15 questionnaires wasadministeredat an interval of two weeksto determine if consistent results would arise from the both tests. The scores from both tests were correlated to determine the reliability coefficient using the Karl Pearson's Product Moment Coefficient of Correlation (r). A coefficient of 0.82 was obtained which affirmed that the instrument had a high degree of reliability (Mugenda, 2003)

3.6 Data Collection Procedure

The research employed data collection at both the primary and secondary levels. For primary data collection questionnaires and an interview guideswere utilized. They were used on the occupants of the informal settlement and officials from the various ministries, Parastatals and KISIP respectively. The researcher had research assistants administer the questionnaires to the study participants, who were trained prior to the exercise to eradicate the internal threats that involvement of research assistants pose. The identified officials from the ministries and KISIP were contacted via telephone for them to confirm the time and date the interviews would be conducted. Secondary data was obtained from the land use planning documents and project reports from KISIP and the consultant.

3.7 Data Analysis Method

The data collected was analyzed using a descriptive data analysis method. Descriptive analysis describes a subject matter in statistical terms as it unfolds. Data, both qualitative and quantitative was measured on ordinal and nominal scales. Subsequently, analysis was carried out qualitatively and quantitatively. The questionnaires were reviewed for completeness then coded into SPSS for analysis.

Qualitative data gathered was analyzed into themes based on the research questions. These included data collected from the open-ended questions in the questionnaire. Conversely, the descriptive statistics such as calculation of frequencies, proportions, and percentages wereused to analyze quantitative data. A linear regression analysis was used to determine the cause-effect relationship of the different variables identified in the literature review. Pearson's correlation

coefficient was computed to determine the strength and direction of association at 0.01 level of significance.

3.8 Ethical Considerations

Every study should take into consideration ethical issues relating to the population under study. For this particular study, confidentiality of the respondents was key in maintaining anonymity of the individuals. Therefore, the respondents were not required to submit their names in a bid to protect their identities. In addition, the respondents filled out the questionnaires at free will.

3.9 Operational Definition of Variables

According to Mugenda and Mugenda (2003) operationalization means finding and defining measurable and quantifiable concept in a summarized form to show the achievements of the research variables, specific objectives and tools of analysis.

Table 4 outlines the operational definitions of variables used in the study. In this case; operationalization of variables shows how major variables, independent and dependent variables were manipulated to produce measurable results where tools of analysis and measurement are provided.

Objective	Variable	Indicator(s)	Measurement	Measurement	Data Collection	Data Analysis
To examine the extent to which community engagement influences implementation of informal settlements improvement projects	Community Engagement	• Engagement rating • Project stakeholders • Consultation • Decision making	• No of workshops • No of people based developments • No of outreach methods • No of engagement methods • Engagement over project activities	Nominal/ Interval/Ratio	Questionnaires Interview Guide	Descriptive statistics
To establish the influence of land use planning on implementation of informal settlements improvement projects	Land Use Planning	• Land zoning • Socio-economic development • Sustainable development • Land Tenure Security	• Types of land uses • Increased provision of social amenities and utility services • Attained sustainability levels • No of land owners and those with ownership documents	Nominal/ Interval/Ratio	Questionnaires Interview Guide	Descriptive Statistics

To determine the influence of political will on implementation of informal settlements improvement projects	Political Will	• Intervention rating • Development prioritization • Government incentives	• No of political interventions • Level of involvement in project activities • Ranking of SIPs on development priorities • Provided incentives towards SIP	Nominal/ Interval/Ratio	Questionnaires Interview Guide	Descriptive Statistics
To assess how development agencies influence implementation of informal settlements improvement projects	Development agencies	• Funding allocations • Accountability • Timeliness of progressive fund disbursements • Development aid conditions	• Adequacy of project funding • Procedures for fund disbursement • Extent of timely fund disbursements • Types, scope and timeliness of projects	Nominal/ Interval/Ratio	Questionnaires Interview Guide	Descriptive Statistics

Table 3.3: Operational Definition of Variables

CHAPTER FOUR

DATA ANALYSIS, PRESENTATION AND INTERPRETATION

4.1 Introduction

In this chapter, the findings obtained on factors influencing implementation of informal settlement project undertaken in Shauri Moyo informal settlement are presented. Discussion on the findings has been carried out in themes in alignment with the study objectives. The themes discussed: study demographics, Community Engagement, Land Use Planning, Political Will, Development Agencies and the projects' successful implementation.

4.2 Questionnaire Response Rate

Information on the study was sought from 90 respondents. 60 of who were the residents of Shauri Moyo informal settlement and the 30 were officials from the various Ministries at the National and County levels, Parastatals and KISIP actively involved in the implementation of the informal settlement improvement project.

From the 90 questionnaires issued, data was obtained from 77 of them granted that 6 were not duly completed and 7 targeted samples did not participate due to their unavailability. The interview thus attained a response rate of 85.6%. This response rate suffices in obtaining of information that addresses the objectives granted that it meets the set threshold of a minimum of 70% response rate (Mugenda and Mugenda, 2003)

4.3 Demographic Characteristics of Respondents

The demographics of respondents were categorized in the following sections:gender and age.

4.3.1 Distribution of Respondents by Gender

Inquiring about gender was a necessity in understanding the gender profile within the informal settlement and gives an insight on the nature of the families within the settlement given that the respondents were the household heads. Table 4.1 shows the gender profile among the respondents.

Table 4.1: Respondents Gender

Respondents Gender	**Frequency**	**% Frequency**
Male	58	75.3%
Female	19	24.7%
Total	**77**	**100%**

The results of the study indicate that a great portion of the respondents were males at 75.3% with the females standing at 24.7%. This translates to a high number of the households been head by en which can be attributed to the culture which values men as heads of families. The women respondents are as a result of cases where the men of the households were away for work and few households led by single women. This however does not mean there are more men than women in the settlement.

4.3.2 Distribution of Respondents by Age

The study sought to find the age of the respondents in a bid to find the distribution of age groups within the settlement. The results on the age indicated that 50.6% of the respondents were aged 25-35 years. This can be attributed to high levels of unemployment coupled up with low levels of income for those in employment resulting into their settling in the informal settlement. These youth would be the dependants of those aged above 35 who accounted for 35.1% and would stand to be the initial squatters in the settlement. The findings are illustrated on table 4.2

Table 4.2: Respondents Age

Age/Years	**Frequency**	**% Frequency**
18-24	11	14.3%
25-35	39	50.6%
35-50	17	22.1%
Over 51	10	13.0%
Total	**77**	**100%**

4.4 Community Engagement and Implementation of Informal Settlements Improvement Projects

The first objective of the study was to establish the extent to which community engagement influences implementation of informal settlements improvement projects in Kenya.

Community engagement allows community members to actively participate in the informal settlement improvement decisions and actions including: preparation of the project, regularization and the improvement process. This is achieved through creation of an environment that is inclusive where feedback from the community is taken up and utilized over project implementation.

4.4.1 Frequency of Community Engagement within the project

The inquiry on the frequency of community engagement is a necessity in understanding how involved the community was in the project by the implementing body. This is outlined in table 4.3

Table 4.3: Frequency of Community Engagement within the project

Frequency of Community engagement	Frequency	% Frequency
Very Frequent	13	16.9%
Frequent	55	71.4%
Not at all	9	11.7%
Total	**77**	**100%**

The respondents found the community engagement exercise to be frequent at 71.4% and very frequent at 16.9%. This is a result of the how extensively the community was reached out to participate with telephone calls as the main method of reaching out at 42.8% followed by road shows at 27.3%thus an attraction of a large pool of participants. The published media was the least used channel at 5.2%. Additionally, the methods used for the engagements were seen to be effective with local workshops taking the lead at 40.3%, followed by public consultative meetings at 29.9% and interviews used least at 11.7%

4.4.2 Methods Used to Reach Out to the Community

The methods used to reach out to the community in order for them to engage over the project activities are outlined

Table 4.4: Community Outreach Methods

Frequency of Community engagement	Frequency	% Frequency
Published Media	4	5.2%
Road Shows	21	27.3%
Broadcast Media	12	15.6%
Telephone Calls	33	42.8%
Chief's Barazas	7	9.1%
Total	**77**	**100%**

4.4.3 Methods Used over Community Engagements

The mode through which the community is engaged and interacts over the project activities determines how robust the community engagement is. The community engagement methods used are presented in Table 4.5

Table 4.5: Community Engagement Methods

Community Engagement Methods	Frequency	% Frequency
Public Consultative Meetings	23	29.9%
Interviews	9	11.7%
Local Workshops	31	40.3%
Focus Group Discussions	14	18.1%
Total	**77**	**100%**

4.4.4 Community Engagement in Project Activities

The study sought to find out on the involvement of community members within various project phases. Involvement at various activities by the community helps build up on project ownership, reduce resistance by the people on the said project and most importantly help to design and develop the project in a manner that meets the community needs given the input of their feedback as well as knowledge and expertise.

Table 4.6: Community Engagement in Project Activities

Response	Inception		Social Economic Survey		Planning		Execution		Evaluation	
	Freq	%	Freq	%	Freq	%	Freq	%	Freq	%
Great Extent	34	**44.1**	63	**81.8**	61	**79.2**	41	**53.2**	54	**70.1**
Little Extent	24	**31.2**	11	**14.3**	10	**13.0**	23	**29.9**	16	**20.8**
Not at All	19	**24.7**	3	**3.9**	6	**7.8**	13	**16.9**	7	**9.1**
Total	**77**	**100%**	**77**	**100%**	**77**	**100%**	**77**	**100%**	**77**	**100%**

The respondents found their engagement in the various activities relatively high and particularly over the social-economic survey at 81.8% and planning of the projects at 79.2%. This stems

from the objective of needs identification to be able to deliver that which the target population will benefit from. The respondents felt least involved at the inception stage at 44.1%. This is because settlement improvement projects are mainly initiated by the government at the national and county levels.

Interviewed KISIP officials in their review of community participation over the project cycle observed that the community involvement over the program design at the inception stage was quite low. This was because the community was initially against the settlement improvement project on grounds of fear of eviction. The community involvement at the socio-economic survey was intense as it involved needs assessment and the community was quite vocal on the issues affecting them. At the planning stage, the community involvement was relatively high through their attendance of site meetings and planning of project activities. This was attributed to their commitment towards ensuring their needs were prioritized. Community involvement at the execution stage was quite low as majority of the labor and manpower was outsourced. The community participated greatly in the evaluation phase since they had access on information entailing project progress and their awareness on what the project deliverables were. Community involvement over the project cycle was facilitated through Settlement Executive Committees (SECs) which play a significant role within the administrative and leadership structure of KISIP, being the key contact between KISIP, the County Government and the community.

4.4.5 Integration of Community Feedback

This is necessary to understand if the community's input is valued and put into action by the project implementing body. Integration of community feedback over project implementation is necessary in ensuring that their needs are accurately met thus fostering effectiveness of the project alongside efficiency over its implementation and sustainability of the project in the long run. Table 4.7 outlines how the feedback was integrated with 59.7% of the respondents acknowledging that the feedback was relatively integrated and 23.4% of the respondents observing that the feedback was not integrated at all. The non-integration results from the implementers not wanting to totally deviate from the initial objectives of the project.

Table 4.7: Integration of Community Feedback in the Project

Integration of Community Feedback	Frequency	% Frequency
Highly Integrated	13	16.9%
Integrated	46	59.7%
Not at all	18	23.4%
Total	**77**	**100%**

4.4.6 Decision Making

The findings on table 4.8 indicate that the community members' involvement in decision making and particularly on the projects to be pursued was relatively high at 51.9%. This guarantees that a high number of the developments were people-based development granted their active involvement in selection of these projects. The 13% respondents highlighted that in some instances, decisions were undertaken by the top management without consulting the community.

Table 4.8: Community Involvement in Decision Making

Community Involvement In Decision Making	Frequency	% Frequency
Great Extent	40	51.9%
Little Extent	27	35.1%
Not at all	10	13.0%
Total	**77**	**100%**

The interviewed MoTIHUD officials noted that the community is highly involved over selection on infrastructural projects. This is done through formulation of a Project Management Committee (PMC) whose representative members include the elders, youth and women who work in collaboration with the County Government of Kisumu in prioritization of infrastructural development within the area. The PMC members are nominated by the residents to ensure that they adequately represent the community needs.

4.4.7 Influence of Community Engagement on Project Implementation

The inquiry was intended to identify if the target community consider community engagement as vital to successful implementation of the project. Table 4.9 outlines summary of the findings with 57.1% identifying community engagement as a necessity over project implementation to ensure that the project actually benefits the target beneficiaries. The 9.1% that found community

engagement having no influence on project implementation justified it on community feedback not being taken seriously to make adjustments over implementation and thus found it holding no value.

Table 4.9: Influence of Community Engagement in Project Implementation

Influence of Community Engagement	Frequency	% Frequency
Great Extent	44	57.1%
Little Extent	26	33.8%
Not at all	7	9.1%
Total	**77**	**100%**

4.5 Land Use Planning and Implementation of Informal Settlements Improvement Projects

The second objective of this study was to determine the influence land use planning has implementation of informal settlements improvement projects in Kenya.

Land use planning translates into land being developed to the most optimal use. Over informal settlements, planning use of land is a necessity in enhancing community wellness. This is because, the land is officially included in the main urban management menu: therefore, necessary development within the informal settlement which supports provision for necessary infrastructural and economic resources needed to effectively meet community needs, is facilitated and undertaken. To achieve this, land tenure security should be pursued and best choice of use of land is required.

4.5.1 Community Involvement in Land Use Planning

Understanding the community involvement over choice on use of land is important in identifying whether the chosen land uses and consequently the developments on these lands are in line with people's needs and as a result: inclusive, resilient and sustainable thus achieving informal settlements improvement. The outcome on the enquiry on the involvement of the community in land use planning is presented in table 4.10. From the review, the study found that half the project beneficiaries rated their involvement over choice on use of land very highly at 50.6%. This high rating confirm the high levels of community engagement and involvement of the community over various project activities and thus gives the confidence on the effectiveness of the project over implementation and its sustainability post implementation. The

11.7% highlighted their lack of attendance of the land use planning workshops as the reason for non-involvement.

Table 4.10: Involvement of the Community in Land Use Planning

Community Involvement In Land Use Planning	Frequency	% Frequency
Highly Involved	39	50.6%
Less Involved	29	37.7%
Not at all	9	11.7%
Total	**77**	**100%**

MoLPP officials noted that over land use planning, the community members were involved in the mapping, planning and survey processes. In this regard, the stakeholders were included in the scoping of issues, the assessment of impacts, generation of mitigation and management measures, and in providing local knowledge and information for the baseline status.

4.5.2Identification of Allocated Land Uses

The necessity of identifying the allocated land uses stems from the need to verify if all publicly-accessible spaces have the capacity to contribute to the economic and social wellbeing of the target beneficiaries whilst maintaining sustainability at all levels.

It is important to note that over the settlement improvement process, a local physical development plan for the area was developed and is under implementation. Over this exercise, key planning issues identified over engagement with the target beneficiaries were taken into account. These issues included: insecurity of land tenure, lack of decent housing and basic infrastructure services i.e. water supply, circulation networks, sewerage, storm water drainage and solid waste management systems. The table 4.11 outlines the previously existing land use. Agricultural use of land took a lead at 26.5% while followed by residential use of land at 22.6%. This is because the community squatted on the land in search for residence and used the open spaces around their shanties for agricultural purposes. Public utilities stood at 0% meaning there lacked water, sewerage and sanitation infrastructure. Industrial land use stood at 3.0% and commercial use at 0.1% which goes to show the community had minimal economic empowerment. Transport infrastructure was relatively low at 5.2% and thus difficulties of accessibility within the settlement.

Table 4.11: Previously Existing Land Use

Existing Land Use As at Project Start	Area(Ha)	% Frequency
Residential	10.00	22.6%
Commercial	0.04	0.1%
Education	8.24	18.6%
Industrial	1.32	3.0%
Public Purpose	5.29	12.0%
Public Utility	0.00	0.0%
Transportation	2.32	5.2%
Agriculture	11.77	26.5%
Undeveloped Land	2.14	4.8%
Riparian Reserve	3.18	7.2%
Total	**44.29**	**100%**

After much deliberation an alternative that focused on providing utility services to the settlement was settled on. Additionally, creation of standard roads and parcels of land, to promote equity was done and all residents of Shauri Moyo were accommodated in the recommended residential area. This alternative was chosen because: the environmentally sensitive areas are protected through conservation of the riparian reserve; it provides an approach for establishment of road transport at 9.5%; it provides plan for basic infrastructure and services as per planning with land for public utilities set at 2% and has provisions for mix use to improve the local economy allocating 4.3% of land for commercial use and 12.0% for industrial use dominated by juakali industries and a newly developed milk plant. This provides an opportunity for the community to grow their economy via their engagement over the various commercial and industrial activities alongside providing employment opportunities within these sectors which consequently helps them earn an income and improve their living standards. To note as well is that education has been given priority at 23.4% for primary and secondary schools which will result to increased literacy levels that enable access to tertiary institutions and employment opportunities post education completion. This is outlined in Table 4.12

Table 4.12: Proposed and Implemented Land Use

Land Use Under Implementation	Area(Ha)	% Frequency
Residential	7.1	16.0%
Commercial	1.89	4.3%
Education	10.4	23.4%
Industrial	5.3	12.0%
Public Purpose	9.8	22.1%
Public Utility	0.9	2.0%
Transportation	4.1	9.5%
Agriculture	2.7	6.1%
Riparian Reserve	2.1	4.6%
Total	**44.29**	**100%**

Interviewed officials from the Ministry of Lands and Physical Planning identified that some of the benefits that arose from land use were: Legally binding Tenure security; Integration of compatible land use considering that the planning process was done in situ; Development of an effective land information system which consequently ensured timely collection of land rates and thus increased revenue for the County Government and Increased land value rendering the area a competitive edge with the surrounding region. This was not devoid of challenges which were identified by officials from KISIP and MLPP as: Conflicting interests among stakeholders (the political class and administrative wing from the county government) on proper utilization of the land in question led to division amongst the community on grounds of affiliation with the two conflicting factions. This made it difficult for the consultants to help the community understand the benefits of land use planning and consequently almost stalled the exercise. There was inadequate data on previous planning interventions on the settlement as they were either missing or incomplete, making it difficult to make well informed decisions prior to land use planning. Site visits' were also challenging given the hostility from settlement residents which arose from the activity falling within the electioneering period when there was a lot of political tension and thus speculation surrounding manipulation.

4.5.3Increment and Improvement of Social Amenities

Social amenities are necessity in ensuring the success of informal settlements improvement projects. Availability of social amenities to the communities enables them have access to good health care thus reduced mortality rates; quality education and thus reduced number of school drop outs, unemployment rates and insecurity; clean water and sanitation is a necessity in keeping the community protected against disease outbreaks; roads ensure accessibility; electricity improves economic activities and ensures security alongside presence of police posts and public purpose facilities provide an opportunity for the community to socialize, develop unity and grow. 77.8% of the respondents felt that the social amenities had increased and improved post land use planning. This is supported by the observed increased land portions for: transport use with a circular road network developed within the settlement to facilitate circulation and mobility; Muhoroni Sub-County Hospital was established for purposes of provision of healthcare and a community centre contributed greatly to the public purpose amenity; a water reticulation system that provides adequate supply of safe water was developed under the public utility and primary and secondary schools were expanded for education growth. This outcome is outlined in table 4.13

Table 4.13: Improvement and Increment of Social Amenities

Community Involvement In Decision Making	**Frequency**	**% Frequency**
Great Extent	60	77.9%
Little Extent	14	18.2%
Not at all	3	3.8%
Total	**77**	**100%**

4.5.4Sustainability from Land Use Planning

Sustainability is defined as the ability to experience the benefits of a project long after its completion whilst ensuring that resource use does not result into retrograded quality of life that may arise from loss of economic opportunities and adverse effects on environment, social and physical health. It was necessary for the study to analyze the sustainability of the interventions undertaken over the settlement improvement at the core areas. The outcome is as presented in table 4.14

Table 4.14: Sustainability from Land Use Planning

	AreasofSustainability							
Response	**Environmental**		**Economic**		**Socio-cultural**		**Financial**	
	Freq	**%**	**Freq**	**%**	**Freq**	**%**	**Freq**	**%**
Great Extent	30	**38.9**	46	**59.7**	10	**13.0**	36	**46.9**
Little Extent	27	**35.1**	18	**23.4**	44	**57.1**	23	**29.7**
Not at All	20	**26.0**	13	**16.9**	23	**29.9**	18	**23.4**
Total	**77**	**100%**	**77**	**100%**	**77**	**100%**	**77**	**100%**

It is observed that economic stability takes the lead for the respondents at 59.7% and followed by financial sustainability at 46.9%. This was because the respondents felt that the newly developed industries and increased land allocations for commercial activities enables them to secure employment and earn both under self- employment and employed basis under a wide array of opportunities. This was further emphasized by the officials from the Ministry of Lands and Physical Planning who particularly emphasized that the newly established milk processing plan would contribute greatly to the economic growth of the area, its residents and the county at large. Additionally, revenue earned from the industries will provide capital towards further economic growth in the area. The respondents felt the environmental sustainability at 38.9% granted the conservation of the riparian area and introduction of proper methods of solid waste disposal. The socio-cultural sustainability was least ranked at 13% because the respondents felt that nothing much had been done to propagate their culture. The interviewed Ministry officials stated that the sustainability is attained as a result of long term projects and investments developed form land use planning including the industrial, commercial, and residential and public purpose allocations which were made possible with the availability of secure tenure.

4.5.5Influence of Land Use Planning on Project Implementation

50.6% of the respondents felt that land use planning was necessary so most of the basic services and infrastructure necessary for the wellness of the community are developed. The 14.3% felt that either way, if developments were to be pursued, they would be undertaken regardless of whether land use planning has been undertaken or not.

Table 4.15: Influence of Land Use Planning on Project Implementation

Influence of Land Use Planning	Frequency	% Frequency
Great Extent	39	50.6%
Little Extent	27	35.1%
Not at all	11	14.3%
Total	**77**	**100%**

4.6 Land Tenure and Implementation of Informal Settlements Improvement Projects

Attainment of secure land tenure for Shauri Moyo residents was the main means through which improvement of the settlement was implemented. Castillo & Stein (2005) observed that slum dwellers are more inclined to invest in better housing and basic infrastructural developments if there is tenure security over the land they are settled. The findings on land tenure aimed at understanding the state of land tenure security in Shauri Moyo.

4.6.1 Land and Structure Ownership

Identifying land ownership and the ways in which it was acquired helps establish the history of the informal settlement development clearly. On the inquiry of land and structures; 16.8% of the respondents own both the land and structures developed on them while 3.9% of the respondents own the land only. Land ownership was obtained from allocation by the defunct Nyando County Council. A relatively high number of respondents at 44.2% own only the structures developed on this land and they acknowledge that the parcels of land within the settlement belong to the government (County Government), and their occupation is only temporary. 35.1% of the respondents are tenants having possession of neither the structure nor the land upon which they occupy. This is outlined in table 4.16

Table 4.16: Ownership of Land

Form of Ownership	Frequency	% Frequency
Own land and structure	13	16.8%
Own Land Only	3	3.9%
Own Structure Only	34	44.2%
Tenant	27	35.1%
Total	**77**	**100%**

4.6.2 Means of Land Acquisition

With the low levels of land ownership as presented in table 4.17, the study observed that the state of land tenure security is relatively low, This is backed up by the information derived on means through which land was acquired as with 40.2% of the respondents having acquired land through squatting and the additional 36.4% having inherited land from their kin of whom, majority of whom were squatters. A relatively low number of respondents acquired land legally through allocation at 5.2% as illustrated in table 4.17

Table 4.17: Means of Land Acquisition

Means of Land Acquisition	**Frequency**	**% Frequency**
Allocation	4	5.2%
Purchase	10	13.0%
Inheritance	28	36.4%
Encroachment	4	5.2%
Squatting	31	40.2%
Total	**77**	**100%**

4.6.3 Proof of Land Ownership

This inquiry helps establish the extent of legality over the land upon which the community is settled and consequently translates into the state of tenure security. From the assessment, 90.6% have a Temporary Occupation License as proof of land ownership and 9.4% have allotment letters. This therefore goes to show that the land tenure security before pursuit of the settlement improvement project was relatively low. The outcome is presented in table 4.18

Table 4.18: Proof of Ownership

Proof of Land Ownership	**Frequency**	**% Frequency**
Allotment Letter	7	9.4%
Temporary Occupation License	70	90.6%
Total	**77**	**100%**

4.7Political Will and Implementation of Informal Settlements Improvement Projects

Political goodwill is essential in acknowledgement of the existence of informal settlements, commitment to addressing these conditions and development of policy agendas needed to

eradicate existing inequities. Additionally they can provide empowerment to the community over informal settlement improvement through providing incentives such as: affordable credit, legal land allocation, primary infrastructure and specialized help.The respondents' awareness and observation of the political class involvement of the project helps in their understandingon whether the political leaders have their best interests at heart. It also helped the researcher understand the role played by the political leaders over the project implementation.

4.7.1 Frequency of Political Intervention

Review on this is a necessity in understanding if the political class created a conducive environment for the implementation of the informal settlement improvement project. 40.3% of the respondents found the political interventions to be frequent because the political class was often present over the local workshops and greatly helped create awareness and provide civic education on the project and the necessity of the community to engage within the project. This goes to show that the political class really had a positive contribution to the smooth flow of the project enabling its implementation.

Table 4.19: Frequency of Political Intervention

Frequency of Political Intervention	**Frequency**	**% Frequency**
Very Frequent	21	27.3%
Frequent	31	40.3%
Less Frequent	25	32.4%
Total	**77**	**100%**

4.7.2 Involvement of the Political Class in Project Activities

At every phase of the project, the political goodwill is a necessity in providing their support through either funding, development of policies that support the implementation of the project; the vocalizing of the people's needs and asserting them using their influence. In light of this, it was important to understand the extent of involvement of the political class in Shauri Moyo over the project and the results are presented in table 4.20

Table 4.20: Political Class Intervention in Project Activities

Response	Inception		Social Economic Survey		Planning		Execution		Evaluation	
	Freq	**%**	**Freq**	**%**	**Freq**	**%**	**Freq**	**%**	**Freq**	**%**
Great Extent	40	**51.9**	53	**68.8**	44	**57.1**	31	**40.2**	24	**31.2**
Little Extent	17	**22.1**	11	**14.3**	19	**24.7**	27	**35.1**	30	**38.9**
Not at All	20	**26.0**	13	**16.9**	14	**18.2**	19	**24.7**	23	**29.9**
Total	**77**	**100%**	**77**	**100%**	**77**	**100%**	**77**	**100%**	**77**	**100%**

Political intervention was seen to be seen highest at the socio-economic survey stage at 68.8%. The respondents claimed that at the start of the socio-economic survey, the community was hostile against the activity given that it began over the electioneering period and the residents were misinformed with allegations that the survey was after their voter details. The office of the governor and the deputy governor intervened through civic education on what the survey entailed and consequently area MCAs went around with the field officers over their visit to the site. Involvement in project inception stood at 51.9% with the respondents contending that the project was implemented due to the lobbying by the County government on the necessity of the improvement to the National Government. Involvement in planning was at 57.1% with the respondents feeling that the political class over the local workshops really understood the people's needs and used their influence to ensure that the proposed projects targeted fulfillment of these needs. Execution stood at 40.7% with the county government contributing to the project implementation financially and through expertise from various concerned departments. Monitoring and Evaluation was relatively low at 31.2% as the respondents felt that the political presence was not as intense over the review phase as it was in the other phases with the evaluation only being attended to by the county government officials.

4.7.3 Ranking of Informal Settlement Improvement against Development Priorities

It is important to understand how prioritized informal settlement improvement is over other development projects by the County Government as this helps to establish if the government acknowledges the existence of the inequities in these settlements and if they are committed to addressing them alongside developing policies that help eradicate the various inadequacies.

Table 4.21: Prioritization of Informal Settlement Improvement Project

Ranking on Priority of Development	Frequency	% Frequency
High	17	22.1%
Average	31	40.3%
Low	29	37.6%
Total	**77**	**100%**

The respondents felt the prioritization to be average at 40.3% given the little efforts that had been undertaken to improve the settlement. This was confirmed by the MoTIHUD officials who identified urban development which is inclusive of informal settlement improvement, ranked 4th in the County Government priorities after agricultural development, financial growth and industrial development. 37.6% of the respondents felt the prioritization to be low because they felt besides the current improvement project; they had been greatly neglected over the past years and no development had been undertaken within the area to improve their living conditions. The officials attributed this to the political class choosing not to act upon improving the settlement so as to use the informal settlers' needs as bait in seeking elected posts where they promise to act on their issues if elected but never do.

4.7.4 Provision of Incentives towards the Settlement Improvement Project

The government through provision of motivations to the target beneficiaries enables successful implementation of improvement projects. These motivators aim at easing the burden for the target beneficiaries by more or less meeting them halfway and making available to them means and resources they have a difficulty accessing and affording.

Table 4.22: Provision of Incentives by the Government

Provided Incentives	Frequency	% Frequency
Yes	29	37.1%
No	48	62.9%
Total	**77**	**100%**

62.9% of the respondents found the incentives provided by the government to either be little and to some great extent missing. This was affirmed by the interviewed MoTIHUD officials who noted that, while budgetary allocations were made for the overall infrastructural

development for the county, little to none of these allocations were channeled towards provision of basic primary infrastructure within the informal settlements. This was blamed on the previously lacking land use plan and thus no solid infrastructural investments would be pursued as there were no particular land sections set aside for development of required infrastructure. However, adequate provisions were made for improvement of housing conditions through refurbishment of residential buildings, repairs and renovations.

4.7.5 Influence of Political Will on Implementation of Projects

53.3% of the respondents were in agreement with there been a relationship between political will and implementation of settlement improvement projects. They felt that in the event that projects lacked support from the political class, they were likely to fail or suffer delays because funding and relevant expertise would not be provided and in some cases the project would suffer extreme resistance from the political class thus not taking off at all.

Table 4.23: Relationship between Political Will and Project Implementation

Existence of a Relationship	Frequency	% Frequency
Agree	41	53.3%
Neutral	26	33.7%
Disagree	10	13.0%
Total	**77**	**100%**

4.8Development Agencies and Implementation of Informal Settlements Improvement Projects

Informal settlements improvement efforts are largely being undertaken by development agencies with the objective of creating dynamism among the urban poor. Development agencies provide financing, the monetary resource necessary in fulfillment of the budget for projects implementation. It is against this background that the researcher looked into the contribution which the development agencies within this project made towards implementation.

4.8.1 Adequacy of Project Funding

The inquiry on adequacy of funding is used to establish the levels of commitment through allocation of funds, in support of the settlement improvement project by the relevant stakeholders. The outcome is presented in table 4.24

Table 4.24: Adequacy of Project Funding by the Government and Development Agencies

Response	Project Funding by Government		Project Funding by Development Agencies	
	Freq	%	Freq	%
Highly Adequate	-	-	54	**70.1%**
Adequate	24	**31.5%**	19	**24.7%**
Not Adequate	53	**68.5%**	4	**5.2%**
Total	**77**	**100%**	**77**	**100%**

The study identified that funding from the government was found to be not adequate at 68.5%. This is because, from the establishment of the settlement, the government has not been able to efficiently meet their needs and provide basic social amenities hence the dilapidated state of the settlement. This demonstrates negligence by the government as demonstrated in table 4.20 where prioritization of informal settlement improvement project stood at a low of 37.6% and lack of the financial capacity by the government to single-handedly deliver improvements on these settlements. The respondents found the funding from the development agencies to be highly adequate at 70.1%. This was because of the improvements and basic infrastructure and amenities provision that have resulted from the financing submitted by the development agencies.

4.8.2 Fund Disbursement in line with the Budget

This is necessary in understanding if the funds disbursed help to achieve the activities for which they were set for. The results are outlines in table 4.25

Table 4.25: Disbursement of Funds in line with Budget

Disbursement in line with Budget	Frequency	% Frequency
Great Extent	58	75.3%
Little Extent	16	20.8%
Not at all	3	3.9%
Total	**77**	**100%**

The disbursement of funds in line with the budget was found to be at a great extent of 75.3%. This assisted in meeting set objectives as budgeted activities aligned with those implemented since the provided funds were also in alignment.

4.8.3 Disbursement of Funds Conditional on Completion of Phases of the Project

This was necessary in understanding if there were regulatory measures to ensure that project phases were duly implemented.

Table 4.26: Conditional Disbursement of Funds

Conditional Disbursement Of Funds	Frequency	% Frequency
Great Extent	56	72.7%
Little Extent	14	18.2%
Not at all	7	9.1%
Total	**77**	**100%**

A relatively regular number of disbursements were carried out only upon completion of a particular project phase at 72.7%. This demonstrates the existence of strict regulations on fund disbursement. The 9.1% resulted from instances where the disbursements were not made upon completion of the phases at all due to discontent with the work done and some cases untimely disbursements.

4.8.4 Timeliness of Disbursement of Funds

The time within which funds are disbursed is necessary to understand because timely payments facilitate implementation in good time and within objectives whilst delay in fund disbursements result in delays in completion and in some instances, project activities are not carried out with the planned precision.

Table 4.27: Timeliness of Disbursement of Funds

Timeliness of Disbursement of Funds	Frequency	% Frequency
Great Extent	19	24.7%
Little Extent	48	62.3%
Not at all	10	13.0%
Total	**77**	**100%**

Granted that the project was run by the state, there were hitches experienced with timeliness of fund disbursements due to the in state offices. The timeliness of fund disbursement was thus found to only have occurred at a little extent at 62.3%. This raised concern on uncertainty over funds availability to undertake various project activities and thus lagging behind of some of these activities which resulted to project completion not to be in time at22.1% as indicated in

table 4.30. These sentiments were echoed by the KISIP officials who noted that the national government delayed release of funds to undertake the projects despite there being the availability of monies. These made it difficult to pursue the planned tasks and activities.

4.8.5 Influence of Conditions on Funding on Implementation of the Project

It is important to understand the influence the conditions the development agencies placed prior to funding, have on project implementation. The respondents were asked to outline their view on how the funding conditions influenced various elements of the project and the results were presented in table 4.28.

It was found that the conditions highly dictated on the projects to be undertaken at 57.1%.This is because projects can only be undertaken if money was made available for these projects and if the projects are in line with the objectives. MoTIHUD officials interviewed reiterated that the development agencies only contributed to projects which aligned with component III of Kenya Informal Settlement Improvement Program (KISIP) which involves investing in settlement restructuring and infrastructure. This constituted opening and improving of the proposed road reserves, laying out water reticulation systems and flood lights and the streamlining of land tenure.

The conditions seemed to have least influence on speed of project implementation at 22.1%. The respondents felt that since the state run the project, the speed of implementation was highly dependent on it. 46.7% felt that the conditions determined project scope since financing determined scope, on the other hand 41.6% were neutral on it as they felt the government as well has a huge say on the scope of projects to be pursued.

Table 4.28: Influence of Funding Conditions on Project Implementation

	Conditions Dictated Type of Projects Undertaken		**Conditions Determined Speed of Project Implementation**		**Conditions Dictated Scope of Projects Undertaken**	
	Freq	**%**	**Freq**	**%**	**Freq**	**%**
Strongly Agree	44	**57.1**	17	**22.1**	36	**46.7**
Neutral	20	**26.0**	21	**27.3**	32	**41.6**
Strongly Disagree	13	**16.9**	39	**50.6**	9	**11.7**
Total	**77**	**100%**	**77**	**100%**	**77**	**100%**

4.8.6 Influence of Development Agencies on Implementation of the Project

44.2% of the respondents found development agencies to be vital in implementation of settlement improvement projects. This is because of their high funding contributions and in some project activities, relevant expertise. The 26% that found them not necessarily vital felt that if the government could put in place the necessary efforts, they would raise the funding and recruit necessary expertise to run these projects as opposed to having outsiders running them.

Table 4.29: Vitality of Development Agencies in Project Implementation

Existence of a Relationship	**Frequency**	**% Frequency**
Agree	34	44.2%
Neutral	23	29.8%
Disagree	20	26.0%
Total	**77**	**100%**

4.9 Implementation of Informal Settlement Improvement of Projects

This part of the study aimed at establishing implementation of the project within the developed success indicators of time and solving the intended problem which is eradicating the existing inequities and lack in the settlement. It also seeks to understand to what extent the land tenure security issue has improved upon implementation

4.9.1 Projects' Achievement Indicators.

Table 4.30 shows a summary of the findings on the extent to which the projects have achieved successful project implementation indicators.

Table 4. 30: **Project Achievement Indicators**

Response	**Project Completion on Time**		**Project resolved Intended problem**	
	Freq	**%**	**Freq**	**%**
Great Extent	9	**11.7%**	60	**77.9%**
Little Extent	51	**66.2%**	11	**14.3%**
Not at All	17	**22.1%**	6	**7.8%**
Total	**77**	**100%**	**77**	**100%**

The outcome shows that 11.7% of the respondents found the project were completion to be timely whilst 66.2% found the projects timely completion to be relatively low. This is because the project surpassed the initially agreed implementation period albeit having addressed

majority of the identified issues. 77.9% of the respondents found that the project really did improve the status of the informal settlements granted the provision of basic social amenities and improved land tenure security. This was affirmed by the KISIP officials who upon evaluation found that the project achieved the intended key objective of enhancing land tenure security and consequently the achievements arrived at were: identification and delineation of the settlement boundaries, preparation and implementation of the Local Physical Development Plan and issuance of allotment letters to individuals and groups over the lease agreement set up. The 14.3% and 7.8% who found the problem resolution to be relatively low claimed it was because the installation of basic amenities within some areas of the settlement was yet to be completed and thus some issues not addressed.

Additionally, interviewed KISIP officials outlined some measures that were undertaken to ensure successful implementation of the project and thus adequately meet the intended objectives and solve the targeted problems. These included: proper planning which involvement development of details of activity schedules as well as identification of possible risks alongside mitigation measures to ensure they were well prepared; development of a clear organization structure to ensure smooth flow of information, direction and control; high community engagement and constant communication with them to avert resistance; hiring of well equipped experts for the job who had both the skills and capacity to deliver with efficacy; putting up of fund management strategies inclusive of budgeting, financial record keeping and reporting; and effective monitoring and evaluation by the management so as to ascertain that the activities are going according to plan and determine if there is progress in attainment of projected results.

To enhance the implementation of future improvement projects, KISIP officials recommended continuous gathering of information on growth of informal settlements so as to anticipate future tendencies and establish the basis upon which settlement improvement projects are carried out. Proper information on the settlement patterns helps design and provide appropriate infrastructure and services. Additionally, they recommended increased funding allocation to improvement projects by the government which would ensure the adequacy of project budgets and consequently, sufficient funding to execute all project activities effectively.

4.9.2 Improvement of Land Tenure Security

The respondents indicated their rating on the improvement of tenure security. This helped to determine if the issue on insecurity of tenure was addressed. 88.9% of the respondents found the tenure security improvement to be at a great extent which was in line with the rating of the officials from the Ministry of Lands and Physical Planning. The officials confirmed that a high

number of the population had been issued lease titles following the allocation of land parcels which guarantees right of use over the land for 99 years for the residents and thus assured tenure security.

Table 4.31: Extent to which Land Tenure Security has improved

Improvement of Land Tenure Security	Frequency	% Frequency
Great Extent	68	88.9%
Little Extent	9	11.1%
Total	**77**	**100%**

The interviewed MLPP officials explained on the series of activities conducted to arrive at secure land tenure within Shauri Moyo informal settlement. The first step was a socioeconomic survey where households within the settlement were enumerated. This was followed by land use planning which resulted in legal allocation of land uses among them, allocation for residential purposes. On this account, a fixed survey was conducted where enumerated households were issued the land in which they presently settled with the land sizes ranging from a minimum of 0.01Ha and a maximum of 0.04Ha per household depending on the household sizes. In cases where households were congested and each household couldn't get individual titles, a group title deed of up to five households was issued. In this case, the sizes of the group blocks of land were bigger than the individual household blocks. A folio registry was thereafter used to prepare title deeds by the Ministry and the lease titles were issued to households as proof of ownership. Throughout this process, no monies were paid by the community members. This project was sponsored by The World Bank and SIDA.

The greatest challenge encountered over the pursuit of land tenure security was resistance from the settlement dwellers thus causing delay in launching of the project activity by KISIP since monies were only released on assurance that the project would take off. The resistance was brought about by speculation on possibility of eviction from the settlement which consequently would render them homeless. This instilled fear given that a huge population of the residents had encroached into the land pieces and had no proper land ownership documentation. The resistance was dissipated by KISIP through civic education that guided the community on the process to be undertaken to achieve tenure security without having them evicted.

CHAPTER FIVE

SUMMARY OF FINDINGS, DISCUSSIONS, CONCLUSIONS AND RECOMMENDATIONS

5.1 Introduction

This chapter provides summary and discussion on the findings of the study. Additionally, conclusions arrived at, recommendations and suggestions for future research are presented. This is done in relation to the research objectives: community engagement, land use planning, political will and development agencies.

5.2 Summary of Findings

The study purposed to examine the factors influencing implementation of informal settlements improvement projects in Kenya: A case of land tenure security project Shauri Moyo, Kisumu County. Information used to address the identified objectives was sought from the target beneficiaries who are the residents of Shauri Moyo and officials from the various ministries and KISIP who were involved in implementation of the project. A high percentage of the respondents indicated that the implementation of the improvement projects was greatly influenced by the four factors. This was also supported by the correlation model which showed that the four independent variables accounted for 96% of the project's implementation.

5.2.1 Community Engagement and Implementation of Informal Settlements Improvement Projects

Majority of the respondents found the community engagement to be frequent and attributed it to the extensive community reach out methods with telephone calls taking lead. Community engagement was also enhanced by effective methods of engagement. The community members were found to be greatly involved in the various project activities over the project cycle. Community feedback was found to be integrated over the implementation of the project and consequently the inclusion of the community in decision making on projects to be pursued was at a great extent. Ultimately, the respondents were of the opinion that project implementation was greatly influenced by the extensive and efficient community engagement. This was also supported by the bi-variate analysis which showed a moderate positive relationship ($r=0.448$) between community engagement and the implementation of the projects.

5.2.2 Land Use Planning and Implementation of Informal Settlements Improvement Projects

The findings compared the proposed and implemented land use plan to the previously existing land use plan. It was identified that land allocations for commercial purposes, industrial activities,public purpose, public utility and transport provisions were increased from the previous allocations. Additionally previously underdeveloped land was put into practical and profitable use and thus no ore idle undeveloped land. The community was greatly involved over the land use planning process. Additionally, economic, financial and environmental sustainability was attained from land use planning. Majority of the respondents felt that land use planning was necessary for the implementation of informal settlements improvement projects. The bi-variate analysis showed a high positive relationship (r=0.702) between land use planning and the implementation of the projects.

5.2.3 Land Tenure and Implementation of Informal Settlements Improvement Projects

Prior to the implementation of the project, legal land ownership was low. Acquisition of identified land was mainly by squatting and inheritance. Acquisition from purchasing and legal allocation was relatively low with temporary occupation letters being the main proof of land ownership. Post the implementation of the project, land tenure security was observed to have improved massively.

5.2.4 Political Will and Implementation of Informal Settlements Improvement Projects

Intervention by the political class over the project activities was found to be frequent. This was affirmed by the findings on their involvement in various project activities. To understand their commitment towards improvement of informal settlements, their priorities were ranked with observations made on informal settlement improvement being averagely prioritized over development pursuits by the political class. This was backed by the findings on the government providing little to no incentives towards the settlement improvement efforts. A relationship was observed to exist between political will and implementation of settlement improvement projects. This was supported by the bi-variate analysis which showed a moderate positive relationship (r=0.432) between political will and the implementation of the projects.

5.2.5 Development Agencies and Implementation of Informal Settlements Improvement Projects

From the study findings, project funding by development agencies was observed to be highly adequate. On the other hand, project funding from the government was found to be inadequate. Disbursements over the project activities were highly in line with the budget and majorly conditional to completion of the various phases of the project. However, timeliness of the disbursements was observed to be at a relative low. Over the review of the influence of the development agencies conditions on funding on implementation of the project; the conditions were observed to strongly dictate the type of projects to be undertaken and their scope, with their influence minimally observed on the speed of project implementation. The respondents found development agencies to be vital in implementation of informal settlements improvement projects. The bi-variate analysis showed a negative relationship (r=-0.282) between development agencies and implementation of the projects meaning that the more the development agencies involvement in the project alongside the conditions they impose, the lower the probability of implementation of the improvement projects according to the way the states receiving aid had purposed would be.

5.3 Discussion of Findings

Over this section, the discussions of findings are presented under the various thematic areas.

5.3.1 Community Engagement and Implementation of Informal Settlements Improvement Projects

The study observed community engagement to be frequent at 71.4% with 42.8% of the community reached out though telephone calls and engagements being mainly through local workshops at 40.3%.

These engagements enabled needs assessment and identification from the actual beneficiaries as opposed to the government assuming what was best for them. These findings relate with the literature by Manduagwu (2000) who calls on the governments to strongly and authentically engage the community in slum improvement decisions so as to accurately capture their needs and adequately deal with the inequities that persist within these areas.

The community was found to be greatly involved in the various project phases with socio-economic survey taking lead at 81.8% which was essential for needs assessment and identification. Community engagement over planning was at 79.2% which ensured that the pursued projects were what the community preferred and consequently met their needs which elevated ownership of the projects by the community and eradicated resistance. This is in line

with Pinto and Slevin (1988) who observed that throughout the project cycle, it is important to engage the community so as to mitigate resistance and ensure the project stands beneficial given that it will meet the stakeholders' needs.

Involvement of the community in decision making was at a great extent of 51.9% which resulted in pursuit of projects in line with the community priorities. This supports the findings by Katie et al (2018) who opined that involvement of community in decision making ensures they have a say in decisions that affect their lives and that the projects are responsive to community priorities. The findings also showed a positive relationship between community engagement and implementation of informal settlements improvement projects. This collaborates with the findings by Arwa (2017) that community engagement is a critical element and factor that influences implementation of informal settlements improvement projects.

5.3.2 Land Use Planning and Implementation of Informal Settlements Improvement Projects

The study sought to establish the influence of land use planning on implementation of informal settlements improvement projects. From the study findings, a local physical development plan where land was allocated for various uses was developed and implemented. Previously underdeveloped land was optimally used and allocations for necessary functions including: commercial, educational, industrial, public utilities and transportation were increased. The riparian reserve was protected from encroachment thus upholding the environmental integrity of the area. The residential area was well aligned within the correct boundaries from a conducted survey that established the correct plot boundaries and plot allocations of a minimum of 0.01Ha and a maximum of 0.04Ha per household. As a result, economic, financial and environmental sustainability was significantly attained. These findings fall in with the findings by Van Lier (1994) who observed that land use planning leads to economic use of land, orderly settlements and permanent safeguarding and maintenance of the physical environment. From land use planning, social amenities in Shauri Moyo increased and improved to a great extent. These reinforces Cotters (2015) findings in the literature review who opined that land use planning promotes community wellness as it leads to the meeting of transportation, education, housing, health, water and sanitation needs of the community: alongside opening up of economic opportunities and enabling their access to these opportunities. From the analysis land use planning was found to be necessary for project implementation.

5.3.3 Land Tenure and Implementation of Informal Settlements Improvement Projects

The study revealed that the issue of land tenure security had been adequately addressed. This was because land tenure security had improved by a great extent with backing up from documentation on registered land parcels and issued lease titles as proof of ownership to the respective households. This supports a Payne (2002) finding who observes that, tenure is guaranteed by registration of rights of ownership. There was also the development of an effective land information system that ensured that Shauri Moyo was included in the land management systems and thus guarantees the perpetuation of necessary development within the informal settlement. Navarro (2008), emphasizes that land tenure needs to be addressed to ensure regularization and formal integration of the informal settlements in the city planning framework. Importantly, concrete development projects such as the implementation of the local physical development plan were pursued given the secure tenure. This reflects the findings by Otiso (2003) who reported that where land tenure security is not guaranteed; informal settlement improvement efforts are hindered. The study therefore identifies land tenure as influential in informal settlements improvement projects.

5.3.4 Political Will and Implementation of Informal Settlements Improvement Projects

The study found political interventions over the project to be frequent with respondents finding the political class to be involved greatly in the inception, need assessment and planning phases of the project and averagely involved over the execution and evaluation phases of the project. The political classes were particularly handy in creation of awareness and provision of civic education on the project to the community as well as mobilizing the community to show up for the local workshops and public consultative meetings. This propelled community engagement. The prioritization of informal settlement improvement over the development priorities of the political class was found to be average. This was because the political leaders at the county level lobbied on the need to improve Shauri Moyo to the National Government and thus the launching of the project albeit the previous little to no efforts nor fund allocations towards improvement of the informal settlement conditions. This is supported by the observations by Policy Link (2004) who found that, political leaders are crucial to building support for the community's position and persuasion of people with power to act on behalf of the community. Provision of incentives towards the improvement project by the political class was found to be lacking. This is supported by Omwoma (2011) who observes that, often the attitude of the political class towards informal settlements is negative and characterized with neglect. The study found political good will to be paramount in implementation of informal settlements improvement

projects with support from United Nations (2001) who assert that political goodwill enables acknowledgement and commitment to addressing the conditions in the informal settlements.

5.3.5 Development Agencies and Implementation of Informal Settlements Improvement Projects

A huge percentage of the informal settlements improvement efforts are being undertaken by development agencies. The study found the project funding by development agencies highly adequate which resulted in disbursement of funds in line with the budget to a great extent. This enabled successful implementation of the project activities and attainment of the project objectives. Fund disbursement was conditional to completion of project phases to a great extent despite the timeliness of these disbursements occurring only at little extents resulting in delayed project completion time. These findings relate with the literature review where Devarpiya & Ganesan (2002) stated that poor cash flow resulting from financial mismanagement has a heavy bearing on a project's smooth running leading to delayed project implementation, while Thomas (2002) obtained that adequate funding is a major success criterion of development projects. It is therefore critical that investment and financial plans based on feasibility studies are developed to enable adequate funding. The conditions of financing by the development agencies greatly dictated the type of projects undertaken and the scope of the undertaken projects given that they made the financial provisions for these projects. This limited the power of the choice for the benefiting nation. Fernand (2006) observes that the terms and conditions that bind the agreement to offer aid towards slum improvement projects often contain constrictive restrictions and conditions for the countries receiving aid.

5.4 Conclusion

Based on the above findings the researcher can conclude that:

Inclusive and extensive community engagement over the various project phases and decision making process is a necessity in successful implementation of the improvement project. It is particularly important as it helps top accurately capture the target beneficiaries' needs which ensures that the improvement efforts pursued effectively address identified issues and meets the particular needs assessed. The study found that extensive measures were used to reach out to the community and actively engage them and thus the community was greatly involved over the project implementation and decision making. As a result, the projects pursued were in alignment with the communities' priorities making them beneficial and sustainable. This made the implementation of the project a success. Community engagement is thus a significant feature

over the settlement improvement project since when it is present; the improvement objective is most likely to be achieved. It is therefore important that the project implementers involve the community over the project implementation since they are the best advocates for their own interests and community engagement is the best route for reform-minded improvement efforts.

Land use planning ensures that land goes to its most profitable use. The study found that the developed and implemented local physical development plan put previously undeveloped land into economic use. Allocations were made for use of land over: residential, education, commercial, industrial, public utility and public utility purposes. This resulted in provision of the previously lacking social amenities; addressed the needs of the residents hence attaining informal settlement improvement making the project implementation a success. There is therefore a direct positive relationship between land use planning and implementation of informal settlements improvement projects. It is important therefore for KISIP to reinforce land use planning over the improvement projects in order to direct where and how development happens and thus adequately address inequities.

Land is a necessity for development of the needed basic and social infrastructure needed to eradicate poverty among the marginalized. Informal settlements are developed on land without title or rights of use making concrete developments difficult to pursue. The study found that prior to the project; land tenure was rated lowly with only 16.8% of the respondents having ownership over land. This made it difficult for long term developments that would improve the living conditions of the residents to be pursued. However, over the improvement project execution, land tenure was achieved at an 88.9% through allocations by the MLPP who issued lease titles for each household and developed a land registry with the set up correct boundaries for the plots. This led to development of basic necessary infrastructure that met the transport, housing, water and sanitation, health and economic needs of the community. Secure Land Tenure is therefore a prerequisite for improvement of the informal settlements thus enhanced project implementation. KISIP needs to uphold development of secure land tenure as a necessary tool in improving informal settlements thus enforcing implementation of these projects.

Political will has the capacity to empower or derail the efforts of rehabilitating informal settlements through providing support to the community and giving the settlements problems more visibility to the national government. The study found the political class involvement over the project activities to be great thus providing support and creating a conducive environment

within which the project was smoothly executed. However the prioritization of settlement improvement projects by the political class was relatively low and incentives towards the program were lacking. This makes the marginalized neglected and makes achievement of objectives difficult. There is need therefore, for the political class to develop commitment towards addressing informal settlement conditions and develop policy agendas that eradicate existing inequities. From the study findings, the study concludes that political will is a significant factor in the implementation of settlement improvement projects. The county government needs to put in place initiatives, incentives and financial support that empower and encourage the community to be involved over the improvement efforts.

Development agencies provide financing, the monetary resource required to meet the projects implementation budget. The adequacy of funding of a project's activities and its timeliness determines the implementation of the project. When funds are insufficient in relation to the community needs and demands, the informal settlement improvement projects are not successfully implemented. An accountability system needs to be put up to ensure funds and resources allocated for implementation is optimally used. The adequacy of funding and fund disbursement in line with the budget observed in this study can be attributed to feasible financial plans and budgets. The fund disbursement conditional on completion of project phases acted as an accountability measure thus ensuring optimal use of funds and successful implementation of project activities. The untimely disbursement of funds attributed to government bureaucracies delayed implementation which resulted to project completion to be untimely. The conditions availed by the development agencies were found to dictate the type and scope of projects pursued granted they provided the financing for these projects and contributed in development of the project objectives achieved through the undertaken projects. The study concluded that development agencies are a relevant contributor to the implementation of the project though the conditions imposed often have a negative influence on implementation of informal settlements improvement projects.

5.5 Recommendations of the Study

In light of the key findings of this study, the following recommendations are proposed to address the implementation of informal settlements improvement projects:

i. The community should be engaged in a robust manner at every stage of the project cycle. At the inception, the community should be provided with incentives which encourage and empower them to be actively involved in the improvement process while at the

execution stage, the community members should be sourced to provide labor as opposed to outsourcing. This will enhance the ownership of the project by the community thus reducing resistance and fuel their commitment towards ensuring the successful implementation of the projects.

ii. KISIP should pursueenhancement of land tenure security as a means to attain upgrading. Land tenure security grants the community protection from eviction and enables concrete investments to be undertaken stemming from land use planning within these settlements both by the community and the government thus enabling implementation of the improvement process.

iii. KISIP in their improvement efforts should involve the political class from the onset and bring into the political classes' perspective, the benefits accrued from improving the conditions and the lives of the informal settlers. Successfully selling them the idea and drawing them into their corner leads to increased support from the political class including: resource mobilization, community mobilization, funds allocation, provision of incentives and development of agendas that support settlement improvements; all which reinforces the implementation of informal settlements improvement projects.

iv. Financial plans developed and submitted to the development agencies should be feasible so as to obtain adequate funding needed to execute the project activities. Disbursements should be made in line with the budget as guided by the financial plan to ensure proper fund management. Bureaucracies should be eliminated to ensure disbursements are timely thus project implementation according to schedule. Importantly there should be adequate monitoring and evaluation of the project activities and adequate accountability as well as fund management strategies which ensure that funds are utilized optimally towards project implementation. Additionally, the state should negotiate with the development agencies on the conditions laid down so as to minimize restrictions and ensure that the projects pursued are those the state desires.

5.6 Suggestions for Further Research

Further studies should be conducted:

i. To establish other factors influencing implementation of informal settlements improvement projects in Kenya so as to build on the information on factors influencing the implementation of improvement projects which upon consideration, will enhance delivery of future projects.

ii. On the challenges faced over the informal settlements improvement projects should be undertaken so as to equip project implementers with knowledge on what to expect and enable theme develop responses to these challenges thus smoothing out the improvement process and reinforcing implementation.

iii. On the value for money for informal settlements improvement projects in Kenya in a bid to determine if the resources provided for informal settlements improvement projects are optimally used.

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APPENDICES

Appendix 1: Letter of Introduction; Transmittal of Instruments

I am carrying out a research on **'Factors Influencing Implementation of Informal Settlements Improvement Projects in Kenya: A Case of Land Tenure Security Project in Shauri Moyo, Kisumu County'** this is in partial fulfillment of the requirement for the award of a Master of Arts Degree in Project Planning and Management from The University of Nairobi.

I kindly request for your assistance through responding to all questions within this questionnaire truthfully and comprehensively. You are not required to record your name anywhere. All information obtained will be used for the purpose of the research project only.

Thank you.

Kind Regards,

Mercy NyawiraNdung'u

L50/9412/2017

Appendix 2: Research Questionnaire for Residents of Shauri Moyo

The aim of this questionnaire is to gather information on the factors influencing successful implementation of equitable development projects by KISIP, in ShauriMoyo Informal Settlement, Kisumu County. Information to be recorded in this questionnaire should be accurate and contain relevant data as it relates to Shauri Moyo area. The information recorded in this questionnaire will be strictly used for academic purpose and no other purpose. Upon completion of the survey, interest individuals will have access to the information and overall feedback of the study. Please respond to each question by ticking on the appropriate response or filling in the relevant information.

PART A: General Information

1. Please indicate your gender

   a) Female b) Male

2. Please indicate your age group

Age Group (Years)	18-24 ☐	25-35 ☐	35-50 ☐	Over 51 ☐

PART B: Community Engagement and Implementation of Informal Settlements Improvement Projects

3. How frequently was community engagement carried out over the project?

a) Very frequent b) Frequent c) Not at all

4. In what ways was the community reached out to; to participate in engagements?

Published Media e.g. newspaper, gazette notices etc.	☐	Telephone calls	☐
Road Shows	☐	Chief's Baraza	☐
Broadcast media e.g. TV, Radio	☐		

5. What were the methods used in community engagements? (You may pick more than one method)

Public consultative meetings ☐ Local workshops ☐

Interviews and questionnaires ☐ Focused group discussions ☐

6. To what extent was the community engaged and consulted within the following activities?

(Key: 1=Great Extent 3=Little Extent 5=Not at all)

→

	1	3	5
Inception			
Socio-Economic Survey			
Planning			
Execution			
Evaluation			

7. How would you rate the integration of community feedback and opinion within the implementation of the project?

   a) Highly Integrated b) Integrated c) Not Integrated

8. To what extent was the community involved in decision making e.g. selection of projects to be undertaken?

   a) Great Extent b) Little Extent c) Not at all

9. How influential is community engagement on implementation of informal settlements improvement projects?

   a) Great Influence b) Little Influence c) Not at all

PART C: Land Use Planning and Implementation of Informal Settlements Improvement Projects

10. How involved was the community in land use planning?

    a) Highly Involved b) Less Involved c) Not at all

11. Identify the allocated land uses from over the development of the local physical development plan.

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12. To what extent have the social amenities in Shauri Moyo improved and increased as a result of land use planning?

    a) Great Extent b) Little Extent c) Not at all

13. To what extent were the listed areas of sustainability below addressed over development of the land use plan?

(Key: 1=Not at all 3=Little Extent 5=Great Extent)

	1	3	5
Environmental Sustainability			
Economic Sustainability			
Socio-cultural Sustainability			
Financial Sustainability			

14. From the project experience, does land use planning have an influence on successful implementation of informal settlement improvement project?

    a) Great Influence b) Little Influence c) Not at all

PART D: Land Tenure and Implementation of Informal Settlements Improvement Projects

15. Do you own piece of land?

    a) Yes b) No

16. How have you acquired it?

    a) Bought b) Inherited c) Rented c) Squatted

17. Which legal papers do you possess to show ownership of land?

PART E: Political Goodwill and Implementation of Informal Settlements Improvement Projects

18. How would you rate political intervention within the project?

    a) Very Frequent b) Frequent c) Less Frequent

19. To what extent did the political class intervene in the following activities?

(Key: 1= Great Extent 3=Little Extent 5=Not at all) →

	1	3	5
Inception			
Socio-Economic Survey			
Planning			
Execution			
Evaluation			

20. How would you rank informal settlements improvement against the development priorities of Kisumu County Government?

    a) High b) Average c) Low

21. Has the County Government provided any incentives towards Shauri Moyo Informal Settlement Improvement?

    a) Yes b) No

If yes, which ones

……

……

22. In your view, is there a relationship between political will and successful implementation of informal settlements improvement projects?

    a) Agree b) Neutral c) Disagree

PART F: Development Agencies and Implementation of Informal Settlements Improvement Projects

23. How would you rate the adequacy of project funding by the government and development agency?

    a) Highly adequate b) Adequate c) Not adequate

24. To what extent were funds disbursed in line with the budget?

    a) Great Extent b) Little Extent c) Not at all

25. To what extent was the disbursement of funds conditional on completion of aspects and phases of the project?

    a) Great Extent b) Little Extent c) Not at all

26. To what extent was the disbursement of funds timely?

a) Great Extent b) Little Extent c) Not at all

27. Below are some of the influences development agency funding conditions have on the implementation of informal settlement improvement project at Shauri Moyo

(Scale: 1= Strongly Agree 3= Neutral 5= Strongly Disagree)

	1	3	5
The conditions dictated the kind of projects to be undertaken			
The conditions determined the speed at which the projects are implemented			
The conditions dictated the scope of the projects			

28. Besides financing, how else did the development agencies contribute in implementation of the project?

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29. From the project experience, do you identify development agencies as vital in successful implementation of equitable development projects?

a) Agree b) Neutral c) Disagree

PART G: Successful Implementation of Informal Settlements Improvement Projects

30. Please indicate the extent to which you think the project has achieved successful implementation based on the indicators listed below.

(Key: 1=Not at all 3=Little Extent 5=Great Extent)

	1	3	5
Project completion on time			
Project resolved the intended problem			

31. To what extent has land tenure security improved post project implementation?

a) Great Extent b) Little Extent c) Not at all

32. Kindly give suggestions on how the projects successful implementation could have been improved

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THANK YOU!

Appendix 3: Key Informants Interview Guide

Questions to Ministry of Transport, Infrastructure, Housing and Urban Development, KURA and KERRA Officials

1. What are the main challenges in delivery of infrastructure within this settlement?
2. Is the community involved over the choice and selection of infrastructural projects?
3. Are there financial allocations for infrastructural provisions within the informal settlements over the financial year budget for the organization?
4. Are development agencies involved in development of basic infrastructure over informal settlements?

Questions to Ministry of Lands and Physical Planning, and the Physical Planning Consultant

1. What are the benefits that arose from land use planning for Shauri Moyo informal settlement? Briefly explain.
2. How would you rate tenure security post implementation of the informal settlement improvement project?

   a) High b) Average c) Low
3. What method(s) were undertaken to achieve land tenure security in Shauri Moyo informal settlement?
4. In what ways has the implementation of the informal settlement improvement project been enhanced by availability of secure tenure?
5. What challenges were faced over land use planning and over the pursuit of land tenure security in Shauri Moyo?

Questions to KISIP officials and staff involved in the implementation of the informal settlement improvement project

1. Over the implementation of the informal settlement improvement project, has the issue of secure land tenure been addressed and what achievements have been arrived at?
2. Which approaches were used to ensure successful and non-delayed implementation of the project?
3. What challenges were faced over the implementation of the project and how did the organization go about managing them?

4. Provide suggestions on how implementation of informal settlement improvement projects would be enhanced in the future?
5. Briefly explain how the community participated in the project cycle and the challenges faced in engaging the community.
6. What roles did the below stakeholders play in the settlement improvement project?

a. Government

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b. Development Agencies

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…….....…….

THANK YOU!

REPUBLIC OF KENYA

NATIONAL COMMISSION FOR SCIENCE,TECHNOLOGY & INNOVATION

Ref No: **566174**

Date of Issue: **05/November/2019**

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